Infrastructure Transparency Initiative

February 2025

Infrastructure Transparency Index Manual

Version 1.1

Infrastructure Transparency Index Manual

The Infrastructure Transparency Index (ITI) is a tool developed by CoST – the Infrastructure Transparency Initiative. It provides a measure of the level of transparency of public infrastructure and the quality of the processes that enable transparency at national or sub-national level. If applied consistently, it can be used to rank performance and monitor changes over time. Collaboratively designed and based on international good practice and lessons learned, it aims to provide with high quality information to stakeholders to promote transparency and drive improvements in the management of public infrastructure.

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VERSION OF THIS DOCUMENT

Version 1.1, released in February 2025, includes minor adjustments to the evaluation instruments and the implementation methodology, based on the experience gained in implementing the Index in several countries at national and sub-national levels, as well as some corrections to wording and cross-references with other CoST tools and standards. These minor changes are not expected to affect the comparability of results with the previous version. However, for the sake of clarity, it is recommended that this be noted when comparing data derived from the use of different versions of the manual.

DISCLAIMER

This document presents a methodology for measuring transparency in the infrastructure sector with the aim of generating information that can be used to help strengthen public institutions. As with any evaluation tool, its impact will depend on how it is used. It is not a methodology for assessing corruption, it is not an internal control instrument, and it does not assess perceptions. It does not evaluate public officials, nor does it measure the overall quality of procuring entities. The evaluations and reports produced using this methodology do not represent CoST's opinion on the performance of governments or procuring entities.

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Abbreviations

CoST	CoST – the Infrastructure Transparency Initiative
CoST IDS	CoST Infrastructure Data Standard
ITI	Infrastructure Transparency Index
Logframe	Logical Framework
MEAL	Monitoring Evaluation, Accountability and Learning
MSG	Multi Stakeholder Group
OC4IDS	Open Contracting for Infrastructure Data Standard
ToC	Theory of Change

Mathematical notation

$\sum$	operator for summation
ne	number of procuring entities selected for evaluation
np	number of completed projects selected for evaluation
wi	Weighting for each evaluated indicator score
wsv	Weighting for each sub-variable score
wv	Weighting for each variable score
wd	Weighting for each dimension score

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Annexes

1. Introduction

1.1 Concept

CoST –the Infrastructure Transparency Initiative works with governments, the private sector and civil society to improve transparency, participation and accountability in public infrastructure investment. It achieves this by supporting the publication, validation and use of infrastructure data at every stage of the infrastructure project cycle. CoST's experience shows that this provides the evidence and processes to help drive reforms that reduce mismanagement, inefficiency and corruption, thereby improving performance in the sector. Applying this approach results in cost savings that help close the infrastructure financing gap. It also helps deliver better quality infrastructure to millions of people.

CoST has developed the **Infrastructure Transparency Index Manual** (ITI Manual) to guide the evaluation and monitoring over time of the level of infrastructure transparency and the quality of related processes that enhance participation and accountability. It helps government, the private sector and civil society stakeholders to understand the relative strengths and weaknesses of transparency, participation and accountability mechanisms within the sector. As outlined in this manual, the ITI has been developed collaboratively and is based on international good practice and lessons learned.

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

The **ITI score** (whether a national ITI score or a sub-national ITI score[1]) is derived from the weighted sum of four constituent **ITI dimensions**, namely:

1. **enabling environment;**
2. **capacities and processes;**
3. **citizen participation; and**
4. **publication of data and information[2].**

Although the ITI is designed to help CoST members and partners evaluate and strengthen national or local programmes, other interested parties can also use it as a tool to better understand, and hence strengthen, their institutions.

Section 1 of this document 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 final ITI score based on the four ITI dimensions and a set of weighted variables; and **section 3** presents the detailed methodology and recommendations for using the ITI. The annexes provide a set of instruments to support implementation.

[1] The fact that the ITI is designed to be applied at either a national or sub-national level will not be repeated at every mention.

[2] When used within the context of the term "information" may include a combination of raw data and (more meaningful) processed information.

1.2 The CoST approach

CoST has developed an approach that is contextually flexible and aims to complement and add value to recognised good practice. It provides a global standard for improving transparency, participation and accountability in infrastructure based on four pillars of multi-stakeholder engagement, publication, validation and use of data.

- Multi-stakeholder working brings together government, the private sector and civil society in a concerted effort to improve transparency, accountability and ultimately performance in the preparation and delivery of public infrastructure. This is typically achieved through a multi-stakeholder group in which each stakeholder has an equal voice in the governance of a CoST programme.
- Data publication is the disclosure of data and information on infrastructure projects. Core and optional data points are published by procuring entities at key stages throughout the entire project cycle in accordance with the CoST Infrastructure Data Standard (CoST IDS) and the Open Contracting for Infrastructure Data Standard (OC4IDS).
- Data validation is an independent review that highlights the accuracy and completeness of the published data and transforms it into compelling information that helps to communicate issues of concern and areas of good practice.
- Data use refers to efforts made to ensure that the published data and independent validation reports are taken up and used by stakeholders – including civil society, the private sector and government oversight bodies – to strengthen existing accountability mechanisms and prompt appropriate corrective action, not only in relation to specific projects but also more broadly in the sector.

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 to either too simple or overly complex. CoST Guatemala was then asked 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 developed and tested in both countries. Following these trials, lessons were learned and the index was further improved.

Finally, the ITI was subjected to an international peer review process. This involved a number of experts carefully reviewing it and providing relevant comments that helped to shape the final version.

Such a lengthy process was necessary to ensure that stakeholders had confidence in the approach. As further experience is gained, practical lessons will be drawn from its global application and reflected in updates to the methodology and indices.

Raphael Fuentes, General Director of Panama Public Procurement; Caroline Alcock, former Deputy Head of Mission of the British Embassy in Panama; Carmen Montenegro, Director of Transparency at the National Authority for Transparency and Access to Information, Aída Martínez Mórtola, CoST Panama Manager; and Manuel González, CoST Senior Regional Manager for Latin America, at the launch event of the Panama ITI 2023.

