Infrastructure
Transparency
Initiative

December 2020

Infrastructure Transparency Index Manual

Version 1.0

The Infrastructure Transparency Index (ITI) is an instrument of CoST – the Infrastructure Transparency Initiative (CoST) that measures levels of transparency and the quality of processes related to public infrastructure at both national and sub-national levels. Collaboratively designed and based on international good practice and lessons learned, its objective is to provide stakeholders with quality information that serves to promote transparency and improve the management of public infrastructure.

PRODUCERS:
David Zamora, International Consultant, CoST.
Evelyn Hernandez, Head of Members and Affiliate Programmes, CoST.

TECHNICAL TEAM:
Hamish Goldie-Scot, Technical Adviser, CoST.
John Hawkins, Programme Director, CoST.
Bill Paterson, International Consultant, CoST.

PROJECT LEADERS:
Evelyn Hernández, Head of Members and Affiliate Programmes, CoST.
John Hawkins, Programme Director, CoST.

SPECIAL CONTRIBUTION:
Heizel Padilla, CoST Guatemala Manager.
Gracia Ramirez, CoST Honduras Management Adviser.

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Abbreviations

CoST	CoST – the Infrastructure Transparency Initiative
CoST IDS	CoST Infrastructure Data Standard
ITI	Infrastructure Transparency Index
OC4IDS	Open Contracting for Infrastructure Data Standard

Table of contents

Annexes

1. Introduction

1.1 Concept

CoST – the Infrastructure Transparency Initiative (CoST) works with government, the private sector and civil society to improve transparency, participation and accountability in public infrastructure investment. It achieves this by disclosing, validating and using infrastructure data at each stage of the infrastructure project cycle. CoST's experience indicates that this provides the evidence and process to help drive reforms that reduce mismanagement, inefficiency and corruption, and improve the performance of the sector. Applying this approach results in cost savings, helping to close the infrastructure financing gap and deliver better quality infrastructure for millions of people.

CoST has developed the **Infrastructure Transparency Index** (ITI) as a national or sub-national evaluation instrument to measure levels of infrastructure transparency and the quality of the associated processes that improve participation and accountability. It will help stakeholders from government, the private sector and civil society understand the relative strengths and weaknesses of transparency, participation and accountability within the sector. It has been designed in a collaborative manner and is based on international good practice and lessons learned.

This manual sets out a methodology for calculating a score for evaluated procuring entities in a national or sub-national context. The individual scores are then used to generate an Index that compares the evaluated procuring entities. It is based on the enabling conditions for strengthening transparency in the sector plus the transparency-related practices applied on recently completed infrastructure projects (see Annex 6 for ITI terminology). In its design, the manual interprets transparency in a broad and practical sense, not only by looking at it through the traditional lens of access to information, but also by considering associated enablers and capacities. These include citizen participation that leads to the creation of public value through access to information.

The final ITI score for each procuring entity is obtained from the weighted sums of four constituent dimensions, namely:

1. enabling environment
2. capacities and processes
3. citizen participation
4. information disclosure.

Although the ITI was designed for CoST members to evaluate and strengthen their national or sub-national programmes, other interested parties can also use it as a tool to strengthen their institutions.

The rest of **section 1** outlines the CoST approach, how the ITI was developed and the objectives and principles behind it. **Section 2** sets out the structure for determining the ITI based on the four dimensions and a set of weighted variables with **section 3** setting out a detailed methodology. The annexes provide a set of tools for determining the Index.

1.2 The CoST approach

CoST has developed an approach that is flexible to suit the context and aims to complement and add value to recognised good practice. It provides a global standard for improving infrastructure transparency, participation and accountability based on four core 'features': disclosure, assurance, multi-stakeholder working and social accountability.

- Disclosure is the publication of data from infrastructure projects. Forty data points are disclosed by procuring entities at key stages throughout the entire project cycle in keeping with the CoST Infrastructure Data Standard (CoST IDS) and increasingly in the Open Contracting for Infrastructure Data Standard (OC4IDS) format.

- Assurance is an independent review that highlights the accuracy and completeness of the disclosed data and turns it into compelling information that helps communicate issues of concern and areas of good practice.

- Multi-stakeholder working brings together government, the private sector and civil society in a concerted effort to pursue the common goal of improving transparency, accountability and ultimately performance in public infrastructure. This is typically achieved through a multi-stakeholder group where each stakeholder has an equal voice in leading a CoST programme.

- Social accountability refers to efforts made to ensure that the disclosed data and assurance reports are taken up and used by stakeholders – especially civil society and the private sector – to strengthen accountability and deliver practical improvements.

1.3 How the ITI was developed

In 2016, the CoST International Secretariat asked CoST Honduras to develop and validate a first version of the ITI based on earlier drafts that were variously considered as too simple or overly complex. It then asked CoST Guatemala to validate and test the CoST Honduras approach. CoST Guatemala had some concerns with this and developed an alternative methodology and indices.

The two approaches were then assessed and a final integrated version was designed and tested in both countries. Following the tests, lessons learned were captured and the index further improved.

Finally, the ITI was exposed to an international peer review process, where several experts carefully reviewed it and offered key comments that helped shape this the final version of the instrument.

The lengthy process was necessary to ensure that there was a robust approach that stakeholders can have confidence in. In due course, the methodology and indices will be updated to reflect the additional experience and lessons gained from its global application.

A road project site visit in Honduras.

1.4 Objectives

The aim of the ITI is to assess the level of transparency and accountability in public infrastructure over time. The objectives are as follows:

- to assess the state of infrastructure transparency and the capacity to improve transparency among procuring entities in a country at national or sub-national level
- to track and encourage progress and facilitate peer learning, while helping to hold procuring entities to account
- to raise awareness of transparency at the national and international level, building on existing data standards such as the CoST IDS and the OC4IDS.

The tool calculates a transparency score on a scale of zero to one (0-1) for a country's national or sub-national public infrastructure, as well as for each of its procuring entities. The scores are based on a large number of unique indicators. These are independently evaluated to assess procuring entity practices and the national or sub-national conditions that give rise to transparency and accountability in the local infrastructure sector.

The score is then published in the form of an index that ranks procuring entities and provides a national or sub-national assessment. By identifying shortcomings in existing practice, an agenda can be developed to raise transparency and accountability standards within the country or sector and improve ongoing infrastructure management practices.

The ITI results provide information that can guide public leaders and others with an interest in strengthening transparency and accountability at the national or sub-national level, as well as in procuring entities. Follow-up ITI assessments should take place annually to allow time for reforms to be introduced and take effect between evaluations.

While it is expected the ITI will be used by CoST members as part of their CoST programmes, it is also intended to be a measure that is independent of CoST and capable of being applied (at national or sub-national level) in countries not participating in the programme.

1.5 Principles

The development of the ITI is based on the following principles.

- Relevance: offers information about the state of the legal framework, the institutional capacities and the disclosure of information to improve infrastructure project administration and implementation.
- Comprehensiveness: uses a comprehensive set of indices that allows for a broad assessment of the sector and in-depth evaluation of a procuring entity.
- Simplicity and trustworthiness: the methods for collecting and processing data are simple, so the results are readily understood and can be made use of by different stakeholders.
- Replicability and objectivity: any person replicating the ITI methodology will be able to obtain the same results as presented in formal reports.

Further characteristics of the ITI are as follows.

- Impartial: the coordination of the ITI methodology and its implementation is undertaken through an independent third party with relevant expertise.
- Periodic: the evaluation is typically performed annually to offer time between evaluations to improve transparency, accountability and management of infrastructure delivery.

- Accurate: the indicators are determined using primary sources of information stemming from national websites and surveys of key public officials.
- Specific: the score for each indicator is determined against a single piece of information. This piece of information is not re-used to determine the score of other indicators.
- Informative: the results offer a snapshot of assessed procuring entities, which shed light more broadly on the national or sub-national situation.
- Evolving: the number of procuring entities assessed will grow in time to offer a more complete representation of the national or sub-national context. In addition, the ITI is expected to be reviewed and updated after some years to ensure it continues to offer relevant guidance for transparency in public infrastructure.
- Constructive: the ITI can help stakeholders compare the level of transparency of procuring entities and monitor how this changes over time. At this stage, the ITI it is not intended to compare countries as the methodology does not take into account the contextual factors and it allows for some decisions that may lead to a slightly different approach being taken. Nevertheless, CoST plans to use the lessons from the initial application of the ITI to allow for country comparisons at a later stage of development.

As with other measuring instruments, the impact of an ITI evaluation depends on the extent to which its results are used by those responsible for decision making.

2. Content

2.1 Structure

The Infrastructure Transparency Index (ITI) is made up of four building blocks known as dimensions, namely:

1. enabling environment
2. capacities and processes
3. citizen participation
4. information disclosure

The first dimension evaluates the national or sub-national context with its legal framework. The other three evaluate the capacities and transparency outcomes at the procuring entities level. Together, the four dimensions align with empirical studies that describe how the quality of procurement outcomes depends on a combination of the regulatory framework and institutional capacities.

Each of the four dimensions is divided into a series of components to allow for their comprehensive evaluation. The result is a four-level hierarchy: the dimensions are formed by variables, which in turn are made up of sub-variables, which in turn are composed of indicators (see **Figure 2.1**).

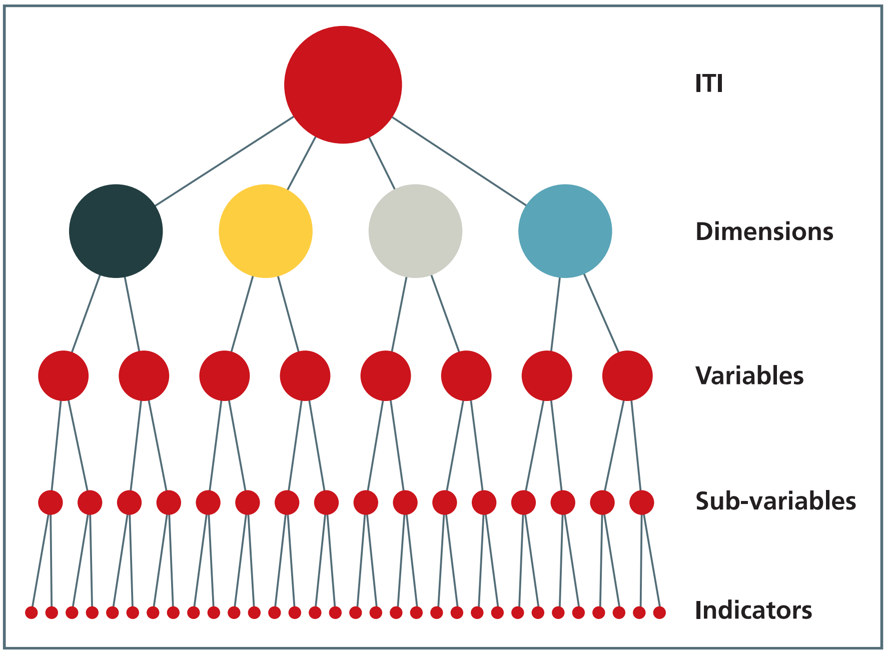

Figure 2.1: ITI hierarchy example

All the indicators are individually evaluated and scored. A set of weighted indicator scores then gives a sub-variable score; a set of weighted sub-variable scores gives a variable score; and a set of weighted variable scores gives a dimension score. A national or sub-national ITI score is finally obtained from the weighted sum of the four dimension scores.

2.2 Dimensions

DIMENSION 1: ENABLING ENVIRONMENT

Dimension 1 assesses national or sub-national conditions enabling transparency for the infrastructure sector considering the regulatory framework and centralised digital tools. It has one variable, three sub-variables and 12 indicators. The complete list of indicators is provided in **Annex 1**. The variable and sub-variables of the dimension are:

- Legal framework and digital tools
    - Access to public information regulatory framework
    - Transparency standards in the public infrastructure sector
    - National digital information tools.

All indicators of this dimension are national or sub-national and are measured once at the country or local level, irrespective of the number of procuring entities selected for evaluation. Its results offer feedback to strengthen the national or sub-national environment, not processes within institutions. The score for the dimension is obtained through the weighted sum of the underlying indicators.

The indicators in this dimension are evaluated using information that is typically available from online sources such as websites containing national regulatory frameworks and information linked to the sector, such as those focused on transparency, public procurement, public infrastructure and public finances.

DIMENSION 2: CAPACITIES AND PROCESSES

Dimension 2 assesses the soundness of procuring entities' procedures and capacities to disclose data and information. It has two variables, five sub-variables and 25 indicators. The complete list of indicators is provided in **Annex 1**. The variables and sub-variables of the dimension are:

- Institutional capacities
  - Basic knowledge
  - Digital capacities
- Institutional processes
  - Procedures to disclose information
  - Enablers and barriers to disclose information
  - Control over infrastructure projects disclosure.

All the indicators of this dimension evaluate procuring entities, not national or sub-national conditions. The indicators are evaluated once in each of "n_e" selected procuring entities (see paragraph 3.1.5 on how procuring entities should be selected). The dimension results offer feedback to strengthen capacities and processes at the procuring entity level. The score of the dimension is obtained through the weighted sums of the underlying indicators for each of procuring entity.

The data required to evaluate the indicators from this dimension are captured by a survey that has to be undertaken by a selected government officer at each procuring entity through either self-assessment or interview. Details of the survey and indicator scoring system are provided in **Annex 2**.

DIMENSION 3: CITIZEN PARTICIPATION

Dimension 3 evaluates the opportunities provided by procuring entities for citizen participation and how citizens can use the disclosed public information. It has one variable, two sub-variables and 12 indicators. The complete list of indicators is provided in **Annex 1**. The variable and sub-variables of the dimension are:

- Participation practices
  - Participation opportunities
  - Use of information by citizens.

All the indicators of this dimension evaluate procuring entities. The indicators are evaluated once for each of "n_e" selected procuring entities (see paragraph 3.1.5 on how procuring entities should be selected). The results from this dimension offer feedback to strengthen a procuring entity's citizen's participation practices. The score for this dimension is obtained through the weighted sums of the underlying indicators for each procuring entity.

The data required to evaluate the indicators from this dimension are captured by a survey (the same as for dimension 2) that has to be undertaken by a selected government officer at each procuring entity through either self-assessment or interview. Details of the survey and indicator scoring system are provided in **Annex 2**.