1.4 Objectives

The aim of the ITI, as set out in this manual, is to enable the level of transparency and accountability in public infrastructure to be assessed, and monitored over time. The objectives are as follows:

- to provide a measure of the state of infrastructure transparency and the capacity to improve transparency among procuring entities;
- to track and promote progress and facilitate peer learning, while helping to hold procuring entities to account;
- to raise awareness of transparency at the national and international levels, building on existing data standards such as the CoST IDS and the OC4IDS;
- to enable consistent country comparisons at the international level, facilitating peer learning and the identification of common international strengths and weaknesses.

The tool calculates an **ITI score** (whether national or sub-national) on a scale of zero to one hundred (0-100) for a country's national or sub-national public infrastructure, as well as individual **ITI PE scores** for associated procuring entities. The scores are based on a large number of unique indicators. These are independently assessed to evaluate the procuring entity's practices and the conditions that lead to transparency and accountability in the local infrastructure sector.

The score is then published in the form of an **index** that ranks the procuring entities. The resulting highlighting and identification of shortcomings in existing practice can then be used to develop an action plan that will help raise standards of transparency and accountability within the country or sector and improve ongoing infrastructure management practices.

The ITI results provide information that can guide government leaders, international organisations, procuring entities and others with an interest in strengthening infrastructure-related transparency and accountability. Follow-up ITI assessments should take place periodically and consistently, while allowing time for reforms to be introduced and take effect between assessments.

While it is expected that the ITI will be used by CoST members and partners as part of their programmes, it is also intended to be a tool that can be used independently of CoST and in countries not participating in the programme. If the methodology set out in this manual is followed in each evaluation, the results will be comparable both within and between countries, facilitating peer-to-peer learning on a wider scale and the identification of common strengths and weaknesses.

1.5 Principles

The design and development of the ITI is based on the following principles:

- **Relevance**: it provides information on the state of the regulatory framework, the institutional capacity and the publication of information that relates to potential improvements in the management and implementation of infrastructure projects.
- **Comprehensiveness**: it uses a comprehensive set of indicators to provide a broad assessment of the sector and a detailed evaluation of a procuring entity.
- **Simplicity, replicability and trustworthiness**: the data collection and processing methods are simple, any person replicating the ITI methodology should be able to obtain the same results, so the results are easy to understand and can be used by different stakeholders.
- **Objectivity**: the methodology includes specific procedures designed to reduce subjectivity in data collection to ensure the reliability of the overall study.

Other principles are that the ITI implementation should be:

- **Impartial**: the coordination of the ITI methodology and its implementation is carried out by an independent third party with relevant expertise.
- **Periodic**: the evaluation is carried out on a regular basis (every two years is recommended) to allow time between evaluations to improve transparency, accountability and management of infrastructure delivery.
- **Accurate**: the indicator scores 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 using a single piece of information. The same information is not reused to determine the score of other indicators.
- **Informative**: the results provide a snapshot of the procuring entities assessed, which provide a broader picture of the national or sub-national situation.
- **Evolving**: each ITI implementation includes for evaluation the procuring entities that have developed the most significant infrastructure projects during the study period, representing a degree of updating of the selected procuring entities from one ITI edition to another, to reflect the national or sub-national changes. In addition, in countries with a large number of procuring entities, it is expected that the number of entities assessed will increase over time to provide a more complete representation of the national or sub-national context.
- **Constructive**: the ITI can help stakeholders work together to compare levels of transparency across procuring entities and countries, while monitoring how these change over time.

As with any evaluation tool, the impact of an ITI depends on the extent to which its results are used by decision-makers.

2. Content

2.1 Structure

The Infrastructure Transparency Index (ITI) is based on four building blocks known as dimensions, namely:

1. enabling environment;
2. capacities and processes;
3. citizen participation; and
4. data publication.

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

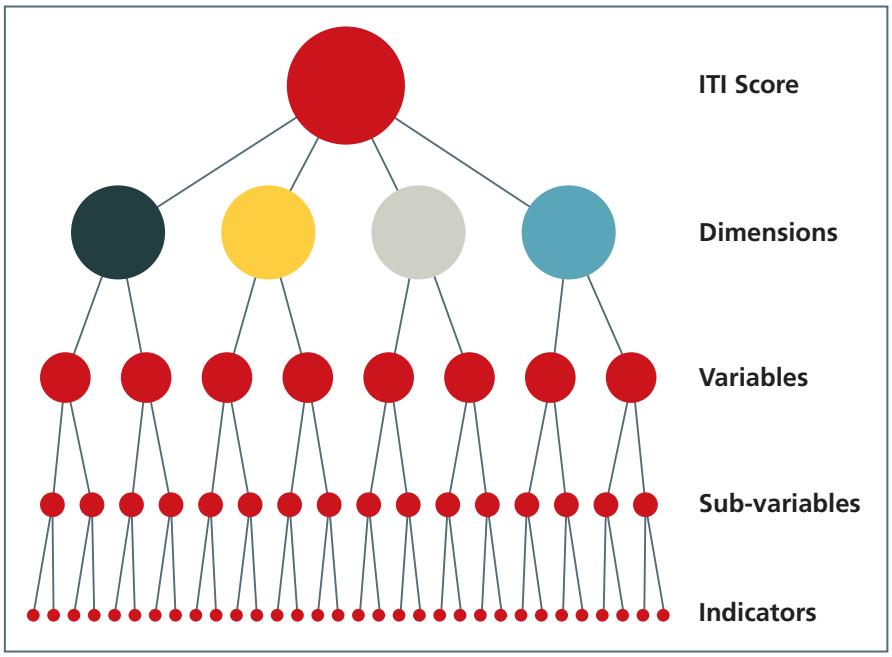

Figure 2.1: ITI hierarchy example

Each of the four dimensions is broken down into a number of components to allow for a comprehensive evaluation. The result is a four-level hierarchy: the dimensions are determined by variables, which are in turn are shaped by sub-variables derived from indicators (see **Figure 2.1**).

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

2.2 Dimensions

2.2.1 DIMENSION 1: ENABLING ENVIRONMENT

Dimension 1 assesses the national or sub-national conditions for transparency in the infrastructure sector, considering the regulatory framework and key digital tools. It has one variable, three sub-variables and 12 indicators. The full list of indicators can be found in **Annex 1**. The variable and sub-variables of the dimension are:

- Legal framework and digital tools
  - Regulatory framework for public access to information
  - Transparency standards in the public infrastructure sector
  - National digital information tools

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

The indicators in this dimension are scored using information that is typically available from official[3] online sources such as websites containing national regulatory frameworks and sector-specific information, particularly those focusing on transparency, public procurement, public infrastructure and public finance.