DIMENSION 4: INFORMATION DISCLOSURE

Dimension 4 assesses the amount of project data and information disclosed by the procuring entities according to the CoST Infrastructure Data Standard or the Open Contracting for Infrastructure Data Standard. It has one variable, six sub-variables and 44 indicators. The complete list of indicators is provided in **Annex 1**. The variable and sub-variables of the dimension are:

- Disclosure practices
  - Project identification
  - Project preparation
  - Execution or construction contract procurement
  - Supervision or project management contract procurement
  - Execution or construction contract implementation
  - Supervision or project management contract implementation

All indicators of this dimension evaluate "n_p" infrastructure projects developed by each of "n_e" procuring entities (see **paragraphs 3.1.5** and **3.1.6** on how procuring entities and projects should be selected). The dimension results offer feedback to the selected procuring entities to strengthen their information disclosure. The overall score of the dimension is obtained through averaging the weighted sum of the underlying indicators for each of "n_p" projects.

The indices in this dimension are evaluated using information that is typically available from online sources such as websites containing information on public infrastructure projects and public procurement and other websites showing information linked to these subjects.

Table 1 below presents a summary of the evaluation subjects and data collection methods for each of the four dimensions.

	DIMENSION 1: enabling environment	DIMENSION 2: capacities and processes	DIMENSION 3: citizens participation	DIMENSION 4: information disclosure
Evaluation subject	National or sub-national conditions	Procuring entities	Procuring entities	Procuring entities' projects
Data collection method	Desktop research	Self-assessment or interview	Self-assessment or interview	Desktop research

Table 1: Summary of the evaluation subjects and the data collection methods for each ITI dimension

3. Implementation methodology

Implementing the Infrastructure Transparency Index (ITI) methodology entails following a sequence of four main stages to arrive at the final ITI score, as illustrated in **Figure 3.1**.

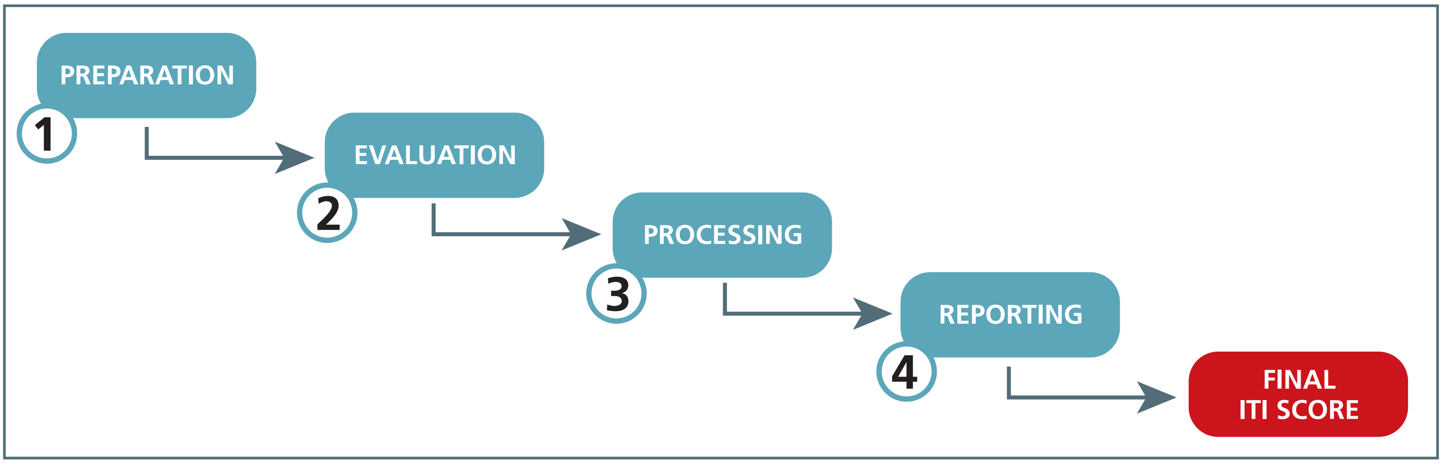

Figure 3.1: The four stages to determine an ITI score

3.1 Preparation

EVALUATION TEAM

Identifying an appropriate evaluation team is vital for successfully implementing the methodology that determines an ITI score. Regarding knowledge, each member of the team needs to have a clear understanding of CoST's principles and approach, sufficient experience of government portals that contain the information required for evaluation, and experience in requesting public information and using collaboration tools.

The size of the evaluation team will depend on the time and resources available, as well as the number of procuring entities to be evaluated. The shorter the time, the bigger the team should be; and the more the procuring entities, the bigger the team should be. However, there will always be a constraint, as the number of people in the team and the time allocated will be limited by the resources available. A balance therefore needs to be considered when defining the team size. It is recommended that there should be a minimum of three people in the evaluation team (see **section 3.2**).

In terms of the roles, the team should have a coordinator and evaluators. The coordinator is in charge of methodological and administrative arrangements, as well as quality control, data processing and reporting. The evaluators are in charge of all data collection based on the ITI methodology. If the team only comprises three people, the minimum number recommended, the coordinator will also need to perform the role of third evaluator. The division of responsibilities between the coordinator and the evaluators implies the need for a close relationship between them at all times during data collection. The coordinator participates in all the ITI implementation stages, while the evaluators only participate in the data collection during the evaluation stage.

MATERIALS

All working documents and equipment required to conduct the evaluation need to be prepared before the evaluation begins. The evaluation team will need computers, internet access and the files and forms used to conduct the evaluations. If the survey to collect the data for dimensions 2 and 3 is through interviews, the team will need to print copies of the questionnaire if an electronic version cannot be used. If the survey is to be conducted through self-assessment, the team should always use an electronic form of the questionnaire to share with the selected public officer.

EVALUATION PERIOD

The information required for determining the ITI has to be applicable during a specific evaluation period (e.g. 1 January to 31 December). An evaluation period needs to be established to avoid using evidence that was used in a previous evaluation and to ensure a consistent approach for all procuring entities. There will then be a shorter data collection period when this information is collected (e.g. 1 April to 31 May).

The evaluation period needs to be defined from the outset, clearly understood by the evaluation team and the procuring entities, and documented in final reports.

PROCURING ENTITIES SAMPLE

There is a need to define the number and identity of the specific procuring entities that will be evaluated. The amount of work and time required for the evaluation will generally be proportional to the number of entities evaluated.

To determine the number of procuring entities, the available resources and time have to be considered. A provisional allocation of 0.5 days per procuring entity is suggested to prepare the basic numbers. It is then important to consider the scale and structure of the national or sub-national context.

Based on experience of testing the ITI methodology in Honduras and Guatemala, it is recommended to start by using a stratified random method (see example in **Annex 3**). This involves selecting a sample or around 20% of all procuring entities in smaller more centralised economies, or up to 100 procuring entities in larger more decentralised economies. In both cases a complete list of all procuring entities with basic information (such budget size, category and sector) will be needed to ensure a representative sample. The sample size should increase progressively to 100% or 500 procuring entities over a 4 to 5 year period. However, if the number of procuring entities at the national or sub-national level is low, all procuring entities should be included from the outset.

An alternative method can be to select the procuring entities that represent 20% of infrastructure investment and progressively increase this number. A combination of the two methods can also be used and this approach can be refined as more is learned about its application. The expectation is that as the number of procuring entities and investment increases, so too will the accuracy of the overall picture of transparency, accountability and participation across the infrastructure sector.

The use of the stratified random method will allow a balanced selection in the procuring entities sample according to their different categories. To determine the procuring entities sample, the recommended criteria would include:

- infrastructure budget size (as an indicator of the socio-economic impact of its projects)
- category or type (e.g. central government, municipality, autonomous)
- sector (e.g. education, health, energy).

The categories can be based on the Open Contracting for Infrastructure Data Standard (OC4IDS) sectors and sub-sectors (see **Annex 3**).

The most important aspect of the criteria is that they result in the selection of a sample of procuring entities that represents

CoST Guatemala highlights infrastructure issues to the media.

the greatest contribution to economic and social impact while making it clear that any procuring entity could be randomly selected. The criteria have to apply to all procuring entities without exception and should be documented and transparent.

INFRASTRUCTURE PROJECTS SAMPLE

The selection of projects to be evaluated per procuring entity is a key element for determining the ITI. For each selected entity, the same number of projects should be selected for the evaluation using a selective and random sampling approach. In CoST countries, it is preferable to select projects that have not previously been part of the assurance process. The same criteria for selecting the projects has to be applied to all procuring entities.

It is a requirement that each project for evaluation is completed to allow an evaluation of the whole project cycle. Each completed project is evaluated using the indicators in dimension 4 on information disclosure. The indicators for this dimension are evaluated "n_p" times for each procuring entity, where "*n*p" equals the number of completed projects selected for evaluation.

A minimum of two projects per procuring entity is required. Using a mix of selective and random methods, a minimum of one project should be selected based on its perceived importance to stakeholders (for example) and the other would then be randomly selected from the total list of projects implemented by each procuring entity.

To select projects based on importance, it is recommended to start by ranking them by their budget. Two people can then look only at the projects with the highest budgets from each of the procuring entities and independently score them based on their perceived impact. If there is a significant difference between the scores allocated, a third person can join to resolve the difference. From the set of projects with the highest budget, the one with the highest perceived impact should be selected. In the interests of transparency and consistency, the criteria used for selecting the projects to be evaluated should be published with the results report.

TRAINING

Training is needed to ensure every member of the team is capable of evaluating each ITI indicator in the same consistent manner. The evaluation instrument and its processes need to be studied, understood and applied. Different scenarios and complexities that might occur during the data collection also need be discussed and worked through during training. Recommendations for evaluation team training are provided in **Annex 4**.

LOGISTICS

The preparation stage also requires consideration of the different logistical aspects of the evaluation, including the location where evaluations will take place and other pertinent details. If the survey is to be undertaken through interviews, it will be necessary to include transportation to reach each procuring entity in the budget.

Logistics also includes the communication required with each procuring entity to collect the data. This entails drafting formal letters, making arrangements for the interviews or self-assessments, follow-up communications, invitations and so on. Finally, it is necessary to ensure effective communication with other important stakeholders, such as the CoST multi-stakeholder group.

3.2 Evaluation

The evaluation stage is when all indicators are evaluated. Each of the four ITI dimensions have their own evaluation process, as follows.

DIMENSION 1: ENABLING ENVIRONMENT

Dimension 1 assesses national or sub-national conditions enabling transparency for the infrastructure sector and its indicators are determined through desktop research. Each indicator requires inputs from at least two evaluators, who make an initial evaluation independently of each other to avoid any bias.

If the results from both evaluators for each indicator are the same, then the results are considered final. If there is a difference between them, then a third evaluator resolves the difference. This third evaluation must coincide with one of the first two and is then considered final. If in the rare case where the third evaluator believes that both initial evaluators are wrong, that specific indicator is returned to the two initial evaluators for a review. It is highly probable that after this review, the third evaluator will agree with one of the two initial evaluators.

The quality of the collected data in dimension 1 is achieved through this approach, which ensures that the same observation will always be independently obtained by two different evaluators.

DIMENSION 2: CAPACITIES AND PROCESSES

Dimension 2 assesses the soundness of a procuring entity's procedures and capacities to disclose data and information. Its indicators are evaluated through a survey that is completed once by an officer at the procuring entity. Normally, this officer is recognised as the "information officer". This is the person who, officially or unofficially, coordinates the efforts linked to the national access-to-information law. This means that they are likely to be familiar with the principles of transparency, accountability, open data, citizen participation, collaboration and innovation.

The survey can be undertaken through an interview or self-assessment. Both methods require the officer to respond to all questions and provide supporting explanations. The interview method potentially offers a means of ensuring more complete and fuller responses, but requires more resources to collect the data. The self-assessment option may require less effort and fewer resources but can nevertheless result in good data if there is engagement and validation. The local evaluation team needs to consider their situation and context to decide which of the two methods is more practical. Experience within CoST suggest that both methods can work effectively when well conducted.

The quality of data collected by the survey should be verified by triangulating the results with other sources of information. These include the following.

- Endorsement, which is obtained by a signed statement of veracity of the information provided (see **Annex 2**).
- Evidence that validates the assigned scores. If the evidence (such as explanations, documents, websites, notice boards and newspapers) that was provided for a specific question does not match with the score assigned by the officer, the evaluation team can go back to the officer to ask for more information and/or request further consideration of the score assigned to the specific question.

DIMENSION 3: CITIZEN PARTICIPATION

Dimension 3 assesses the opportunities provided by procuring entities for citizen participation and how citizens use the disclosed public information. Its indicators are evaluated through the same survey that is completed by the information officer of each procuring entity.

The survey is undertaken by the individual either through self-assessment or interview. The local evaluation team will decide which method is more appropriate in their context. It is initially recommended to use the same method for all evaluated procuring entities using the same evidence and endorsement control method as used with the other dimensions.

DIMENSION 4: INFORMATION DISCLOSURE

Dimension 4 assesses the amount of data and information disclosed by the procuring entities according to the CoST Infrastructure Data Standard or the OC4IDS and its indicators are measured through desktop research. These indicators require two or three evaluators, as in dimension 1. The quality of the collected data comes from the same method, where a single observation will always be obtained through independent evaluation by two different people.

CoST Ukraine showcases its innovative tools.

RECOMMENDATIONS ABOUT WORKING WITH PROCURING ENTITIES

In some conditions, it can be anticipated that obtaining data from procuring entities will be challenging. For this reason, the following approach is recommended.

- Collect the contact information of the procuring entity's access-to-information unit. Since the information required by the ITI typically comes from this unit (or the equivalent, as defined in applicable national legislation), having the contact information of government officers at the unit can accelerate and facilitate the data collection process.
- Prepare a formal written invitation to the ITI process, copying the procuring entity main authority, that covers these points:
  - summary of the ITI concept
  - benefits to be obtained by the procuring entity and the country
  - legal framework that allows access to public information
  - information requirements (a copy of the survey can be attached)
  - request to confirm participation.
- Schedule the interviews or request the completion of the self-assessments. If interviews are to be conducted, it will be necessary to schedule all the meetings before the evaluation starts to ensure that the interviews are conducted during the evaluation period. If there are to be self-assessments, share the survey form with the procuring entities and define a deadline for completion. Provide the contact information of the evaluation team to respond to any questions. Always provide a completed example response, either for the interview or the self-assessment, to make sure that the officer at the procuring entity understands how to answer the survey questions correctly.