2.2.2 DIMENSION 2: CAPACITIES AND PROCESSES

Dimension 2 assesses the soundness of procuring entities' procedures and their capacity to publish data and information. It has two variables, five sub-variables and 25 indicators. The full list of indicators can be found in **Annex 1**. The variables and sub-variables of the dimension are:

- Institutional capacity
  - Basic knowledge
  - Digital capacity
- Institutional processes
  - Procedures for publication of information
  - Enablers and barriers to publication of information
  - Control over publication of infrastructure projects

All indicators in 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 **section 3.1.4** on how procuring entities should be selected). The results of the dimension provide feedback to strengthen capacities and processes at the level of the procuring entity. The score for the dimension is obtained through the weighted sum of the underlying indicators for each of the procuring entities.

The data required to score the indicators in this dimension is collected through a survey to be completed by a selected government official in each procuring entity, either through self-assessment or interview. Details of the survey and the scoring system for the indicators are provided in **Annex 2**.

2.2.3 DIMENSION 3: CITIZEN PARTICIPATION

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

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

All the indicators in this dimension evaluate procuring entities. The indicators are scored once for each of "n_e" selected procuring entities (see section 3.1.4 on how procuring entities should be selected). The results of this dimension provide feedback to strengthen the procuring entity's citizen 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 score the indicators in this dimension is collected through a survey (the same as for dimension 2) to be completed by a selected government official in each procuring entity either through self-assessment or interview. Details of the survey and the scoring system for the indicators are provided in **Annex 2**.

[3] The definition of "official source" in this Manual generally refers to a government official source, and not a source that belongs to other national third parties, such as media, NGOs, civil society, academia and private sector.

2.2.4 DIMENSION 4: INFORMATION DISCLOSURE

Dimension 4 assesses the amount of project data and information published by procuring entities in accordance with the CoST Infrastructure Data Standard (CoST IDS) or the Open Contracting for Infrastructure Data Standard (OC4IDS). It has one variable, six sub-variables and 44 indicators. The full list of indicators can be found in **Annex 1**. The variable and sub-variables of the dimension are:

- Disclosure practices
  - Project identification
  - Project preparation
  - Construction contract tender management
  - Supervision contract tender management
  - Construction contract implementation
  - Supervision contract implementation

All indicators of this dimension evaluate "n_p" infrastructure projects developed by each of the "n_e" procuring entities (see sections 3.1.4 and 3.1.5 for how procuring entities and projects should be selected). The dimension results provide feedback to the selected procuring entities to strengthen their information disclosure. The overall score for the dimension is obtained by averaging the weighted sum of the underlying indicators for each of the "n_p" projects.

The indicators in this dimension are scored using information typically available from official online sources such as websites containing data on public infrastructure projects and public procurement and other websites containing information related to these evaluation objects.

2.2.5 DIMENSION SUMMARY

A summary of what is evaluated and the data collection methods used for each of the four dimensions is presented in **Table 1** below.

	Dimension 1: enabling environment	**Dimension 2:** capacities and processes	**Dimension 3:** citizens participation	**Dimension 4:** information disclosure
What is being evaluated	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 what is being evaluated and the data collection methods adopted for each ITI dimension

3. Implementation methodology

The implementation the Infrastructure Transparency Index methodology entails following a sequence of four main stages to arrive at the ITI score, as illustrated in **Figure 3.1**

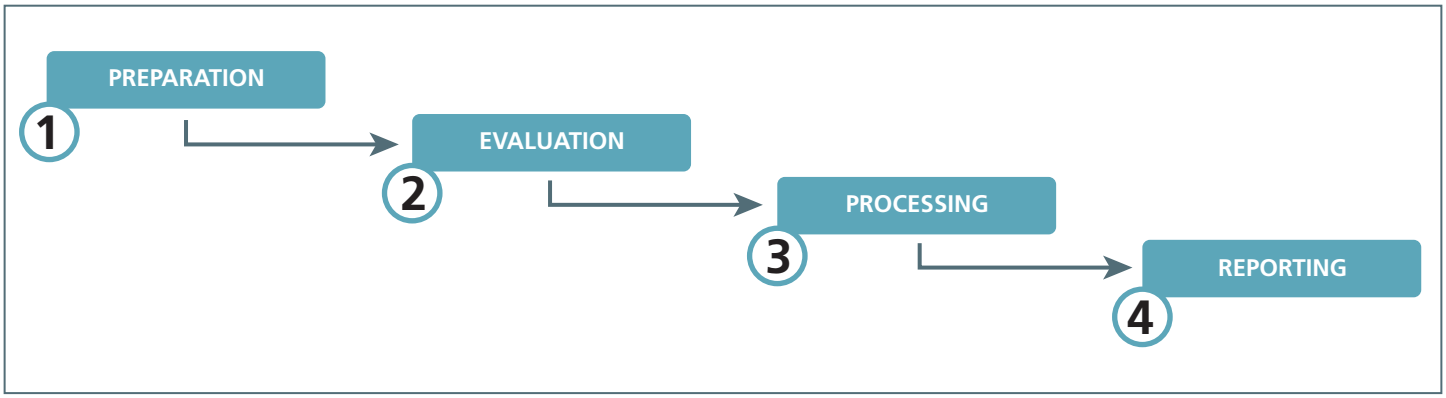

Figure 3.1: The four stages to determine an ITI score

3.1 Preparation

3.1.1 EVALUATION TEAM

Identifying an appropriate evaluation team is critical to the successful implementation of the methodology to determine an ITI score. Each member of the team needs to have a good understanding of the CoST principles and approach, experience in collecting data from the government portals that contain the data and information needed for the evaluation, and experience in conducting interviews, requesting public information from government agencies and using collaboration tools. All these skills[4] need to be provided by the evaluation team. In addition, the coordinator should have experience in project management and in writing analytical reports.