Communicate in an empathetic way. Written and verbal communications with government officers at the procuring entities should always be in positive terms and need to be formal, standardised and make reference to the access-to-information law or any other relevant legislation. It is important to show to the officers the benefits to their day-to-day work, to the procuring entity and to citizens that would come from the ITI results. An empathetic and purposeful attitude is key to generating reliable communications with these officers and is likely to increase the likelihood of receiving information that reveals the challenges faced by the procuring entities and the general contribution generated by the ITI.

- Define a protocol to follow when responses are not given by procuring entities. Daily workload and a lack of willingness are barriers that can limit the access to information to conduct an ITI evaluation. To address these problems, it is necessary before initiating the evaluation to design a protocol that considers national regulations, context and public-sector culture. An example of a protocol when conducting a self-assessment is as follows.
    - Initial follow-up phone call (or email) from the evaluation team within the deadline to ask the procuring entity if there are questions or problems with the survey.
    - Follow-up phone call (or email) from the evaluation team when the deadline has just expired to try to commit the procuring entity to a new and prompt deadline.
    - Another follow-up phone call (or email) from the evaluation team within the second deadline to ask the procuring entity if there are questions or problems with the survey.
    - Further follow-up phone calls (or emails) when the second deadline has expired, from an ITI-related high-level authority such as the CoST country manager, a CoST multi-stakeholder group member or a high-level official from the national access-to-public-information agency or equivalent.
    - Document the lack of response from the procuring entity after the described process. The ITI results report should have a section clearly stating the protocol followed and identify the procuring entities that did not contribute with the public information required by the ITI. This section will help to minimise the lack of contribution in future evaluations.
- Invite the procuring entities to the ITI results presentation. Make sure the government officers from the procuring entities that participated in the ITI evaluation, among other people, receive an invitation to the results presentation event, share the written results with these officers and invite them to get closer to the initiative and to ask any questions they may have related to the process or the instrument.

Government officials at a CoST Uganda workshop.

As a general note, since procuring entities will be evaluated and compared (which is an essential part of the ITI) with the information they provide, it is necessary to have formal and standard communications with them to make sure none receives preferential treatment that may somehow influence the results. Also, it must be made clear that comparisons will only be expressed in a constructive manner.

REMARKS ON OBJECTIVITY

The ITI has three different methods to minimise the effect of subjectivity when conducting an evaluation. These are as follows.

- Scoring scales: each ITI indicator has its own points scoring scale of zero to five (0–5). The scale describes the possible answers or scenarios for each indicator and what score has to be assigned based on the conditions that were found during the evaluation. The possible answers or scenarios provide clarity to the evaluators and reduce their level of subjectivity when assigning scores. All indicators and their scoring scales are shown in Annex 1, with more detailed guidance on dimensions 2 and 3 in Annex 2.

- Double review: all indicators that require desktop research (those in dimensions 1 and 4) have to go through a process where each indicator is evaluated by two or three different people. The results generated by two people have to be the same to be acceptable for processing.

- Triangulation method: all indicators evaluated with survey information (those in dimensions 2 and 3) are subject to a triangulation method that combines evidence and endorsement. First, the government officer who completes the survey is required to sign a statement of veracity of information (see Annex 2). Second, their answers are reviewed by the evaluation team according to the evidence provided to validate the scores that were assigned. The data is only accepted for processing after approval by the evaluation team.

The combination of the three methods allows an ITI evaluation to maintain objectivity, replicability and trustworthiness.

PROCESSING

The data collected has to be converted to assign an score that ranges from zero to one (0–1) for each indicator, sub-variable, variable and dimension, based on their assessment and weightings. All ITI components have associated differentiated weightings according to their relative importance (see Annex 1). The weightings are based on the validation process and will be reviewed over time. To obtain the scores, the following process is applied.

- Each indicator, sub-variable, variable and dimension has a weighting in the range of zero to one (0–1).

- Each indicator is also given a score ranging from zero to one (0-1). For simplicity the indicators are evaluated on a points scale of zero to five (0–5) so, for example, if the evaluation is 2 points, the assigned score is 0.4.

- Each indicator contributes a proportion to the score given to the sub-variable. That proportion is determined by the indicator weighting multiplied by the score obtained by the indicator. For example, if the indicator weighting is 0.24 and the score is 0.8 (because it had an evaluation of 4 points), then this indicator contributes a score 0.192 to the sub-variable score. The score for the sub-variable is defined by adding the contribution of all the indicators it contains.

- The total score of each variable and dimension is obtained by following the same process as above.

- The national or sub-national ITI score is obtained by summing weighted scores of all four dimensions, giving a value between zero and one (0–1). For dimensions 2 and 3, the scores of each procuring entity are added together and then divided by the number “n_e” of procuring entities to give an average score. For dimension 4, the scores of each project are added together and then divided by the number “n_p” of projects to give an average score.

- The procuring entity ITI score is obtained by summing the alternatively weighted scores of dimensions 2, 3 and 4 (see Annex 1). Again, for dimension 4, the scores of each project are added together and then divided by the number “n_p” of projects to give an average score.

The main output of the processing stage is a database where all the procuring entities appear with their scores from each indicator, sub-variable, variable and dimension. The database also contains the scores for the national or sub-national ITI components.

REPORTING

The reporting stage involves the preparation, publication and public presentation of the final results report. The report should contain as a minimum: a description of the methodology adopted, together with associated technical decisions (such as the procuring entities sample size and selection); the ITI results for each evaluated procuring entity; the national results with associated analysis; comparisons (between procuring entities and previous results) with associated analysis; and conclusions.

The scores in the reports should be presented at the following levels:

- National or sub-national ITI score: this is the global score obtained by the weighted sum of the four ITI dimensions. It also shows the specific scores for each dimension, considering that the national score for dimensions 2, 3 and 4 are obtained from the average for all evaluated procuring entities and their projects.

- Procuring entities' ITI scores: this is the total score obtained by each evaluated procuring entity, with their detailed scores for each indicator, sub-variable and variable in dimensions 2, 3 and 4.

- Procuring entity scorecards: this is a visualisation summary of the main scores obtained by procuring entities, using charts and figures. The visualisation is prepared for each evaluated procuring entity.

- ITI results database: this contains the disaggregated scores for each dimension, variable, sub-variable and indicator. The database has to be enclosed with complete results, as open data. This file is accessible to multiple actors and gives them the opportunity to make use of the data to work with others to identify shortcomings in current practices and thereby achieve positive institutional, social and economic change.

After the presentation and publication of the ITI results, it is normal that procuring entities and other stakeholders raise any questions or concerns they may have, ask for follow-up meetings and, in some cases, request training or other forms of support. The organisation(s) leading the ITI will need to have the capacity to respond to these needs.

Civic engagement facilitated by CoST Thailand.

Annexes

Annex 1: Evaluation instrument

The Infrastructure Transparency Index (ITI) score (range 0–1) is calculated as follows:

$$\textbf{ITI score} = \sum w_d \left(\sum w_v \left(\sum w_{sv} \left(\sum w_{i.} i \right) \right) \right)$$

Where w_i is the weighting for each evaluated indicator score *i* (range 0–1) within each sub-variable, w_{sv} is the weighting for each sub-variable score within each variable, w_v is the weighting for each variable score within each dimension and w_d is the weighting for each dimension score within the ITI.

All dimensions, variables, sub-variables, indicators, indicator points scale and weightings are shown in the following table. The full scoring process for indicators in dimensions 2 and 3 are contained in **Annex 2**.

When calculating a national or sub-national ITI score, the dimension 2 and 3 scores are calculated by adding the respective dimension scores for each procurement entity and then dividing each one by the number of procuring entities (n_e) to provide the average values. For dimension 4, the scores for each project are added together and then divided by the number of projects (n_p).

When calculating a procuring entity ITI score (individually or in groups), dimension 1 and its indicators, sub-variables and variables are not included and larger values of wd are used for dimensions 2, 3 and 4 (see weighting column in table below). Again for dimension 4, the scores for each project are added together and then then divided by the number of projects (n_p).

While the indicators have different evaluation processes, as explained in this manual, all need to be evaluated during the same evaluation period. For example, if evaluations are conducted annually, indicators need to be evaluated based on evidence and justifications accumulated between the previous evaluation and the present, without using information from previous evaluations.

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
1	Dimension	Enabling environment	Evaluates national or sub-national conditions enabling transparency for the infrastructure sector considering the legal and regulatory framework and the centralised digital information tools.		The indicators of this dimension are evaluated just once at the national or sub-national level.	0.20 when calculating the national or sub-national ITI score 0.00 when calculating the procuring entity score (i.e. not used)	
1.1	Variable	Legal framework and digital tools				1.00	
1.1.1	Sub-variable	Access to public information regulatory framework	Evaluates the existence of a national regulation on access to public information, or other related regulation, relevant to the infrastructure sector.			0.30	
1.1.1.1	Indicator	Access-to-public information law	There is a national law that guarantees the access to public information in all public sector institutions, which applies to all material held by or on behalf of public authorities with only few exceptions contained in the same law.	Official websites on national legislation	0 = The law does not exist; 2 = It exists, but based on the text does not apply to all public institutions and does not apply to all material; 3 = It exists and complies with only one of the two conditions; 5 = It exists and complies with the two conditions.	0.25	National or sub-national
1.1.1.2	Indicator	Right to request public information	There exists within the national legal framework the right of citizens to request and obtain non-published public information with • access to both information and records/documents • no need to provide reasons for their requests • clear maximum timelines • access to all public institutions.	Official websites on national legislation	0 = This provision does not exist in the laws or regulations of access to information, or there is no law of access to information; 1 = The provision to request non-published information exists but none of the four conditions are covered by the law; 2 = The provision exists but only one condition is covered by the law; 3 = The provision and two conditions are covered by the law; 4 = The provision and three conditions are covered by the law; 5 = The provision and the four conditions are covered by the law.	0.25	National or sub-national

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
1.1.1.3	Indicator	Sanctions over non-compliance with access to public information mandates	Within the national legal framework there are sanctions for non-compliance on proactive and reactive disclosure of information.	Official websites on national legislation	0 = No sanctions exist in the laws or regulations, or no law of access to information exists; 3 = The sanctions only apply for non-compliance to proactive and reactive publication, or do not apply to all public sector institutions; 5 = There are sanctions in the law for non-compliance with proactive and reactive publications and they apply to all public sector institutions.	0.25	National or sub-national
1.1.1.4	Indicator	Organisation guaranteeing the sanctions	Within the national legal framework there are organisations or mechanisms that are • protected against political and financial interference • responsible for overseeing the compliance of access-to-information requirements • compliant with the sanctions determined by law.	Official websites on national legislation	0 = There is no organisation or mechanism in charge of enforcing compliance with the access-to- information law/regulation, or there is no access to information law/regulation; 2 = There are organisations or mechanisms with only one of the three conditions covered; 3 = There are organisations or mechanisms with two of the three conditions covered; 5 = There are organisations or mechanisms with the three conditions covered.	0.25	National or sub-national
1.1.2	Sub-variable	Transparency standards in the public infrastructure sector	Evaluates the existence of laws and regulations that guarantee access to information in accordance with a transparency data standard for public infrastructure.			0.45	
1.1.2.1	Indicator	Proactive publication of information on public procurement processes	There is a national act or regulation that guarantees proactive disclosure of public procurement information in all public sector institutions.	Official websites on national legislation	0 = It is not required by the law, or there is no law of access to information; 3 = It is required by the law but does not apply to all public sector institutions and/or the procurement data for disclosure are limited; 5 = It is required by the law, applies to all public sector institutions and the procurement file related to all procurement stages is required for disclosure.	0.20	National or sub-national

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
1.1.2.2	Indicator	Proactive publication of information on public infrastructure projects	There is a national act or regulation that guarantees proactive disclosure on public infrastructure projects in all public sector institutions.	Official websites on national legislation	0 = It is not required by the law, or there is no law of access to information; 3 = It is required by the law but does not apply to all public sector and/or the project infrastructure data for disclosure are limited; 5 = It is required by the law, applies to all public sector institutions and the full infrastructure project file is required for disclosure.	0.20	National or sub-national
1.1.2.3	Indicator	Infrastructure data disclosure standard	There is a national act or regulation that defines a data disclosure standard in public infrastructure (such as a formal disclosure requirement (FDR) requesting for the data of CoST IDS or OC4IDS), that must be complied with by all national or sub-national procuring entities.	Official websites on national legislation	0 = FDR does not exist; 3 = Exists but does not apply to all public institutions; 5 = Exists and applies to all institutions.	0.20	National or sub-national
1.1.2.4	Indicator	Infrastructure data disclosure standard proactively published as open data	The national act or regulation with the infrastructure data disclosure standard requests proactive disclosure of infrastructure projects as open data.	Official websites on national legislation	0 = Formal disclosure of open data is not required, or there is no law providing the standard for the data publication; 3 = Formal disclosure of open data is required, but partially because does apply to all public sector or does not apply to the full data standard (that is the CoST IDS or OC4IDS); 5 = It requires the publication of all the data standard for transparency in public infrastructure (that is the CoST IDS or OC4IDS) as open data in all public sector entities.	0.20	National or sub-national
1.1.2.5	Indicator	Organisation responsible for the infrastructure data disclosure standard	Within the law or regulation there is an organisation responsible for overseeing the compliance of the publication of information according to the infrastructure data disclosure standard.	Official websites on national legislation	0 = There is no organisation responsible for overseeing compliance with the regulation, or there is no relation on the standard for data publication; 3 = There is an organisation but it does not have the power to oversee compliance; 5 = There is an organisation and it oversees compliance with the standard.	0.20	National or sub-national