The size of the evaluation team will depend on the time and resources available and the number of procuring entities to be evaluated. The shorter the time available, the more evaluators will need to be trained and deployed. Similarly, the more procuring entities there are to be evaluated, the larger the team will need to 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 must therefore be struck when determining the size of the team. However, an ITI implementation requires a minimum of three people in the evaluation team because of the different roles and associated skills that need to be brought to bear.

The key roles are those of a coordinator and two or more evaluators. The coordinator is responsible for:

- methodological and administrative arrangements;
- data collection based on the ITI methodology;
- evaluation progress reports;
- the role of the third evaluator (see section 3.2) (optional);
- quality control;
- data processing; and
- report writing

[4] Competencies include a combination of knowledge, skills, and attitudes.

Evaluators are responsible for:

- data collection based on the ITI methodology; and may also contribute to
- the third evaluator role (optional); and/or
- report writing

If the team consists of only three people, the minimum number required, the coordinator will perform the third evaluator role. Alternatively, the third evaluator role can be performed by all three team members if each collects data and reviews the data collected by the other two members, as in a peer review process. It is also recommended that the evaluators are involved in the writing of the report because of their in-depth understanding of the information collected.

The division of responsibilities between the coordinator and the evaluators implies the need for a close working relationship between them at all times. This is particularly important if the project timetable is to be maintained despite inevitable setbacks.

Finally, each team member must be committed to the timely achievement of the ITI implementation objectives and deliverables. This requires special skills and experience, and an attitude that focuses on getting the job done well and on time, rather than on simply accepting time delays due to the inevitable reliance on busy procurement staff during data collection.

3.1.2 MATERIALS

All the working documents and equipment needed to carry out the evaluation need to be prepared before the evaluation starts. The evaluation team will need computers, access to the Internet and the files and forms that will be used to conduct the evaluation. If the survey to collect the data for dimensions 2 and 3 is to be conducted 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 use an electronic form of the questionnaire to share with the selected official.

The CoST International Secretariat provides the following materials for conducting an ITI:

- ITI Manual;
- sample selection guide for procuring entities and infrastructure projects;
- evaluation forms for all four ITI dimensions;
- survey forms for conducting interviews or self-assessments;
- procuring entities protocol for managing and controlling interactions;
- data processing worksheets;
- results database template;
- final results slide deck template;
- final results executive summary template; and
- final report template.

3.1.3 EVALUATION PERIOD

The information needed to calculate the ITI must relate to a specific evaluation period, e.g. 1 January to 31 December. This means that the data for all indicators must belong to this period. An evaluation period needs to be defined to avoid re-use of evidence used in a previous evaluation and to ensure a consistent approach across procuring entities. If further ITI evaluations are carried out in subsequent years, the same or a very similar evaluation period should be used in order to maintain consistency in the methodology, findings and recommendations between "editions" of the evaluation. Each evaluation period is associated with a shorter data collection period corresponding to when the information is collected by the evaluation team (e.g. 1 April to 31 May).

In any case, both the evaluation period and the data collection period need to be defined at the outset, clearly understood by the evaluation team and the procuring entities, and documented in the final reports.

3.1.4 SAMPLE OF PROCURING ENTITIES

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

- Number of procuring entities

To determine this number, the available resources and the time required must be taken into account. A provisional allocation of 1 day of evaluation per procuring entity is suggested to make basic calculations. It is then important to consider the size and structure of the national or sub-national context in order to make a selection. Taking these conditions into account, one of the following options should be chosen:

a. Determine the number of procuring entities based on the resources available to implement the ITI. Based on past experience, 30 procuring entities is the minimum number to be selected if this approach is chosen; or

David Zamora, International Coordinator of the ITI and Aída Martínez Mórtola, CoST Panama Manager, together with members of the CoST Panama Multi-Stakeholder Group and participants at the launch event of the Panama ITI 2023.

b. Selecting approximately 20% of all procuring entities (in smaller more centralised economies), or up to 100 procuring entities (in larger more decentralised economies).

In either case, a complete list of all procuring entities with basic information (such as budget size, category and sector) must first to be compiled, in order to ensure an objective sample selection.

As an ITI principle, the number of entities evaluated should increase to 100% over the course of successive editions. This is in order to progressively improve the accuracy of the overall picture of transparency in the infrastructure sector. In cases where the number of procuring entities at the national or sub-national level is small, for example 40, all procuring entities should be included from the beginning and maintained throughout the different editions.

- Identification of procuring entities

To select the specific procuring entities to be evaluated, a stratified method must be used to balance the selection according to different criteria (see a real example in **Annex 3**). This method involves collecting basic data from all procuring entities (all entities developing public infrastructure projects). From a complete list of procuring entities, the most important ones that meet the combination of criteria are selected. The basic criteria to be used are:

- The infrastructure budget of the entity (as an indicator of the socio-economic impact of its projects)
- The type of entity (e.g. central government, municipality, autonomous)[5]
- The entity sector (e.g. education, health, energy)[6].

The most important aspect of the criteria is that they result in the selection of a sample of procuring entities that represents the greatest contribution to economic and social impact, while at the same time communicating the fact that all entity sectors and types are included. The criteria must apply to all entities without exception and should be documented and transparent.

In cases where it is a challenge to establish a complete list of entities and/or to collect the required criteria data for all entities, an analysis of sources and collaborations should be undertaken to determine how to collect as much as data as possible. In such cases it is important to avoid any bias that could affect the selection, such as that which would occur if procuring entities were selected only from those that publish information rather than from a full list of entities developing infrastructure projects.

[5] It is very likely that each government has an official classification for "type" of entity. It is recommended to use that classification to ease ITI results interpretation. Each PE has to be classified accordingly.

[6] It is also recommended to use an official classification for "sectors". If there is no official one available, it is required to use the one in the Open Contracting for Infrastructure Data Standard (OC4IDS): https://standard.open-contracting.org/infrastructure/latest/en/reference/codelists/#projectsector.

Given the importance of a sound sample of procuring entities for the ITI, it is recommended that sufficient time and effort be devoted to collecting the full list of entities and associated data related to the selection criteria.