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
1.1.3	Sub-variable	National digital information tools	Evaluates the availability of national digital tools that facilitate transparency in public infrastructure.			0.25	
1.1.3.1	Indicator	Centralised digital information platforms	There are centralised national or sub-national digital platforms with information on public infrastructure projects.	National websites	0 = There are none; 2-3-4 = There are, but access to information is partial; 5 = There are and the access to information they offer is complete.	0.30	National or sub-national
1.1.3.2	Indicator	Easy access to information in digital information platforms	The information that offers the details of public infrastructure projects, used for example for verification reports, is easily accessible, complete and available in an orderly manner in digital format.	National websites	0 = The information is not easily accessible, or there are no digital systems; 2-3-4 = The information is partially ordered, complete and easily accessible; 5 = It is easily accessible, ordered and complete.	0.40	National or sub-national
1.1.3.3	Indicator	Infrastructure projects geographic information system (GIS) platform	There is a web platform tailored to the needs of citizens that allows in a simple and visual manner, access to a GIS database of infrastructure projects with key information on works under execution or recently executed.	National websites	0 = There is no platform for geographical visualisation; 2-3-4 = There is a platform but it is outdated, or shows little information, or does not show all public infrastructure projects; 5 = There is a complete platform with comprehensive information.	0.30	National or sub-national
2	Dimension	Capacities and processes	Evaluates the soundness of procuring entities' procedures and capacities to disclose data and information.		The indicators of this dimension are evaluated "n_e" times at the procuring entity level.	0.25 when calculating the national or sub-national ITI score 0.35 when calculating the procuring entity ITI score	
2.1	Variable	Institutional capacities				0.40	
2.1.1	Sub-variable	Basic knowledge	Assesses the knowledge of public officers on subjects of access to information and transparency in public infrastructure.			0.50	

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
2.1.1.1	Indicator	Knowledge about the access-to-information law	The officer who completes the survey knows the national access-to-information law on public information and the main provisions.	Survey of public officials	0 = The officer does not know the law; 1 = Only knows it exists without being able to quote its content; 2-3-4 = Can quote key elements; 5 = Describes what is public, the proactive and reactive publication, the request of access and the organisation that guarantees compliance.	0.20	Institutional
2.1.1.2	Indicator	Knowledge about transparency initiatives in the infrastructure sector	The officer who completes the survey knows the existence of the transparency initiatives in the infrastructure sector and their objectives.	Survey of public officials	0 = The officer does not know them; 1 = Only knows they exists, without being able to quote on their scope; 2-3-4 = Can quote key elements; 5 = Describes what is CoST, the data standard, the FDR, the multisectoral group and the assurance of projects.	0.20	Institutional
2.1.1.3	Indicator	Knowledge about the transparency data standard in the infrastructure sector	The officer who completes the survey knows the national or sub-national transparency data standard for the infrastructure sector and its requirements.	Survey of public officials	0 = The officer does not know it; 1 = Only knows it exists without being able to quote its scope; 2-3-4 = Can quote key elements; 5 = Besides the key elements, may indicate the level of adoption of his/her institution.	0.20	Institutional
2.1.1.4	Indicator	Knowledge about sanctions due to non-compliance on the access-to-public-information law	The officer who completes the survey knows the sanctions applied for non-compliance with the standards of access to public information and/or State contracts.	Survey of public officials	0 = The officer does not know about sanctions; 2-3-4 = Knows about them partially; 5 = Knows about the sanctions adequately or knows that the laws or regulations do not include sanctions (if it were so).	0.20	Institutional

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
2.1.1.5	Indicator	Knowledge about different data categories	The officer who completes the survey knows what constitutes and the differences between: public data, personal data, sensitive data, confidential data and reserved data.	Survey of public officials	0 = The officer does not know what the quoted type of data is; 2-3-4 = Knows them partially; 5 = Knows them and can differentiate them clearly.	0.20	Institutional
2.1.2	Sub-variable	Digital capacities	Assesses institutional capacities on the use of digital technologies to facilitate efficiency and transparency.			0.50	
2.1.2.1	Indicator	Computer equipment	The entity has computer equipment for all personnel performing any type of administrative work.	Survey of public officials	0 = There is no access to computer equipment for any officer at the entity; 2-3-4 = Access to computer equipment is partial or insufficient; 5 = All officers performing administrative work have access to computer equipment.	0.20	Institutional
2.1.2.2	Indicator	Connectivity to the internet	The entity has an internet connection that offers an adequate bandwidth for the systems operations and the personnel.	Survey of public officials	0 = There is no access to the internet; 2-3-4 = There is access but its bandwidth is insufficient for the systems and the personnel; 5 = The bandwidth is optimal for the entity´s activity.	0.20	Institutional
2.1.2.3	Indicator	Institutional website	The institution has its own website and is capable of managing its content and services in real time.	Survey of public officials	0 = The institution does not have a website; 2-3-4 = Does have a website, but its management capacity is partial; 5 = Has total control.	0.20	Institutional
2.1.2.4	Indicator	Information systems for infrastructure projects	The institution has a digital system to record all information related to public infrastructure projects.	Survey of public officials	0 = The institution records are on paper; 2 = Some records are electronic; 3 = Records are mainly on spreadsheets, like Excel or others; 5 = All the records are in information systems.	0.10	Institutional
2.1.2.5	Indicator	Use of digital information systems	Officers use available digital systems for activities related to public infrastructure projects.	Survey of public officials	0 = Systems are not used, or there are no systems; 3 = The systems are only partially used; 5 = They are fully used.	0.10	Institutional

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
2.1.2.6	Indicator	Infrastructure open data publication	The entity publishes information of its infrastructure projects in this format, complying with the following conditions: • tabulated • updated • complete • processable by computer • free of payment • with a license allowing their free use.	Survey of public officials	0 = The entity does not publish infrastructure data; 1 = The entity publishes data but only complies with one condition; 2 = Publishes data and comply with two conditions; 3 = Publishes data and complies with three or four conditions; 4 = Publishes data and complies with five conditions; 5 = Publishes infrastructure data complying with all six conditions.	0.10	Institutional
2.1.2.7	Indicator	Visualisations based on infrastructure projects data	The public entity uses visualisations that facilitate the presentation and interpretation of information referring to public infrastructure projects.	Survey of public officials	0 = The entity does not publish visualisations on this subject; 3 = Publishes but not regularly; 5 = Publishes visualisations regularly (it can be on the web or other media such as print).	0.10	Institutional
2.2	Variable	Institutional processes				0.60	
2.2.1	Sub-variable	Procedures to disclose information	Evaluates institutional procedures to guarantee transparency of data and information related to public infrastructure.			0.35	
2.2.1.1	Indicator	Procedures for the publication of information	There is a documented institutional procedure for the proactive disclosure of information linked to public infrastructure projects.	Survey of public officials	0 = There is no procedure, or the officer does not know if any exists; 3 = There is a procedure, but the officer only quotes generalities; 5 = The officer knows it, shows it and describes the main elements.	0.20	Institutional
2.2.1.2	Indicator	Respons-ibilities for disclosure	The procedure for proactive disclosure refers to named officers who are responsible for the various stages of the proactive disclosure of information process.	Survey of public officials	0 = The procedure does not name anybody, or nobody exists in charge of the proactive disclosure; 3 = The procedure names only some people; 5 = The procedure names all people per stage.	0.20	Institutional

Infrastructure Transparency Initiative

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
2.2.1.3	Indicator	Information officer profile	There is a documented professional profile in the institution for an "information officer", "information unit", or similar, that describes the professional requirements and main tasks for this person or unit.	Survey of public officials	0 = There is no profile or the officer does not know if there is any; 3 = There is a profile, but it has unrelated responsibilities (includes other activities besides the ones related to public information access); 5 = There is a profile and all documented responsibilities are related to it.	0.20	Institutional
2.2.1.4	Indicator	Information officer	There is a person nominated for the position of information officer and the person fully complies with the job profile.	Survey of public officials	0 = There is no person assigned, or there is no profile; 3 = There is an assigned person but does not comply with the profile requirements; 5 = The assigned person complies with all requirements.	0.20	Institutional
2.2.1.5	Indicator	Follow-up mechanisms on information requests	There are procedures to provide an internal follow-up to public infrastructure project information requests that come from citizens or other actors.	Survey of public officials	0 = There is no follow-up mechanism on information requests, or the officer does not know if one exists; 3 = There is a follow-up mechanism but presents weaknesses that might result in a lack of response; 5 = There is an internal follow-up mechanism on which no information request can be lost or unanswered.	0.20	Institutional
2.2.2	Sub-variable	Enablers and barriers to disclose information	Evaluates conditions at the entity facilitating or limiting the public information publication.			0.35	
2.2.2.1	Indicator	Internal policy for information publication	There is in the entity an internal policy, issued from the institutional authorities, for the publication of information containing, among other data, those referring to infrastructure projects.	Survey of public officials	0 = There is no internal standard or policy, or the officer does not know if any exists; 3 = There is one, but the entity does not fully comply with it; 5 = There is one and the entity fully complies in practice with it.	0.20	Institutional
2.2.2.2	Indicator	Disclosure training programme	There is an internal disclosure training programme or dissemination process that makes personnel aware at all levels on matters of access to public information that includes infrastructure projects.	Survey of public officials	0 = There is no training programme, or the officer does not know if there is one; 3 = There is a programme but is only applied to some personnel; 5 = There is a programme and is applied to all institutional personnel.	0.20	Institutional

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
2.2.2.3	Indicator	Identification of limitations for publishing information	The internal limitations to publishing infrastructure projects information have been clearly identified.	Survey of public officials	0 = The officer does not recognise the existence of limitations; 3 = The officer knows the limitations but does not describe them adequately; 5 = The officer knows the limitations, describes them and they are documented, or the officer may prove there are no limitations.	0.15	Institutional
2.2.2.4	Indicator	Plan to mitigate limitations for publishing information	There is a document that contains the plan to reduce or eliminate the present limitations to publishing information related to infrastructure projects.	Survey of public officials	0 = There is no documented plan to reduce or eliminate the limitations; 2 = There is a plan but it is not comprehensive and there is no evidence of its implementation; 3 = There is a non-comprehensive plan but there is evidence of its implementation; 4 = There is a comprehensive plan but there is no evidence of its implementation; 5 = There is a comprehensive plan and there is evidence of its implementation.	0.15	Institutional
2.2.2.5	Indicator	Bureaucratic barriers to publish information	The process of proactive and reactive publication of public information, in practice, is not hindered by internal bureaucracy, as for example when it is necessary to obtain approval from multiple parties.	Survey of public officials	0 = The process is highly bureaucratic, or the officer cannot describe whether this type of problem is present; 3 = It is considered that these obstacles are few; 5 = It is considered there are no bureaucratic obstacles to publish public information.	0.15	Institutional
2.2.2.6	Indicator	Document-ation of non-compliance and sanctions	There is documentation at the entity acknowledging and following-up on non-compliance and sanctions imposed by controlling entities due to non-compliance with the access-to-information standards and/or state contracts.	Survey of public officials	0 = There is no documentation, or the officer does not know if there is some; 2 = There is documentation but no follow-up (of the non-compliances and/or sanctions), or the follow-up cannot be described; 3 = There is documentation and follow-up (of the non-compliances and/or sanctions); 5 = The officer can show from the specific documentation that they have not received sanctions from controlling entities.	0.15	Institutional

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
2.2.3	Sub-variable	Control over infrastructure projects disclosure	Assesses the existence of disclosure control mechanisms and their practical impact in improving data disclosure.			0.30	
2.2.3.1	Indicator	Level of disclosed infrastructure projects	Proportion of projects on which information is disclosed, complying with the infrastructure data standard, compared with the total number of projects managed by the procuring entity, expressed as a percentage.	Survey of public officials and/ or national or sub-national websites	0 = 0-10%, or if the officer could not give any numbers; 1 = 11-29%; 2 = 30-49%; 3 = 50-65%; 4 = 66-85%; 5 = 86-100% (approximate calculations according to the available information).	0.50	Institutional
2.2.3.2	Indicator	Level of investment represented by disclosed infrastructure projects	Amount of investment represented by projects on which information is proactively disclosed by the procuring entity, complying with the infrastructure data standard, as a proportion of the total amount of investment on infrastructure projects, expressed as a percentage.	Survey of public officials and/ or national or sub-national websites	0 = 0-10%, or if the officer could not give any numbers; 1 = 11-29%; 2 = 30-49%; 3 = 50-65%; 4 = 66-85%; 5 = 86-100% (approximate calculations according to the available information).	0.50	Institutional
3	Dimension	Citizen participation	Evaluates the opportunities provided by procuring entities for citizen participation and how citizens use the disclosed public information.		The indicators of this dimension are evaluated "n_e" times at the procuring entity level.	0.20 when calculating the national or sub-national ITI score 0.25 when calculating the procuring entity ITI score	
3.1	Variable	Participation practices				1.00	
3.1.1	Sub-variable	Participation opportunities	Assesses the formalisation of citizens participation opportunities and online mechanisms to facilitate this participation.			0.45	

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
3.1.1.1	Indicator	Institution-alised citizen participation	The institution has formal citizen participation opportunities that allow the procuring entity to listen and implement requests from the citizenship, that may be used for public infrastructure projects.	Survey of public officials	0 = There are no laws, regulations, or policies that can be used as foundation for citizens participation; 2 = There is only a national or sub-national regulatory framework for participation, with no internal (institutional) framework; 3 = There are both, external and internal frameworks for participation; 5 = There are both external and internal frameworks and there are also efficient documented procedures for citizens' participation.	0.20	Institutional
3.1.1.2	Indicator	Permanent and inclusive citizen participation	The citizens participation opportunities are permanently available or are available with a constant periodicity through a variety of inclusive channels.	Survey of public officials	0 = There are no formal participation opportunities; 2 = There are participation opportunities, but are not permanent and are not available through a variety of inclusive channels; 3 = Participation opportunities are either permanent or available through a variety of inclusive channels; 5 = Participation spaces are both, permanent and available throughout different participation inclusive channels.	0.10	Institutional
3.1.1.3	Indicator	Citizen participation in infrastructure projects	The entity conducts formal citizen consultation processes to identify, define, prioritize and monitor public infrastructure projects.	Survey of public officials	0 = The entity does not conduct these consultation processes on infrastructure projects, or the officer is not sure if they do them; 2 = The entity has consultation in infrastructure projects, but is not for all project stages and is not for all projects; 3 = The entity has consultation in infrastructure projects in all project stages, but is not applied to all infrastructure projects; 5 = The consultation applies to all infrastructure project stages and to all infrastructure projects.	0.25	Institutional
3.1.1.4	Indicator	Citizen attention office	There is in the institution an office for citizen service (called the Transparency Office, Complaints Office, Information Office, etc.) that sees subjects related to infrastructure projects.	Survey of public officials	0 = There is no office, or the officer is not sure if there is one; 3 = There is one but it has limitations; 5 = There is one and it serves citizens efficiently.	0.15	Institutional

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
3.1.1.5	Indicator	Online form for consultation or requests	There is an online form by which any person may request information, perform a consultation, or present a complaint referring to an infrastructure project and receive an effective response.	Survey of public officials	0 = The entity does not have an online form, or has one that does not work; 2 = It has one but has to be downloaded, printed, completed and scanned or physically taken to the entity; 3 = The entity does have an online form but without a follow-up mechanisms (such as request identity number); 5 = The online form has a specific follow-up mechanism for the applicant.	0.10	Institutional
3.1.1.6	Indicator	Awareness of participation opportunities	The institution makes an effort to ensure that citizens are aware of existing participation opportunities and of the availability of information related infrastructure projects.	Survey of public officials	0 = The entity does not make any effort, or the officer does not know if it has; 3 = The entity makes an effort but not in a consistent, permanent and inclusive manner; 5 = Makes consistent, permanent and inclusive efforts for both things.	0.20	Institutional
3.1.2	Sub-variable	Use of information by citizens	Assesses the use of information related to infrastructure projects by citizens, stemming from case evidence.			0.55	
3.1.2.1	Indicator	Centralised citizen complaints	There is a mechanism that documents citizens' complaints related to public infrastructure projects, generates a log and manages responses in an orderly fashion.	Survey of public officials	0 = There is no centralisation of citizens' complaints, or there is no evidence of its existence; 2 = There is one, but it does not work optimally; 3 = There is one, it works optimally, but it does not generate of a report with inputs for specific infrastructure projects; 5 = It exists, works optimally and its results are evidenced in a report for improvements on specific infrastructure projects.	0.10	Institutional
3.3.2.2	Indicator	Requests and responses of access to information	Access- to-information requests and responses there were from the entity are recorded.	Survey of public officials	0 = The officer cannot show how many requests were there, or there is no record of requests; 3 = The officer can show how many requests and how many responses were there, but with no specific details; 5 = The officer can show how many of the total responses were positive (that is, containing the information requested by the citizens), how many were referred to other agencies (because they were the wrong agency) and how many requests were about the same information.	0.10	Institutional

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
3.3.2.3	Indicator	Institutional response capacity	The response to citizens' access-to-information requests is provided according to the period established by law.	Survey of public officials	0 = There is no capacity of response in the period established by law, or there is no control over the response time, or there is no information about requests; 2 = Only some cases receive response within the period established by law; 4 = Most cases are responded within the period established by law; 5 = 100% of cases are responded to within the period established by law.	0.15	Institutional
3.3.2.4	Indicator	Institutional use evidence	The institution provides the public with feedback, such as reports or announcements, on how citizens' inputs have been used in infrastructure projects.	Survey of public officials	0 = There is no feedback made public, or it is not known if there is internal use of citizens participation; 2 = There is internal use of citizens participation that can be referenced, but is not well documented; 3 = The is internal use and is documented, but not made public; 5 = The internal documented use of citizens participation in infrastructure projects is made public.	0.15	Institutional
3.3.2.5	Indicator	Citizens use evidence	The information made public regarding infrastructure projects is used by the citizens, civil society organisations, academia, media, private sector, or any other actor.	Survey of public officials	0 = The officer does not know if there is any type of use; 3 = The officer knows and quotes an example in this present year; 5 = The officer knows and quotes more than one example in this present year.	0.15	Institutional
3.3.2.6	Indicator	Evidence of joint projects	The institution has developed joint projects with other actors out of the institution as a result of the information on infrastructure projects.	Survey of public officials	0 = The officer does not know if there has been a joint project; 3 = The officer knows and quotes an example in this present year; 5 = The officer knows and quotes more than an example in this present year.	0.15	Institutional
3.3.2.7	Indicator	Improvements as a response to citizen participation	Changes or reforms have been made to infrastructure projects in response to feedback, evaluation, or some other type of citizen participation.	Survey of public officials	0 = There are no case, or the officer does not know if there are any; 3 = There is evidence in a project in this current year; 5 = There is evidence of improvement in more than one project during this present year.	0.20	Institutional

Infrastructure Transparency Initiative

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
4	Dimension	Information disclosure	Evaluates the amount of data and information disclosed by procuring entities on infrastructure projects according to the CoST IDS or the OC4IDS.		The indicators of this dimension are evaluated "n_p" times at the infrastructure project level of each of the "n_e" evaluated procuring entities.	0.35 when calculating the national or sub-national ITI score 0.40 when calculating the procuring entitiy ITI score	
4.1	Variable	Disclosure practices				1.00	
4.1.1	Sub-variable	Project identification				0.10	
4.1.1.1	Indicator	Project reference number	There is a number or code assigned to the project that uniquely identifies it.	Project data on the web	0 = It is not available; 3 = It is available, but it changes, or it is not the same in all registries; 5 = It is always available.	0.075	Institutional by project
4.1.1.2	Indicator	Project owner	The entity in charge of project development and execution contract is clearly identified.	Project data on the web	0 = It is not available; 5 = It is available.	0.10	Institutional by project
4.1.1.3	Indicator	Sector and sub-sector	The sector and sub-sector are identified according to the government structure, for which the project is being developed.	Project data on the web	0 = They are not available; 3 = Only one is available; 5 = Both are available.	0.10	Institutional by project
4.1.1.4	Indicator	Project name	The project is clearly identified with the same name throughout the project cycle.	Project data on the web	0 = It is not identified; 3 = It is identified but it changes; 5 = It is identified with no changes.	0.075	Institutional by project
4.1.1.5	Indicator	Project location	The physical location of the project is clearly identified.	Project data on the web	0 = It is not available; 5 = It is available.	0.15	Institutional by project
4.1.1.6	Indicator	Project description	The project´s description is available, indicating what it is about and the infrastructure outputs that are part of it.	Project data on the web	0 = It is not available; 3 = It is available, but it is insufficient; 5 = It is available, clear and comprehensive.	0.25	Institutional by project

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
4.1.1.7	Indicator	Purpose	There is a project purpose expressed in terms of public infrastructure and its intended social and economic impact.	Project data on the web	0 = It is not available; 3 = It is available, but it is insufficient; 5 = It is available, clear and comprehensive.	0.25	Institutional by project
4.1.2	Sub-variable	Project preparation				0.15	
4.1.2.1	Indicator	Environmental impact	A document that identifies, evaluates and describes the environmental impacts produced by the project on its surroundings is available; including reference to relevant additional studies (soil, topography, hydrogeology, etc.)	Project data on the web	0 = It is not available; 3 = Only a summary is available; 5 = The document is available, is clear and comprehensive.	0.30	Institutional by project
4.1.2.2	Indicator	Land and settlement impact	A document that identifies, assesses and describes the impacts on human settlements and population centres, produced by the project, is available.	Project data on the web	0 = It is not available; 3 = Only a summary is available; 5 = The document is available, is clear and comprehensive.	0.30	Institutional by project
4.1.2.3	Indicator	Contact details	Information identifies the contact details of the officer responsible for the project in the procuring entity.	Project data on the web	0 = It is impossible to know who is responsible; 2 = Only a few names are available; 3 = All names are available; 5 = Names are available, as well as their contact information.	0.10	Institutional by project
4.1.2.4	Indicator	Project budget and date of approval	The total required budget is available for the development of the project and the date of approval provided.	Project data on the web	0 = They are not available; 3 = Only one of the two is available; 5 = Both are available.	0.20	Institutional by project
4.1.2.5	Indicator	Funding sources	The sources where the funds are coming from are identified, e.g. from the national budget, cooperation, multilateral organisations, or others.	Project data on the web	0 = It is not available; 5 = It is available	0.10	Institutional by project
4.1.3	Sub-variable	Execution contract procurement				0.30	

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
4.1.3.1	Indicator	Procuring entity and contact details	The entity in charge of contracting the execution of the infrastructure project and its contact details are clearly identified.	Contract data on the web	0 = They are not identified; 3 = Only one of the two data points is identified; 5 = Both are identified.	0.10	Institutional by project
4.1.3.2	Indicator	Procurement process	The type of procurement process that was applied to award the contract is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project
4.1.3.3	Indicator	Number of firms bidding	The number of companies participating in the bidding process for the infrastructure execution is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project
4.1.3.4	Indicator	Contract type	The type of contract to be signed is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project
4.1.3.5	Indicator	Contract title	The official name of the signed contract is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project
4.1.3.6	Indicator	Contract price	The final amount of the execution contract is clearly stated.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project
4.1.3.7	Indicator	Contract start date	The date when the contract execution starts is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project
4.1.3.8	Indicator	Contract duration	The contract duration is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified, either because it is clearly provided or because it can be calculated with a starting and ending date.	0.10	Institutional by project

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
4.1.3.9	Indicator	Contractor(s)	The • name • identification number • contact information of the winning contractor is clearly identified.	Contract data on the web	0 = They are not identified; 2 = Only one of the three data points are identified; 3 = Two of the three data points are identified; 5 = The three data points are identified.	0.10	Institutional by project
4.1.3.10	Indicator	Contract scope of work	The description of the work and services that the firm has to provide under the signed contract are clearly identified.	Contract data on the web	0 = It is not identified; 3 = It is identified but has deficiencies; 5 = It is identified, clear and comprehensive.	0.10	Institutional by project
4.1.4	Sub-variable	Supervision contract procurement				0.20	
4.1.4.1	Indicator	Procuring entity and contact details	The entity in charge of contracting the supervision of the infrastructure and its contact details are clearly identified.	Contract data on the web	0 = They are not identified; 3 = Only one of the two data points is identified; 5 = Both are identified.	0.10	Institutional by project
4.1.4.2	Indicator	Procurement process	The type of tender management process applied to award the contract is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project
4.1.4.3	Indicator	Number of firms/ individuals bidding	The number of companies or individuals participating in the bidding process for the supervision is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project
4.1.4.4	Indicator	Contract type	The type of contract signed is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project
4.1.4.5	Indicator	Contract title	The official name of the signed contract is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
4.1.4.6	Indicator	Contract price	The final amount of the supervision contract is clearly provided.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project
4.1.4.7	Indicator	Contract start date	The start date of the supervision contract started is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project
4.1.4.8	Indicator	Contract duration	The contract duration is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified, either because it is clearly provided or because it can be calculated with a starting and ending date.	0.10	Institutional by project
4.1.4.9	Indicator	Contract firm/ individual	The name and information of the awarded company or individual to implement the project supervision is clearly identified.	Contract data on the web	0 = It is not identified; 3 = Only the name is identified, without all the details; 5 = The name, contact information and professional are identified.	0.10	Institutional by project
4.1.4.10	Indicator	Contract scope of work	The description of the work and services that the firm or individual has to provide under the signed contract are clearly identified.	Contract data on the web	0 = It is not identified; 3 = It is identified but has deficiencies; 5 = It is identified, clear and comprehensive.	0.10	Institutional by project
4.1.5	Sub-variable	Execution contract implement-ation				0.15	
4.1.5.1	Indicator	Variation to contract price	It is clearly indicated whether variations to the contract price have been made.	Contract data on the web	0 = The price variations are not pointed out when there is evidence that they exist, or there is not price information in the contract; 5 = The price variations are clearly pointed out if there is evidence that they exist, or no price variations could be observed.	0.10	Institutional by project
4.1.5.2	Indicator	Reasons for price changes	Justifications with arguments why changes were made to the contract price are available.	Contract data on the web	0 = The reasons for price changes are not available and price changes were observed; 3 = There are reasons for price changes, but they are partial; 5 = The reasons for all changes are available, or no changes to the contracted price were observed.	0.25	Institutional by project

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
4.1.5.3	Indicator	Variation to contract duration	Contract duration modifications are clearly indicated, if made.	Contract data on the web	0 = Variations to the contract duration are not pointed out when there is evidence that they exist; 5 = Variations are clearly pointed out if there is evidence that they exist, or no variations to the contract duration could be observed.	0.10	Institutional by project
4.1.5.4	Indicator	Reasons for contract duration changes	Justifications with arguments why changes were made to the contract duration are available.	Contract data on the web	0 = The reasons for changes in the duration are not available and term changes were observed; 3 = There are reasons for term changes, but they are partial; 5 = The reasons for all changes are available, or no changes to the contracted term were observed.	0.25	Institutional by project
4.1.5.5	Indicator	Variation to contract scope	Modifications to the project scope, if they exist, are clearly indicated.	Contract data on the web	0 = Variations to the contract scope are not pointed out when there is evidence that they exist; 5 = Variations are clearly pointed out if there is evidence that they exist, or no variations to the contract scope could be observed.	0.10	Institutional by project
4.1.5.6	Indicator	Reasons for scope changes	Justifications with arguments why changes were made to project scope are available.	Contract data on the web	0 = The reasons for changes in the project scope are not available and changes were observed; 3 = There are reasons for scope changes, but they are partial; 5 = The reasons for all changes are available, or no changes to the contracted scope were observed.	0.20	Institutional by project
4.1.6	Sub-variable	Supervision contract implement-ation				0.10	
4.1.6.1	Indicator	Variation to contract price	It is clearly indicated whether variations to the contract price have been made.	Contract data on the web	0 = The price variations are not pointed out when there is evidence that they exist, or there is not price information in the contract; 5 = The price variations are clearly pointed out if there is evidence that they exist, or no price variations could be observed.	0.10	Institutional by project
4.1.6.2	Indicator	Reasons for price changes	Justifications with arguments why changes were made to the contract price are available.	Contract data on the web	0 = The reasons for price changes are not available and price changes were observed; 3 = There are reasons for price changes, but they are partial; 5 = The reasons for all changes are available, or no changes to the contracted price were observed.	0.25	Institutional by project

NO.	LEVEL	NAME	DESCRIPTION	INDICATOR EVALUATION SOURCE	INDICATOR SCORING SCALE (0 points = 0, 1 point = 0.2, 2 points = 0.4, 3 points = 0.6, 4 points = 0.8, 5 points = 1)	WEIGHTING	INDICATOR TYPE
4.1.6.3	Indicator	Variation to contract duration	Contract duration modifications are clearly pointed out, if made.	Contract data on the web	0 = Variations to the contract duration are not pointed out when there is evidence that they exist; 5 = Variations are clearly pointed out if there is evidence that they exist, or no variations to the contract duration could be observed.	0.10	Institutional by project
4.1.6.4	Indicator	Reasons for duration changes	Justifications with arguments why changes were made to the contract duration are available.	Contract data on the web	0 = The reasons for changes in the duration are not available and duration changes were observed; 3 = There are reasons for term changes, but they are partial; 5 = The reasons for all changes are available, or no changes to the contracted term were observed.	0.25	Institutional by project
4.1.6.5	Indicator	Variation to contract scope	Modifications to the project scope, if they exist, are clearly pointed out.	Contract data on the web	0 = Variations to the contract scope are not pointed out when there is evidence that they exist; 5 = Variations are clearly pointed out if there is evidence that they exist, or no variations to the contract scope could be observed.	0.10	Institutional by project
4.1.6.6	Indicator	Reasons for scope changes	Justifications with arguments why changes were made to project scope are available.	Contract data on the web	0 = The reasons for changes in the project scope are not available and they were observed; 3 = There are reasons for scope changes, but they are partial; 5 = The reasons for all changes are available, or no changes to the contracted scope were observed.	0.20	Institutional by project

Annex 2: Survey for interview or self-assessment

CoST Infrastructure Transparency Index survey

STATEMENT OF VERACITY OF INFORMATION

The honest and accurate completion of this questionnaire will make an essential contribution to evaluating the CoST Infrastructure Transparency Index (ITI). The ITI is designed to assess the knowledge, procedures, digital capabilities, spaces for citizen participation and uses that are given to public information, all from the perspective of the procuring entity. The results of the ITI evaluation serve to clarify where and how transparency in public infrastructure can be improved, with the ultimate goal of collaboratively increasing the social and economic value of public resources.