3.1.5 SAMPLE OF INFRASTRUCTURE PROJECTS

The selection of projects to be evaluated per procuring entity is another key step in determining the ITI score. For each selected entity, the same number of projects must be selected for the evaluation using a selective and random sampling approach. In CoST countries, it is recommended not to select projects that have previously been part of the independent review process. The same project selection criteria should be applied to all procuring entities.

In order to allow for an evaluation of the project life cycle, it is essential that only completed projects are selected (or at least projects that can be clearly identified as being at an advanced stage of construction). Each completed project is scored against the indicators in dimension 4 on publication of data. The indicators for this dimension are scored "n_p" times for each procuring entity, where "n_p" is the number of completed projects selected for scoring.

A minimum of two projects per procuring entity is required. Using a mixture of selective and random methods, at least one project shall be selected on the basis of its perceived importance to stakeholders, and the other shall be randomly selected from the total list of projects undertaken by each procuring entity.

For projects to be selected on the basis of importance, they must first be ranked according to their budget. Two different evaluators then look at only the projects with the highest budgets from each procuring entity and independently score them based on their perceived impact. If there is a significant difference between the scores given, a third evaluator resolves the difference. From the set of projects with the highest budgets, the one with the highest perceived impact is selected. In the interest of transparency and consistency, the criteria used to select the projects to be evaluated must be stated in the published results report[7].

For projects to be selected randomly, all projects from each procuring entity must have a sequential number (which may be assigned by the evaluation team), and a random number generator calculator or application may be used to select a number from the list.

This combined approach of selective and random methods for project sampling introduces a variation that can help to identify different disclosure practices by procuring entities (e.g. an important project funded by a multilateral bank versus a less popular project funded by the national budget).

It can sometimes be challenging to compile a complete list of projects completed during the evaluation period for each of the procuring entities, along with the budget amount for each of the projects. Should this challenge prove insurmountable, an analysis of sources and collaborations should be undertaken to identify a realistic means of collecting as much as data as possible. In such cases, it is important to avoid any bias that might affect the selection, such as that which would occur if projects were selected only from those that publish information rather than from the full list of projects completed by entities during the evaluation period. Given the importance of a sound project sample for the ITI, it is recommended that sufficient time and effort be devoted to ensuring a sound and objective selection.

[7] An alternative and simpler approach for selecting the project by importance is just basing the decision on budget. So the infrastructure completed project with the highest budget becomes one of the two projects to be evaluated for each PE.

David Zamora, International Coordinator of the ITI, and Marisol Castro, Manager of CoST Costa Rica, with the evaluation team of the third ITI in Costa Rica.

3.1.6 TRAINING

Training is required to ensure that each member of the team is able to evaluate each ITI indicator in the same consistent way. The evaluation tool and its procedures need to be studied, understood and applied. Different scenarios and complexities that may arise during data collection also need to be discussed and worked through during training. Recommendations for the training evaluation teams are provided in **Annex 4**.

An event with members of the CoST Multi Stakeholder Group (MSG) and other stakeholders, such as partner civil society organizations, donors, academia, non-governmental organisations, and public oversight agencies, etc. can also be held to introduce the ITI and the benefits of the index to these stakeholders and the country.

3.1.7 LOGISTICS

The preparation stage also requires consideration of the various logistical aspects of the evaluation, including the location where the evaluations will take place and other relevant details. If the survey is to be conducted through interviews, it will be necessary to budget for the costs associated with travelling to and from each selected procuring entity.

Logistics also include 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 key stakeholders, such as the CoST MSG.

In order for the logistical aspects of an evaluation to be fit for purpose, it is important to be clear about:

- the budget and implementation timetable;
- a stakeholder communication plan;
- composition of the evaluation team;
- access to the computers, equipment and venues needed to conduct the evaluation;

- a training venue and related arrangements;
- the training of the evaluation team;
- the choice between self-assessment and interview approaches;
- the selection of procuring entities and projects;
- the determination of the standard official/position that who will respond to the survey;
- the contact details of the procuring entities;
- a press release about the ITI implementation and/or publication on social media;
- the adaptation of the procuring entities' protocol to manage and control interactions;
- the standard text forms to be used in formal interactions with procuring entities;
- the standard invitation letter to procuring entities;
- the survey tool with the self-assessment or interview form;
- a webinar or meeting with procuring entities as a kick-off to introduce the ITI and the role of the procuring entity;
- the scheduling of interviews (on-site or online) or self-assessments; and
- a final results presentation event after the evaluations.

3.2 Evaluation

In the evaluation stage all indicators are evaluated. Each of the four ITI dimensions has its own evaluation process, as follows.

3.2.1 DIMENSION 1: ENABLING ENVIRONMENT

Dimension 1 assesses the national or sub-national conditions that enable transparency in the infrastructure sector. Its indicators are identified through desktop research. Each indicator requires input from at least two evaluators, who make an initial evaluation independently of each other to avoid bias.

If the results of 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 agree with one of the first two and is then considered final. In the rare case that the third evaluator believes that both of the first evaluators are wrong, that particular indicator is returned to the first two evaluators for reconsideration. It is highly likely that, after this review, one of the two original evaluators will agree with the third evaluator.

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

3.2.2 DIMENSION 2: CAPACITIES AND PROCESSES

Dimension 2 assesses the soundness of a procuring entity's procedures and its capacity to publish data and information. Its indicators are evaluated by means of a survey, which is completed once by an official of the procuring entity. This official is usually known as the "information officer". This is the person who, officially or unofficially, coordinates the efforts related to the national law on freedom or access to information. This means that they are likely to be familiar with the principles of transparency, accountability, open data, citizen participation, collaboration and innovation.

In some national or sub-national contexts, due to institutional arrangements or national regulations, a public official or even a procuring entity may not have immediate access to answers to all survey questions. In these cases, it is acceptable for the survey to be completed by more than one official. Experience has shown that ITI data can also be successfully collected through small group meetings.

Launch of CoST West Lombok 1st ITI Report, January 2024.

The survey can be conducted either by interview or by self-assessment. Both methods require the official to answer all questions and provide supporting explanations and/or evidence. The interview method potentially provides a means of ensuring more complete and comprehensive responses, but requires more resources. The self-assessment option may require less effort and fewer resources, but can still provide good data if there is strong commitment and associated validation. The local evaluation team needs to consider its context and resource constraints when choosing between the two methods. Experience within CoST suggests that both methods can work effectively if implemented well. The recommendation in this manual is to use only one of the two methods to collect data from all procuring entities. However, a combination of methods is acceptable in exceptional circumstances. For example, if an official only responds to the self-assessment survey when the interview method has been selected; or if an official has not found the time to complete the self-assessment but is willing to be interviewed.