To this end, the answers to the questions of this survey must be provided in a truthful, objective and concise manner that provides information that is up to date, clear and internally consistent. While some questions require reference to be made to supporting evidence (such as sections of documents, websites, notice boards and newspapers), all require a short description to elaborate on the response and validate it for subsequent analysis.

The scope of the information and data points referred to in this questionnaire is limited to what is required to be made public according to applicable national laws and regulations.

For this exercise to be effective, it is necessary for the respondent to express a commitment to answer the questions honestly and truthfully to achieve the objectives that this instrument promotes. Please help us by providing the following information and answering the subsequent questions.

The personal information of individual respondents will remain confidential.

Procuring entity name: ____________________

Name of the surveyed person: ____________________

Position of the surveyed person: ____________________

Telephone of the surveyed person: ____________________

Email of the surveyed person: ____________________

Signature of the surveyed person: ____________________

Name of the evaluator: ____________________

Signature of the evaluator: ____________________

Place and date: ____________________

Variable 2.1: institutional capacities

SUB-VARIABLE 2.1.1: BASIC KNOWLEDGE

1. Do know the national legal framework for access to public information?

( ) Yes
( ) No

1.1. If yes, can you briefly describe what it is for and what it contains? ______________________________

____

Scoring for evaluation team:
1 - The officer does not remember its content
2 - Can describe few things
3 - Can describe basic points
4 - Can describe it well
5 - Can clearly specify the essentials of the national legal framework, including what is public, what is proactive and reactive publication, what is a request for access to information, the guarantor agency and limitations the framework may have

2. Do you know the existence of the national initiative for transparency in the infrastructure sector, also called CoST?

( ) Yes
( ) No

2.1. If yes, can you briefly describe what it is and what characterises it? ______________________________

____

Scoring for evaluation team:
1 - The officer does not remember the content of the initiative
2 - Can describe few things
3 - Can describe basic points
4 - Can describe it well
5 - Can clearly specify the essentials of what CoST is, the CoST Infrastructure Data Standard, the formal disclosure requirements, the multi-stakeholder group, project assurance and citizen audits.

3. Do you know the data standard for infrastructure transparency, also known as CoST Infrastructure Data Standard?

( ) Yes
( ) No

3.1. If yes, can you briefly describe what it is, what characterises it and your entity's adoption level? ______________________________

____

Scoring for evaluation team:
1 - Does not remember the content or the standard purpose
2 - Can describe few things
3 - Can describe basic points
4 - Can describe it well
5 - Can clearly describe it well (purpose, type of data it contains) and the level of adoption of the entity

4. Do you know the sanctions applied for non-compliance with the access to public information and state contracts laws?

( ) Yes
( ) No

4.1. If yes, can you briefly mention what are the sanctions that apply and why? ______________________

____

Scoring for evaluation team:
2 - The officer can describe few things about the sanctions
3 - Can describe basic points
4 - Can describe them well
5 - Can adequately describe the sanctions and why they apply, or knows that the legal or regulatory frameworks do not include sanctions (if that was the case)

5. Do you know the differences between: public data, personal data, sensitive data, confidential data and reserved data?

( ) Yes
( ) No

5.1. If yes, can you briefly describe each one of them? ______________________

____

Scoring for evaluation team:
2 - Can describe few things about them
3 - Can describe basic points
4 - Can describe them well
5 - Can clearly describe and differentiate them

SUB-VARIABLE 2.1.2: DIGITAL CAPACITIES

1. Is there in the procuring entity computer equipment for all the personnel who perform some type of administrative work?

( ) There is no access to computer equipment for any officer at the procuring entity
( ) Few officers have computer equipment
( ) About half of officers have computer equipment
( ) Most officers have computer equipment
( ) All the officers who do administrative work have computer equipment

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - There is no access to computer equipment for any officer at the procuring entity
2 - Few officers have computer equipment
3 - About half of officers have computer equipment
4 - Most officers have computer equipment
5 - All the officers who do administrative work have computer equipment

2. Is there an internet connection in the entity with the optimal bandwidth for digital systems and personnel operations?

( ) There is no internet access
( ) The bandwidth does not allow the personnel to complete their tasks
( ) The bandwidth allows the personnel to complete their tasks, but it is slow
( ) The bandwidth is acceptable to complete personnel tasks
( ) The bandwidth is optimal for all the entity activities (systems and personnel tasks)

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - There is no internet access
2 - The bandwidth does not allow the personnel to complete their tasks
3 - The bandwidth allows the personnel to complete their tasks, but it is slow
4 - The bandwidth is acceptable to complete personnel tasks
5 - The bandwidth is optimal for all the entity activities (systems and personnel tasks)

3. Is there a website in the entity and at least some officers are able to manage its content and can apply changes in real time?

( ) There is no website
( ) There is one, but the entity cannot apply changes
( ) There is one, but the entity depends on third parties to apply changes
( ) There is one and the entity can apply changes internally, but it takes time
( ) There is one and the entity has full control in real time

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - There is no website
2 - There is one, but the entity cannot apply changes
3 - There is one, but the entity depends on third parties to apply changes
4 - There is one and the entity can apply changes internally, but it takes time
5 - There is one and the entity has full control in real time

4. Is there a digital information system or platform to record all information regarding public infrastructure projects?

( ) Records are kept on paper
( ) Some records are digital
( ) Records are predominantly on spreadsheets, like Excel or others
( ) All records are on information systems

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - Records are kept on paper
2 - Some records are digital
3 - Records are predominantly on spreadsheets, like Excel or others
5 - All records are on information systems

5. Do the government officers at the entity use the available digital systems for activities related to public infrastructure projects?

( ) Systems are not used, or there are no systems whatsoever
( ) They are only partially used
( ) They are fully used

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - Systems are not used, or there are no systems whatsoever
3 - They are only partially used
5 - They are fully used

6. Does the entity publish infrastructure projects information as open data?

( ) Yes
( ) No

6.1. If yes, does the infrastructure projects information meet all the following conditions: tabulated, updated, complete, processable by computer, free of payment and with a license allowing its free use.

( ) Published projects data only complies with one condition
( ) Published projects data complies with two conditions
( ) Published projects data complies with three or four conditions
( ) Published projects data complies with five conditions
( ) Published projects data complies with all six conditions

Description/evidence: ______________________________

____

Scoring for evaluation team:
1 - Published projects data only complies with one condition
2 - Published projects data complies with two conditions
3 - Published projects data complies with three or four conditions
4 - Published projects data complies with five conditions
5 - Published projects data complies with all six conditions

7. Does the entity publish visualisations, on the website or other media (for example physical), that can graphically facilitate the presentation and interpretation, by citizens, of the infrastructure projects information?

( ) No visualisations on this subject are published
( ) Visualisations are published, but not in a regular manner (either on the web or other media)
( ) Visualisations are published in a regular manner (either on the web or other media)

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - No visualisations on this subject are published
3 - Visualisations are published, but not in a regular manner (either on the web or other media)
5 - Visualisations are published in a regular manner (either on the web or other media)

Variable 2.2: institutional processes

SUB-VARIABLE 2.2.1: PROCEDURES TO DISCLOSE INFORMATION

1. Is there an internal documented procedure for the proactive disclosure of information linked to public infrastructure projects?

( ) Yes
( ) No

If yes, can you describe it and share a copy of it? ______________________________

____

Scoring for evaluation team:
3 - There is a procedure but the officer only refers to generalities
5 - There is a procedure, the officer describes its main elements and shares it

2. Do you have with the procedure the names of the officers who are responsible for the different stages of the proactive disclosure of information?

( ) The procedure does not name anybody, or nobody is in charge of proactive publication
( ) The procedure names only some people
( ) The procedure names all the people per stage

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - The procedure does not name anybody, or nobody is in charge of proactive publication
3 - The procedure names only some people
5 - The procedure names all the people per stage

3. Is there a documented professional profile in the entity for an “information officer”, “information unit”, or similar title, that describes the professional requirements and main tasks of this person/unit?

( ) There is no profile or you do not know if one exists
( ) The profile exists but it has unrelated responsibilities (this are other activities besides the ones related to public information access))
( ) The profile exists and all documented responsibilities are related to it

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - There is no profile or you do not know if one exists
3 - The profile exists but it has unrelated responsibilities (this are other activities besides the ones related to public information access)
5 - The profile exists and all documented responsibilities are related to it

4. Is there a person assigned for the position of information officer and the person fully complies with the profile conditions?

( ) There is no person assigned to the position, or the profile or position does not exist
( ) There is a person assigned but does not comply with the profile requirements
( ) The assigned person complies with all requirements

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - There is no person assigned to the position, or the profile or position does not exist
3 - There is a person assigned but does not comply with the profile requirements
5 - The assigned person complies with all requirements

5. Is there a procedure to internally follow-up information requests from citizens or other actors related to public infrastructure projects?

( ) There is no follow-up mechanism on information requests, or you do not know if one exists
( ) There is a mechanism but presents weaknesses that might result in a lack of response
( ) There is a mechanism on which no information request can be lost or unanswered.

Description/evidence: ____

____

Scoring for evaluation team:
0 - There is no follow-up mechanism on information requests, or you do not know if one exists
3 - There is a mechanism but presents weaknesses that might result in a lack of response
5 - There is a mechanism on which no information request can be lost or unanswered.

SUB-VARIABLE 2.2.2: ENABLERS AND BARRIERS TO DISCLOSE INFORMATION

1. Is there an internal policy issued from the entity's high authorities for the publication of information containing, among other data, public infrastructure projects?

( ) There is no internal norm or policy or you do not know if one exists
( ) There is one but it is not fully complied in practice
( ) There is one and it is fully complied in practice

Description/evidence: ____

____

Scoring for evaluation team:
0 - There is no internal norm or policy or you do not know if one exists
3 - There is one but it is not fully complied in practice
5 - There is one and it is fully complied in practice

2. Is there is an internal disclosure training programme or dissemination process that makes the personnel aware at all levels on matters of access to public information, that includes infrastructure projects?

( ) There is no training programme or you do not know if one exists
( ) There is one but it is only applied to a part of the personnel
( ) There is one and it is applied to all the entity's personnel

Description/evidence: ____

____

Scoring for evaluation team:
0 - There is no training programme or you do not know if one exists
3 - There is one but it is only applied to a part of the personnel
5 - There is one and it is applied to all the entity's personnel

3. Are there internal limitations to publish the information related to public infrastructure projects?

( ) Yes
( ) No

If yes, can you describe them and provide documental evidence? ____________________

____

If no, can you describe why and/or provide evidence? ____________________

____

Scoring for evaluation team:
0 - The officer does not recognise the existence of limitations; or not evidence can be provided if no limitations are identified
3 - The officer recognises the limitations, but does not describe them adequately
5 - The officer knows the limitations, describes them and provides a document with them; or the officer can provide evidence that there are no limitations

4. Is there a document that contains a plan to reduce or eliminate the present limitations to publish infrastructure projects information?

( ) There is no document with a mitigation plan
( ) There is a plan but it is not comprehensive and there is no evidence of its implementation
( ) There is a non-comprehensive plan but there is evidence of its implementation
( ) There is a comprehensive plan but there is no evidence of its implementation
( ) There is a comprehensive plan and there is evidence of its implementation

Description/evidence: ____________________

____

Scoring for evaluation team:
0 - There is no document with a mitigation plan
2 - There is a plan but it is not comprehensive and there is no evidence of its implementation
3 - There is a non-comprehensive plan but there is evidence of its implementation
4 - There is a comprehensive plan but there is no evidence of its implementation
5 - There is a comprehensive plan and there is evidence of its implementation

5. Does the process of proactive and reactive publication become slow or hinders because of internal bureaucracy, as for example, obtaining several approvals from different bosses?

( ) The process is highly bureaucratic or you do not know if it has this type of problems
( ) The bureaucratic obstacles are very few
( ) There are no bureaucratic obstacles to publish public information

Description/evidence: ____

____

Scoring for evaluation team:
0 - The process is highly bureaucratic or you do not know if it has this type of problems
3 - The bureaucratic obstacles are very few
5 - There are no bureaucratic obstacles to publish public information

6. Is there some type of documentation at the entity acknowledging and following-up to non-compliances and sanctions dictated by controlling entities, due to non-compliance with the access-to-information law and/or state contracts? Has the procuring entity received any sanctions from controlling entities?

( ) There is no documentation or you do not know if there is some
( ) There is documentation but no follow-up (of the non-compliances and/or sanctions) or you do not know if there is follow-up
( ) There is documentation and follow-up (of the non-compliances and/or sanctions)
( ) The specific documentation at the procuring entity proves the entity has not received sanctions from controlling entities

Description/evidence: ____

____

Scoring for evaluation team:
0 - There is no documentation or you do not know if there is some
2 - There is documentation but no follow-up (of the non-compliances and/or sanctions) or you do not know if there is follow-up
3 - There is documentation and follow-up (of the non-compliances and/or sanctions)
5 - The specific documentation at the procuring entity proves the entity has not received sanctions from controlling entities

SUB-VARIABLE 2.2.3: CONTROL OVER INFRASTRUCTURE PROJECTS DISCLOSURE

1. How many public infrastructure projects are managed by the entity in this year and in the previous year? (If the exact number is not known a precise approximation is valid)

This year: ____
Previous year: ____
( ) You cannot approximate a number

1.1. How many of those projects disclosed information according to the infrastructure data standard (based on CoST IDS or OC4IDS)?