It is important to recognise from the outset that conducting the interviews or collecting the completed self-assessments from the procuring entities is the most challenging part of implementing the ITI. This means that patience, effort and empathetic communication are required to generate the necessary data sets.

The quality of the data collected through the survey needs to be verified by the evaluation team by triangulating the results with other sources of information. The techniques to be used are:

- Endorsement, where the supporting documentation includes a signed statement attesting to the accuracy of the information provided (see **Annex 2**).
- Request for evidence to support the scores awarded. If the evidence (such as statements, documents, websites, bulletin boards and newspapers) provided for a particular question does not agree with the score assigned by the official, the evaluation team may contact the official to request more information and/or further consideration of the score assigned for that particular question.

3.2.3 DIMENSION 3: CITIZEN PARTICIPATION

Dimension 3 assesses both the opportunities for citizen participation provided by procuring entities and the use made by citizens of the public information disclosed. Its indicators are evaluated by means of the same survey that is completed by the information officer of each procuring entity. This survey includes the indicators of dimensions 2 and 3.

The survey is carried out by the individual either through self-assessment or through an interview. The local evaluation team will decide which method is more appropriate in their context and will use the same validation techniques presented above to ensure the quality and reliability of the data collected.

3.2.4 DIMENSION 4: INFORMATION DISCLOSURE

Dimension 4 assesses the scope, quantity and quality of data and information disclosed by the selected procuring entities in accordance with the CoST Infrastructure Data Standard or the OC4IDS. Its indicators are evaluated through desktop research. These indicators require two or three evaluators, as in Dimension 1. Assessments of the quality of the data collected are derived from the same methodology, where a single observation is always obtained through independent evaluation by two different people.

3.2.5 RECOMMENDATIONS FOR WORKING WITH PROCURING ENTITIES

As explained above, it is expected that obtaining data from procuring entities will be challenging in some cases. The following approach is therefore recommended.

1. Engage with the CoST MSG and/or any other relevant political authority related to public infrastructure in order to secure support for the implementation of the ITI and to ensure the necessary level of co-operation from procuring entities.

2. Prepare and distribute an ITI implementation press release that sets expectations for the work to be done and the contribution it will make to improved sector performance. Experience suggests that such press releases can lead to increased co-operation from procuring entities.

3. Prepare standard scripts to ensure that each procuring entity receives all the necessary information from each interaction with the evaluation team.

4. Obtain and retain the contact details of the Access to Information Unit of the participating procuring entities. As the information required by the ITI will normally come from this unit (or the equivalent as defined by the applicable national legislation), having the contact details of government officials in the unit at hand can speed up and facilitate the data collection process.

Launch of the CoST Uganda 2nd ITI Report, July 2024.

Pemkab Lobar Terapkan Transparansi Pembangunan Infrastruktur

LOBAR—Transparasi pembangunan infrastruktur di Lombok Barat (Lobar) mendapat apresiasi yang cukup bagus dari CoST Internasional. Pemkab Lobar pun terus berkomitmen melaksanakan pembangunan yang transparan dan partisipatif. Bahkan Forum Lalu Lintas dan Angkutan Jalan (FLLAJ) Lobar telah menjadi anggota CoST Internasional meluncurkan konsep Infrastructure Transparency Index (ITI).

Sejak menjadi anggota CoST dari 2019, FLLAJ Lobar telah mengimplementasikan transparansi dengan membangun portal interaksi yang menggunakan standar internasional. Portal ini telah mempublikasikan kurang lebih 2.067 data pembangunan infrastruktur di Kabupaten Lombok Barat.

Mewakili Bupati Lobar, Asisten III Setda Lobar, M Hendrayadi menilai keterbukaan informasi publik sangat dibutuhkan dalam pembangunan. Hal itu katanya sesuai dengan amanat UU no 14 tahun 2008 tentang Keterbukaan Informasi.

"Melalui keterbukaan informasi ini pembangunan akan berjalan dengan lancar dan partisipatif," terangnya saat acara expose dan launching laporan ITI Lobar tahun 2023 di Jayakarta Hotel Batulayar, Senin (22/1).

Menurutnya index keterbukaan informasi publik dalam pembangunan infrastruktur, menjadi hal yang sangat penting. Sebab hasil dari ITI ini diharapkan akan dapat memberikan beberapa manfaat. Seperti gambaran terkait dengan praktek keterbukaan informasi pembangunan infrastruktur di Kabupaten Lombok Barat.

"Ini bisa menjadi salah satu bahan evaluasi kinerja masing-masing OPD maupun entitas pengadaan lainnya dalam keterbukaan pengerjaan infrastruktur," ujar Hendra.

Rekomendasi yang menjadi bagian dari laporan ITI bisa menjadi dasar dalam penentuan kebijakan yang akan diambil. Agar peningkatan kualitas dan efektifitas pembangunan infrastruktur di Kabupaten Lobar bisa lebih baik lagi. Sebab pria berkacamata itu berkeyakinan pembangunan yang didasari atas kepercayaan akan menghasilkan pembangunan yang berkualitas.

"Serta akan mendorong peningkatan perekonomian dan kesejahteraan masyarakat," katanya.

Sementara itu, Kepala Dinas Perhubungan (Dishub) Lobar, HM Najib menerangkan bahwa ITI sebagai salah satu upaya mendukung tranparansi data untuk semua kegiatan proyek infrastruktur yang ada di Lobar. Agar dapat diketahui dan sama-sama dipantau oleh publik.

"Setelah launching ini akan ada pelatihan lagi bagi supervisor-supervisor, dari semua OPD. Supaya semua data dari masing-masing OPD itu ril," beber Najib.

Najib berharap kedepannya dapat meminimalisir kekeliruan data yang berkaitan dengan transparansi proyek pembangunan infrastruktur. Karena diakuinya keterbukaan memang layak diketahui publik terkait progres, serta tujuannya.

Dimana peneliti dalam survey yang telah dilakukan terkait dengan ITI Lobar terdiri dari akademisi dan dari CoST internasional. **(win)**

WINDY DHARMA/RADAR MANDALIKA

DIALOG: Suasana dialog sejumlah OPD dengan pihak CoST saat acara expose dan launching laporan ITI Lobar tahun 2023 di Jayakarta Hotel Batulayar, Senin (22/1).

Presentation of the results of the 1st ITI, CoST West Lombok, January 2024.

5. Prepare a formal written invitation to procuring entities participating in the ITI process, with a copy to the entity's main authority. This should include the following:

- a summary of the ITI concept;
- an outline of the resulting benefits to the entity and the country;
- a reference to the legal provision allowing access to public information;
- details of the data and information requirements (a copy of the survey may be attached); and
- a request to confirm participation.

6. Hold a webinar or a meeting with the procuring entities to be evaluated to inform them about CoST, the ITI, its implementation timelines, their contributions and the support that will be required from them.

7. Schedule the interviews or request the completion of the self-assessments. If interviews are to be conducted, it will be necessary to schedule all meetings prior to the start of the evaluation to ensure that they take place during the evaluation period. If self-assessments are to be carried out, provide the procuring entity with the survey form and set a deadline for completion. Provide the contact details of the evaluation team and explain that they are available to respond promptly and positively to any questions or concerns. Always provide a completed sample response, either for the interview or the self-assessment, to ensure that the public official understands how to answer the survey questions correctly.

8. Communicate with empathy. Written and verbal communication with the public officials should always be in positive terms and must be formal and standardised, with reference to the Freedom of Information Act (or access-to-information law) or any other relevant legislation. It is important to communicate to the officials the relevance and potential benefits of the ITI results for their day-to-day work, for the entity and for citizens. An empathetic and focused attitude is key to effective communication with these officials and is likely to increase the likelihood of obtaining information that reveals the challenges faced by the procuring entities and the overall contribution resulting from the ITI.

9. Establish a protocol to be followed when procuring entities do not respond. Daily workload pressures and a lack of willingness or confidence are barriers that can limit easy access to information. To address these issues, it is necessary to design a protocol that takes into account of national regulations, public sector culture and the specific context before starting the evaluation. An example of such a protocol might be:

- An initial follow-up phone call (or email) from the evaluation team to the procuring entity before the deadline to ask if there are any questions or problems with the survey.
- A follow-up phone call (or email) from the evaluation team when the deadline has just passed, to try to commit the 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 entity if there are any questions or problems with the survey.
- Further follow-up phone calls (or emails) after the second deadline, from a high-level ITI-related authority such as the CoST manager, a member of the CoST MSG or a high-level official from the national access to information authority or equivalent.

It is important to keep good records of the progress, or lack of it, made by the entity in following the above process. The report on the results of the ITI should include a section clearly stating the protocol followed and identifying the procuring entities that did not provide the public information requested by the ITI. This section will help to reduce the risk of a similar lack of input in future evaluations.

10. Invite the procuring entities to the ITI results presentation. Ensure that government officials from the procuring entities involved in the ITI evaluation, are invited to the results presentation. Share the written results with these officials and invite them to become more involved in the initiative and to ask any questions they may have about the process or the tool.

As a general note, since the information provided by the procuring entities forms the basis for the evaluation and comparison (which is an essential part of the ITI), it is necessary to have formal and standard communications with them to ensure that no one receives preferential treatment. However, it must also be made clear that such comparisons will always be made in the most constructive manner possible.

3.2.6 REMARKS ON OBJECTIVITY

The ITI has three different provisions designed to minimise the effect of subjectivity in the conduct of an evaluation. These are as follows:

- The scoring scales: each ITI indicator has its own scoring scale from zero to five (0–5). For each indicator, scenario responses are described indicating the score to be assigned based on the conditions found during the evaluation. These help the evaluators to assign scores objectively. All indicators and their scoring scales are presented in **Annex 1**, with more detailed guidance on dimensions 2 and 3 in **Annex 2**.
- Double-checking: all indicators that require desk research (those in dimensions 1 and 4) must go through a process whereby each indicator is scored by two or three different people. The results of two people must be the same to be acceptable for processing.
- Triangulation: all indicators evaluated using survey information (those in dimensions 2 and 3) are subject to a triangulation process that involves both endorsement and the provision of evidence. First, the government official who completes the survey is asked to sign a statement confirming the accuracy of the information (see **Annex 2**). Second, their responses are reviewed by the evaluation team against the evidence provided to support the scores assigned. Only after approval by the evaluation team the data is accepted for processing.

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

3.3 Processing

The collected data must be processed in order to assign a score ranging from zero to one hundred (0-100) for each indicator, sub-variable, variable and dimension, based on their assessment and weighting. 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. The following process is used to obtain the scores.

- Each indicator, sub-variable, variable and dimension is given a weight between zero and one (0-1).
- Each indicator also receives a score ranging from zero to one (0-1). The indicators are scored on a scale from zero to five (0-5). This means that if, for example, the rating is 2 points, then the assigned score is 0.4.

- Each indicator contributes a proportion to the score assigned to the sub-variable. That proportion is determined by the weight of the indicator multiplied by the score assigned to the indicator. For example, if the weight of the indicator is 0.24 and the score is 0.8 (because it had a score of 4 points), then this indicator contributes 0.192 to the score of the sub-variable. The score for the sub-variable is obtained by adding the contributions of all of its indicators.
- The total score for each variable and dimension is obtained by following the same procedure as above.
- The national or sub-national ITI score is obtained by summing the weighted scores of all four dimensions, resulting in a value between zero and one (0-1). For dimensions 2 and 3, the scores of each procuring entity are summed together and then divided by the number of "ne" procuring entities to obtain an average score. For dimension 4, the scores of each project are summed together and then divided by the number of projects "np" to obtain an average score.
- The 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 summed and then divided by the number of projects "n_p" to obtain an average score.
- To see all the scores on a 0-100 scale, instead of the 0-1 scale, they are simply multiplied by 100.