____

____

This year: ____________________

Previous year: ____________________

(   ) You cannot approximate a number or you do not know the data standard

Description/evidence: ____________________

____

Scoring for the evaluation team:
0 – 0–10%, or if the officer could not give any numbers
1 – 11–29%
2 – 30–49%
3 – 50–65%
4 – 66–85%
5 – 86–100%
(approximate calculations according to the available information)

2. What is the investment amount for infrastructure projects managed by the entity in this year and in the previous year? (If the exact number is not known a precise approximation is valid)

This year: ____________________

Previous year: ____________________

(   ) You cannot approximate a number

2.1. What is the investment amount of those projects in which information is disclosed according to the infrastructure data standard (based on CoST IDS or OC4IDS)?

____

____

This year: ____________________

Previous year: ____________________

(   ) You cannot approximate a number or you do not know the data standard

Description/evidence: ____________________

____

Scoring for the evaluation team:
0 – 0–10%, or if the officer could not give any numbers
1 – 11–29%
2 – 30–49%
3 – 50–65%
4 – 66–85%
5 – 86–100%
(approximate calculations according to the available information)

Variable 3.1 citizen participation

SUB-VARIABLE 3.1.1: PARTICIPATION OPPORTUNITIES

1. Does the entity have formal citizens participation opportunities that allow to listen and implement requests from the citizens, that may be used for public infrastructure projects?

( ) There are no laws, regulations, or policies that can be used as foundation for citizens participation
( ) There is only a national or sub-national legal or regulatory framework for participation, with no internal (institutional) normative framework
( ) There are both, national or sub-national, as well as internal normative frameworks
( ) There are both normative frameworks and there are also efficient documented procedures for citizens participation

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - There are no laws, regulations, or policies that can be used as foundation for citizens participation
2 - There is only a national or sub-national legal or regulatory framework for participation, with no internal (institutional) normative framework
3 - There are both, national or sub-national, as well as internal normative frameworks
5 - There are both normative frameworks and there are also efficient documented procedures for citizens participation

2. Are citizens participation opportunities permanently available or available with a constant periodicity through a variety of inclusive channels?

( ) There are no formal participation opportunities
( ) There are participation opportunities, but are not permanent/periodic and are not available through a variety of inclusive channels
( ) Participation opportunities are either permanent/periodic or available through a variety of inclusive channels
( ) Participation spaces are both, permanent/periodic and available throughout different participation inclusive channels

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - There are no formal participation opportunities
2 - There are participation opportunities, but are not permanent/periodic and are not available through a variety of inclusive channels
3 - Participation opportunities are either permanent/periodic or available through a variety of inclusive channels
5 - Participation spaces are both, permanent/periodic and available throughout different participation inclusive channels

3. Does the entity conduct formal citizens consultation processes to identify, define, prioritize and monitor public infrastructure projects?

( ) The entity does not conduct these consultation processes on infrastructure projects or you do not know if they take place
( ) The entity has consultation in infrastructure projects but is not for all project stages and is not for all projects
( ) The entity has consultation in infrastructure projects in all project stages, but is not applied to all infrastructure projects
( ) The consultation applies to all infrastructure project stages and to all infrastructure projects

Description/evidence: ____

____

Scoring for evaluation team:
0 - The entity does not conduct these consultation processes on infrastructure projects or you do not know if they take place
2 - The entity has consultation in infrastructure projects but is not for all project stages and is not for all projects
3 - The entity has consultation in infrastructure projects in all project stages, but is not applied to all infrastructure projects
5 - The consultation applies to all infrastructure project stages and to all infrastructure projects

4. Is there in the entity a citizen service office (that may be called Transparency Office, Complaints Office, Information Office, etc.) that sees subjects related to the infrastructure projects?

( ) There is no office or you do not know if there is one
( ) There is one but has limitations to do its job
( ) There is one and efficiently attends the citizens

Description/evidence: ____

____

Scoring for evaluation team:
0 - There is no office or you do not know if there is one
3 - There is one but has limitations to do its job
5 - There is one and efficiently attends the citizens

5. Is there an online form through which any person may request information, ask questions, or present a complaint referring to an infrastructure project and receive an effective response?

( ) There is no online form, or there is one but it does not work
( ) There is one but has to be downloaded, printed, completed, scanned and submitted or physically taken to the entity
( ) There is one, but it has no follow-up mechanism (this mechanism allows the applicant to later identify his/her request, such as a request ID number)
( ) There is one and has a specific follow-up mechanism for the applicant

Description/evidence: ____________________

____

Scoring for evaluation team:
0 - There is no online form, or there is one but it does not work
2 - There is one but has to be downloaded, printed, completed, scanned and submitted or physically taken to the entity
3 - There is one, but it has no follow-up mechanism (this mechanism allows the applicant to later identify his/her request, such as a request ID number)
5 - There is one and has a specific follow-up mechanism for the applicant

6. Does the entity conduct some type of effort for the citizens to know the existing participation opportunities and the availability of information related to infrastructure projects?

( ) There is no effort or you do not know if any effort is made
( ) There are efforts, but they are not consistent, permanent and inclusive
( ) There are consistent, permanent and inclusive efforts for both things (the publicity of citizens' participation spaces and infrastructure projects information)

Description/evidence: ____________________

____

Scoring for evaluation team:
0 - There is no effort or you do not know if any effort is made
3 - There are efforts, but they are not consistent, permanent and inclusive
5 - There are consistent, permanent and inclusive efforts for both things (the publicity of citizens' participation spaces and infrastructure projects information)

SUB-VARIABLE 3.1.2: USE OF INFORMATION BY CITIZENS

1. Is there a mechanism that documents citizens' complaints referring to public infrastructure projects, generates a log and manages responses in an orderly fashion?

( ) There is no centralisation of citizens' complaints, or there is no evidence of its existence
( ) There is one, but it does not work optimally
( ) There is one, it works optimally, but it does not generate a report with inputs for specific infrastructure projects
( ) There is one, works optimally and its results are evidenced in a report for improvements on specific infrastructure projects

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - There is no centralisation of citizens' complaints, or there is no evidence of its existence
2 - There is one, but it does not work optimally
3 - There is one, it works optimally, but it does not generate a report with inputs for specific infrastructure projects
5 - There is one, works optimally and its results are evidenced in a report for improvements on specific infrastructure projects

2. Can you show how many accesses to information requests are there, how many responses were positive (that is, containing the information requested by the citizens), how many were referred to other agencies (because they were the wrong agency) and how many requests were about the same information?

( ) You cannot show how many requests are there, or there is no record of requests
( ) You can show how many requests and how many responses are there, but with no specific details
( ) You can show how many of the total responses were positive, how many were referred to other agencies and how many requests were about the same information.

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - You cannot show how many requests are there, or there is no record of requests
3 - You can show how many requests and how many responses are there, but with no specific details
5 - You can show how many of the total responses were positive, how many were referred to other agencies and how many requests were about the same information.

3. Are the responses to citizens information requests provided according to the period established by law?

( ) There is no capacity to answer within the period stablished by law, or there is no control over the response time, or there is no information about requests
( ) Only some cases receive response within the period established by law
( ) Most cases are responded to within the period established by law
( ) 100% of cases are responded to within the period established by law

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - There is no capacity to answer within the period stablished by law, or there is no control over the response time, or there is no information about requests
2 - Only some cases receive response within the period established by law
4 - Most cases are responded to within the period established by law
5 - 100% of cases are responded to within the period established by law

4. Does the entity provide the public with feedback, such as reports or announcements, on how citizens' inputs have been used in infrastructure projects?

( ) There is no feedback made public, or it is not known if there is internal use of citizens participation
( ) There is internal use of citizens participation that can be referenced, but is not well documented
( ) There is internal use and it is documented, but not made public
( ) The internal documented use of citizens participation in infrastructure projects is made public

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - There is no feedback made public, or it is not known if there is internal use of citizens participation
2 - There is internal use of citizens participation that can be referenced, but is not well documented
3 - The is internal use and is documented, but not made public
5 - The internal documented use of citizens participation in infrastructure projects is made public

5. Do you know if the information made public about infrastructure projects is used somehow by citizens, civil society organisations, academia, media, private sector, or any other actor?

( ) You do not know if there is any type of use
( ) You know and can describe an example in the current year
( ) You know and can describe more than one example in the current year

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - You do not know if there is any type of use
3 - You know and can describe an example in the current year
5 - You know and can describe more than one example in the current year

6. Do you know if the entity has developed joint projects (this is when the project design and implementation are executed with shared responsibilities) with other actors different from the entity, using infrastructure projects information?

( ) You do not know if there has been a joint project
( ) You know and can describe an example in the current year
( ) You know and can describe more than one example in the current year

Description/evidence: ______________________________

____

Scoring for evaluation team:
0 - You do not know if there is any type of use
3 - You know and can describe an example in the current year
5 - You know and can describe more than one example in the current year

7. Is there evidence of changes or reforms that have been made in infrastructure projects as response to feedback, evaluation, or some other type of citizens' participation?

( ) There is no case or you do not know if there is any
( ) There is evidence of improvements in one project in this current year
( ) There is evidence of improvements in more than one project in this current year

Description/evidence: ____

____

Scoring for evaluation team:
0 - There is no case or you do not know if there is any
3 - There is evidence of improvements in one project in this current year
5 - There is evidence of improvements in more than one project in this current year

Annex 3: Procuring entities selection method and criteria

It is recommended to use a stratified random method to select the procuring entities that will be part of the sample for evaluation. The method and criteria that have been applied during a Infrastructure Transparency Index (ITI) evaluation must to be published along with the reports for the transparency and consistency of the process. A simplified example of this method can be seen below.

This table shows the procuring entities selected during the ITI test in Honduras. To define this procuring entities sample, the following process was applied:

TYPE	BUDGET	PROCURING ENTITY NAME
Autonomous	33,499,973,007	Empresa Nacional de Energía Eléctrica (ENEE)
Autonomous	5,212,678,239	Inversión Estratégica de Honduras (INVEST-H)
Autonomous	4,916,695,586	Universidad Nacional Autónoma de Honduras (UNAH)
Autonomous	1,165,347,444	Empresa Nacional Portuaria (ENP)
Autonomous	66,292,886	Comisión Nacional de Vivienda y Asentamientos Humanos de Honduras (CONVIVIENDA)
Autonomous	43,127,176	Dirección Nacional de Parques y Recreación (DNPR)
Ministry	29,905,852,087	Secretaría de Educación (SEDUC)
Ministry	14,741,983,690	Secretaría de Salud (SESAL)
Ministry	5,044,826,623	Secretaría de Infraestructura y Servicios Públicos (INSEP)
Ministry	2,027,484,384	Secretaría de Agricultura y Ganadería (SAG)
Ministry	1,094,655,999	Secretaría de Desarrollo e Inclusion Social (SEDIS)
Ministry	49,939,633	Secretaría de Estado en los Despachos de Desarrollo Comunitario, Agua y Saneamiento (SEDECOAS)
Municipality	5,390,365,117	Alcaldía Municipal de San Pedro Sula
Municipality	5,361,342,393	Alcaldía Municipal del Distrito Central (AMDC)
Municipality	719,282,396	Alcaldía Municipal de Puerto Cortés
Municipality	478,500,000	Alcaldía Municipal de El Progreso
Municipality	165,454,024	Alcaldía Municipal de Choluteca

1. A full list of the national procuring entities was conducted, including information such as budget size, type and sector.

2. The different types of procuring entities were sorted in three main categories: ministries and state secretaries, municipalities and autonomous agencies (including autonomous, semi-autonomous, public companies and similar types of entities).

3. Three sub-groups were made based on the above distribution and the procuring entities were sorted based on their budget size from the biggest to the smallest.

4. Randomly, without knowing the name of the procuring entities, a shorter list of them were selected by including procuring entities with high, medium and low budget size. More emphasis was given to selecting more entities with bigger budgets since this criterion was considered as an indicator of social and economic impact.

5. The names were uncovered and a short list of procuring entities for testing the ITI was defined.

Annex 4: Guidance for the evaluation team training

The following guidance is a recommendation for how the training of a Infrastructure Transparency Index (ITI) evaluation team can be conducted, based on the experience of the trials conducted in Guatemala and Honduras. A minimum of three days of training should be provided. The following is based on those three days, but can be readily be elaborated with further detail.

Considerations before initiating

- Evaluators were selected before the training and had sufficient time to allow them to make arrangements related to their short but full-time dedication during the evaluation.
- The selected evaluators already had experience of CoST's principles and approach. In addition, they had experience in the use of centralised government portals that contain the data and information required for the evaluation such as those related to tender management, transparency, budgeting, financial management and investment.
- The training materials were prepared before the training. These included PowerPoint presentations, handouts and worksheets.

DAY 1

- Welcome and introduction.
- Presentation of the evaluation team.
- Concepts, relevance and objectives.
- Elaboration process.
- Principles, norms and guiding processes.
- Structure and introduction to the dimensions.
- Rules for evaluating each dimension.
- Data processing and scoring system.
- In-depth study of dimension 1:
    - variables, sub-variables and indicators
    - indicators and their scoring scales, with the use of examples
    - data collection method for the indicators of the dimension.

DAY 2

- In-depth study of dimension 2:
  - variables, sub-variables and indicators
  - indicators and their scoring scales, with the use of examples
  - data collection method for the indicators of the dimension.
- In-depth study of dimension 3:
  - variables, sub-variables and indicators
  - indicators and their scoring scales, with the use of examples
  - data collection method for the indicators of the dimension.
- Desktop research to practise dimension 1 with feedback.

DAY 3

- Desktop research to practise dimension 4 evaluation with feedback. A specific infrastructure project, not included in the evaluation, was previously selected for practise.
- Discussion and response definition for complex scenarios while collecting data through the survey, either by interview or self-assessment.
- Evaluation team role definition (first, second and third evaluators).
- Review of procuring entities sample.
- Review of procuring entities infrastructure projects to be evaluated.
- Protocol for data collection.
- Logistics for data collection and incident protocol.

During the data collection, questions and incidents may occur. The evaluation team, along with CoST staff, need to discuss them to find the best solution and a standard process to follow whenever is appropriate.

After the data collection, the evaluation team should together evaluate the process to make improvements for the next ITI evaluation and document the experiences in a report with the lessons learned and recommendations. The evaluation team should evaluate:

- the training
- the data collection experience
- the processing and reporting
- the protocols and logistics.

Annex 5: Guide on lessons learned and techniques for an ITI implementation

From test implementations conducted in different countries and other accumulated experience, the following points describe lessons learned and recommendations for any CoST national or sub-national or member interested in implementing the Infrastructure Transparency Index (ITI). It provides additional information for decisions during an ITI implementation, particularly on topics that may become complex or sensitive.

1. Preparation stage

1.1 EVALUATION TEAM

1.1.1 Evaluators' profile: the people to be selected for the data collection process should have experience on CoST's principles and approach and should understand the data points of the CoST Infrastructure Data Standard (IDS) and/or the Open Contracting for Infrastructure Data Standard (OC4IDS). They need to have experience using the government information platforms that contain the information required for the evaluation, such as procurement, transparency, financial, investment, legal framework and others; and should have experience on conducting interviews in the public sector.

- Third evaluator: the person who performs this role is someone who is careful with data and details and has a deep understanding of the ITI instrument, clearly understanding all its indicators and the sources from where the data is collected. The third evaluator has a high responsibility on quality assurance because of his/her role in resolving any differences of opinion between the other evaluators.

1.1.2 Coordination profile: to conduct an ITI evaluation is necessary to have someone responsible of administrative arrangements, project management, implementation methodology, training, quality control, data processing and final reports. This implies that the person selected for the coordination requires to have a deep understanding of the ITI, its components and its implementation process, as well as experience in leading similar evaluation studies.

1.2 TIME CONCERNS

1.2.1 It is important to consider the different implementation phases and their time requirements to plan properly, the following points present some time definitions for consideration.

- The administrative arrangements related to the ITI evaluation need to be taken in consideration. Depending on the contractual or partnership arrangements, these administrative processes will take more or less time. It is necessary to include this time to the total project implementation period.

- The evaluation team should be appointed sufficiently early in the process to allow them to make preparations related to their short but full-time dedication during the evaluation. The training days and the evaluation initiation need to be scheduled and informed to the evaluation team for them to get prepared.

- There is a recommendation to dedicate a minimum of three days to conduct the evaluation team training. The recommendations for the training are available in Annex 4.

- The total evaluation time, this is for the data collection process, will depend on the number of procuring entities and projects to evaluate, as well as the number of evaluators. But when following the basic recommendation of two infrastructure projects per procuring entity and at least three evaluators, a half-day can be provisionally allowed for evaluation of each procuring entity. This means that 20 procuring entities, for example, will be evaluated in 10 days.

- After that, data can be processed in less than a week and will be ready to prepare the reports and the database to be published. A general consideration of 3 weeks should be enough to prepare these outputs and to be ready for the results presentation event.

1.3 TRAINING

1.3.1 Time and content: the training time has to be sufficient to allow the evaluation team to understand the instrument and evaluation indicators, to practice real cases using the instrument and to discuss different scenarios and complexities that might occur in the evaluation process. Even for people familiar with the topics, three days would be the minimum time investment. The recommendations on how to structure the training are available in Annex 4.

1.4 SELECTION OF PROCURING ENTITIES

1.4.1 Criteria: when selecting the specific procuring entities, besides the recommended criteria (procuring entity type, infrastructure budget and projects' social and economic impact), other things can be considered, such as corruption history, social complaints and more representation from specific categories of the general public sector. In all conditions, the criteria have to be the same for all procuring entities and have to be published in the final reports.

1.4.2 Location: if the evaluation requires interviews, there is a need to consider the necessary budget and time to reach to procuring entities that might be far from the evaluation team's base. Such investment is necessary because possibility of a procuring entity being selected for evaluation should not be unduly constrained as a result of its location.

1.5 SELECTION OF PROJECTS

1.5.1 Access to information related to the procuring entities infrastructure projects: it is critical to have information about all the infrastructure projects for which a procuring entity is responsible to be able to select the ones that will be included in the evaluation. This information can be available in a centralised government authority or in each procuring entity. If having the full list of projects with information by procuring entities cannot be achieved, making an effort to compile the fullest possible list of projects by procuring entities prior the evaluation is necessary for an objective project selection.

1.5.2 Avoid bias in the selection criteria: it is important to be careful with limiting the selection of projects to those whose implementation and supervision contracts, for example, are published in the electronic procurement system (if there is one available). The use of this type of criterion will force the selection of only transparent projects and this will significantly bias the final results. In contrast, once the list of projects is identified, two completed projects can be selected from the list (one on the basis of relevance and the other randomly), without checking whether they have published information. The projects should be selected and later evaluated based on the available information, whether there is little or much data is available. This means that the amount of information available must not affect the project selection.

1.5.3 Completed projects: it is a precondition for the ITI that the projects considered for evaluation must be at the completed stage. This allows their full evaluation throughout the different ITI indicators. If a project is not completed, the information required for its evaluation will not exist and this will significantly affect the final results. For this reason, only completed infrastructure projects can be evaluated. If the ITI evaluations are conducted annually, this precondition can be tuned, for example, by only considering projects that were completed in the previous year.

2. Evaluation and processing stages

2.1 COORDINATION WITH PROCURING ENTITIES

2.1.1 Contact information: since it is recognised that about half of the information to conduct an evaluation has to be collected from the access-to-information unit of the procuring entity (or the equivalent, as defined in the applicable national regulation), having the contact information of public officials at these units can accelerate and facilitate the coordination and data collection.

2.1.2 Preparation: during the preparation and prior the evaluation, it is necessary to submit a formal letter to all procuring entities, directed to the access-to-information unit, to inform them about the ITI project and the information requirements. If the interviews will be conducted, it is necessary to schedule all the meetings before the evaluation starts to make sure all interviews are conducted during the evaluation period.

2.1.3 Standardised communications: since procuring entities will be evaluated and compared (which is an essential part of the ITI), it is necessary to have formal and standard communications with procuring entities to make sure no one receives preferential treatment that may influence the results in some way.

2.2 BUY-IN FROM PROCURING ENTITIES

2.2.1 Build a collaboration relationship with procuring entities: it is recognised that to conduct an ITI evaluation, there is an important need for cooperation from the procuring entities. They are required to respond to the survey (either by interview or self-assessment) and to provide justifications and evidence to all the survey questions. The access-to-information officer of the procuring entity (or the person performing in the similar role) will need to allocate time within a specific timeframe to support the ITI. These are some recommendations to get a buy-in from the procuring entities and particular, from the access-to-information officer.

- Identify the right person: there might be cases where the access-to-information officer of the procuring entity is not clearly defined. In such situations, it will be necessary to call the procuring entity and ask who is the person that internally performs this role. Once the person is identified, it is necessary to collect their contact information.

- Assign one specific evaluator to each procuring entity: To build a communication channel and a trust relation with the ITI process, a specific evaluator should take care of the relations with each procuring entity. This will require the procuring entities to be distributed among the evaluation team and that each evaluator assumes the responsibility for data collection with that specific procuring entity.

- Hold a one-to-one conversation with the access-to-information officer: as part of the conversation, it is necessary to introduce the ITI, its evaluation process, its outcomes and, specially, its benefits to the procuring entity. It is also important to confirm the will from the government officer to collaborate with the ITI and to answer any question that may limit the response from the procuring entity. Some of the key benefits that can be mentioned during the conversation are:
    - visibility of the access-to-information unit day-to-day role and needs
    - institutional awareness about the strengths and weaknesses related to public infrastructure transparency and management
    - custom guidance for the procuring entity on how to build capacities to strengthen transparency and management on infrastructure projects
    - support over the time to respond to questions and training needs related to the ITI
    - development of a collaborative agenda, among stakeholders and at the national or sub-national scale, to raise transparency and accountability standards.

- After these actions, it is recommended to follow the process described in Chapter 3 paragraph 3.2.5 (Recommendations about working with procuring entities).

2.2.2 Draw on the access to public information legal framework: This approach can be used as a complement to the collaboration relationship approach, or as an alternative to it, when the procuring entities do not want to collaborate with the ITI. The law or regulation on access to information will allow the evaluation team formally to request the data required for the ITI, drawing upon the right to public information. The national or sub-national conditions, as well as the response from the procuring entities, should be evaluated by the evaluation team to define the best combination of actions to obtain the support from the procuring entities.

2.3 INTERVIEWS

2.3.1 Flexibility to select the data collection method: an evaluation team may conclude that an interview, rather than self-assessment, is the appropriate method in their location. This might be, for example, because of distrust generated by corruption, the high number of government officers sanctioned on related issues or the high possibility of reluctance from government officers. But in contrast, another evaluation team in other location may conclude that self-assessment, rather than interview, offers them better results because they can reach a higher number of procuring entities and government officers at the procuring entities are likely to cooperate completing the self-assessment in the given time. For this reason, this ITI manual does not recommend one option over the other. Rather, it invites the evaluation team to analyse the pros and cons of the two methods based on their conditions to select the most appropriate one.

2.3.2 Approach to government officers: the approach to the government officers at the access-to- information units has to be positive, formal, standardised and make reference to the access-to- information law and any other relevant regulation. It is important to show to the officers the benefits to their day-to-day work, to the procuring entity and to citizens that would come from the ITI results. An empathetic and purposeful attitude is key to generating reliable communication with these officers and would increase the chances of receiving information that reveals the challenges faced by the procuring entities and the general contribution generated by the ITI.

2.4 SELF-ASSESSMENT

2.4.1 Protocol for data collection: it can be anticipated that having a government officer at each selected procuring entity formally responding to the self-assessment over a specific period of time is a big challenge. For this reason, any evaluation team selecting this data collection method needs to design a protocol with the characteristics that best match to the local conditions. A recommended example of a protocol is included in Chapter 3 paragraph 3.2.5 (Recommendations about working with procuring entities).

2.4.2 Approach to government officers: as mentioned in the interview method, the approach to contacting government officers at the access-to-information units for self-assessment also has to be positive, formal, standardised and reference the access-to-information law.

2.5 EVALUATION OF WEBSITES

2.5.1 Experience: it is essential for the evaluation team to have experience using websites where the information for evaluation is available. Sometimes, the data is published but it is not easy to find. Hence, in order to conduct the evaluation, the evaluation team members need to be able to know where the data is. Though it is public information, it is also technical and sometimes only available within complex documents. The evaluation team must have experience searching for such information.

2.5.2 Balance on the depth of search: a balance needs to be defined with the evaluation team before conducting the evaluation, because reading a full document with several hundreds of pages to find one specific data point is not feasible or realistic. A recommendation on this regard is that only recognised and key documents, not all them, should be opened and searched to determine whether data points are available.

2.5.3 Private access: at the beginning of the evaluation a question may arise as to whether private access to some government websites is required. The appropriate response depends on the purpose of that access. Because if the purpose is to evaluate whether the procuring entity has published data about the infrastructure projects, then no private access is justified because the ITI only evaluates public data that any normal citizen should be able to see. On the other hand, if the purpose of the private access is to contribute to the preparation of the evaluation, such as collecting information for project selection (as mentioned in Annex 5 paragraph 1.5.1), then the access is valid for the ITI. This means that if the private access is requested to evaluate ITI indicators, then is not valid for the ITI; but if the access is requested to make preparations and design decisions, then it is valid.

3 Reporting stage

3.1 RESULTS PRESENTATION

3.1.1 Formal results presentation: there will be an important contribution to the national or local context if the ITI results are shared with everyone. Publishing the final report and making it and the results database available for download will always be required. Moreover, a periodic event with multiple stakeholders can be formally established each time the results and key findings are ready to release, where the procuring entities that won the first places of the ranking can also be recognised and acknowledged because of their good practices.

3.1.2 Press: there should be a press strategy for publicising the ITI results. A press release should be issued the day the results are published, and further press releases on specific aspects of the ITI results should be issued in the course of the following weeks to keep the topic in the public eye.

3.1.3 Social media: the results should also be promoted on social media, with key findings and links to the reports and data.

3.2 AFTER RESULTS

3.2.1 Response to questions: once the results are released, it is normal to have questions from the procuring entities and some other stakeholders about the results and about what is evaluated by the ITI. They will want to understand the indicators where they have doubts. So, it is necessary to have a basic internal structure to be able to respond to these questions and eventually to assist with meetings.

3.2.2 Procuring entity training: procuring entities may request training to improve their performance on the ITI. This is very positive and will require efforts to present, describe and conduct workshops about the ITI. These events will require the CoST national secretariats to respond to these training requests. It will be necessary for them to be prepared to respond to this need.

3.2.3 Impartiality while assisting stakeholders and procuring entities: all efforts to train stakeholders and procuring entities on the ITI must remain impartial and objective. Since CoST national secretariats lead the evaluations, they will need to avoid any situation that could lead to bias or perceived bias in their evaluations. It is vital to protect the credibility of the ITI through guaranteeing impartiality.

Annex 6: Glossary of key terms

An **index** is a number giving the magnitude of a physical property or other measured phenomenon in terms of a standard. As result of the application of an index, there is a number or, a series of numbers, ranking the phenomenon that have been measured.

Transparency is commonly understood as the characteristic of being easy to see through. As a social phenomenon, there is a general consensus that transparency relates to the right to know and public access to information.

In its design, the ITI understands transparency in a broad and practical way, not only by looking at it as the traditional access to information, but by also looking at the enablers and capacities that can enhance the access to information, as well as the citizens participation that lead to the creation of public value with the access to information.

Infrastructure can be defined as the basic physical and organisational structures and facilities (e.g. buildings, roads, power supplies) needed for the operation of a society or enterprise.

Therefore, an **Infrastructure Transparency Index**, in a simple definition, refers to metrics around the right of access to public information on the infrastructure sector.

Procuring entities are understood by the ITI as the government organisations that manage and are accountable of specific infrastructure projects, whether they manage the procurement processes of that project or not.

Infrastructure projects are understood by the ITI as the development of infrastructure assets in a specified location, generally under the responsibility of a single procuring entity and budget authority and comprising all development stages, namely: identification, preparation, implementation and completion.

UK Government

Ministry of Foreign Affairs of the Netherlands

UNDP

FAIR BIZ