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

3.4 Reporting

The reporting stage involves the preparation, publication and public presentation of the final results. The CoST International Secretariat has templates for preparing the results slide deck, the executive summary and final report. These can be shared as a resource to help the evaluation team better appreciate and understand the scope of the data to be considered, analysed and reported.

West Lombok official delivering remarks at the launch of the 1st ITI Report, January 2024.

As a minimum, the results report should include:

- an introduction to the Index (to present basic aspects such as objectives and structure);
- a description of the methodology used, together with associated technical decisions (such as the sample size and selection of procuring entities), and any challenges and limitations associated with the methodology;
- the ITI results for each procuring entity evaluated;
- results by groups of procuring entities according to topics such as their budget and type;
- the procuring entity rankings; and
- the infrastructure projects scores and rankings.

And at a more integrated level, the same report should include:

- the national ITI results with associated analysis;
- the results for each of the four dimensions with associated analysis;
- comparisons with previous editions, where available;
- general and specific conclusions; and
- actionable recommendations.

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

- ITI score: this is the overall score obtained by the weighted sum of the four ITI dimensions. It also shows the specific scores for each dimension, bearing in mind that the national scores for dimensions 2, 3 and 4 are obtained by averaging across all the procuring entities evaluated and their projects.
- ITI PE score: this is the total score obtained by each procuring entity evaluated, with its detailed scores for each indicator, sub-variable and variable in dimensions 2, 3 and 4.
- PE scorecards: these summarise the main scores achieved by the procuring entities using graphs and figures. The visualisation is prepared for each procuring entity evaluated.
- ITI results database: this contains the disaggregated scores for each dimension, variable, sub-variable and indicator. The database must be populated with complete results, as open data. This file will be accessible to a wide range of stakeholders, who will be able to use of the data to collaborate with others to identify shortcomings in current practices and thereby achieve positive institutional, social and economic change.

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

3.4.1 ACTION PLANS

It is important to remember that the ITI is not an end in itself. The mere publication of information without any resulting action would not achieve the ITI's purpose of promoting transparency and improving the management of public infrastructure for the common good. For this reason, at the central level, the organisation(s) leading the ITI must, themselves, analyse the results, conclusions and recommendations in order to prepare an action plan for evidence-based corrective measures. And at the decentralised level, procuring entities are also required to undertake their own analysis in order to make internal improvements.

Methods that can assist in the design and evaluation of action plans are described below:

- A MEAL (Monitoring, Evaluation, Accountability and Learning) system can be a powerful tool for tracking the progress of the centralised and decentralised improvements, making adjustments where necessary, and assessing results.
- A Logical Framework (LogFrame) and associated Theory of Change (ToC), can be helpful in designing and evaluating initiatives by showing the logical sequence between objectives, outcomes, outputs and activities.
- A diagnostic tool described in the CoST Assurance Manual[8] can help identify weaknesses in any of the factors that lead to good sector performance. This tool, known by the acronym "ACTS also highlights the interdependence between transparency, participation, and other key drivers of performance[9]. This, in turn, can help shape the formulation of corrective action plans when shortcomings are identified.

Finally, these and/or other similar tools can be used by public leaders and other stakeholders to make use of the ITI to contribute to positive changes in infrastructure sector policy and practice.

Uganda's Ministry of Works and Transport receives recognition as the 2nd runner-up in the 2nd ITI.

[8] See section 4.2 of the CoST Assurance Manual at https://infrastructuretransparency.org/resource/assurance-manual/ as well as the associated Excel-based tool.

[9] The primary drivers are grouped under the headings of Accountability, Capacity, Trust and an enabling institutional and legal Setting, hence the acronym "ACTS". Weaknesses in any of these drivers or their constituent sub-drivers give rise to risks of inefficiency and corruption.

Annex 1: Evaluation instrument

The Infrastructure Transparency Index (ITI) score (range 0-100) is calculated as follows:

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

Where w_i is the weight for each scored indicator *i* (range 0-100) within each sub-variable, w_{sv} is the weight for each sub-variable score within each variable, w_v is the weight for each variable score within each dimension and w_d is the weight for each dimension score within the ITI.

All dimensions, variables, sub-variables, indicators, indicator points scale and weightings are shown in the table below. The full scoring procedure for the indicators in dimensions 2 and 3 is given in Annex 2.

When calculating a national or sub-national ITI score, the scores for dimensions 2 and 3 are calculated by adding the respective dimension scores for each PE and then dividing each one by the number of procuring entities (n_e) to obtain 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 PE ITI score (individually or in groups), dimension 1 and its indicators, sub-variables and variables are not included and larger values of w_d are used for dimensions 2, 3 and 4 (see weighting column in the 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).

Although the indicators have different evaluation procedures, as explained in this manual, they all need to be evaluated during the same evaluation period. For example, if evaluations are conducted annually, the indicators must be evaluated on the basis of the evidence and justifications accumulated between the previous evaluation and the current one, 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.			0.30	
1.1.1.1	Indicator	Access-to-public information regulatory framework	There is a regulatory framework 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 regulation 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 previous conditions; 5 = It exists and complies with the two conditions.	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
1.1.1.2	Indicator	Right to request public information	There exists within the national regulatory 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 regulation or there is no regulation of access to information; 1 = The provision to request non-published information exists but none of the four conditions are covered; 2 = The provision exists but only one condition is covered; 3 = The provision and two conditions are covered; 4 = The provision and three conditions are covered; 5 = The provision and the four conditions are covered.	0.25	National or sub-national
1.1.1.3	Indicator	Sanctions over non-compliance with access to public information mandates	Within the national regulatory 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 regulation or no regulation 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 regulation 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 regulatory 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 regulation, or there is no access to information regulation; 1 = There are organizations or mechanisms but none of the three conditions are covered; 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.			0.40	
1.1.2.1	Indicator	Proactive publication of information on public procurement processes	There is a regulatory framework that guarantees proactive disclosure of public procurement information: • in all public sector institutions • in purchases of all goods and services, (included public infrastructure) • in all procurement stages (namely: tendering, awarding, contracting and implementation).	Official websites on national legislation	0 = It is not required by the regulation, or there is no regulation of access to information; 1 = It is required but none of the three conditions are covered; 2 = It is required but only one condition is covered; 3 = It is required but only two conditions are covered; 5 = It is required and the three conditions are covered.	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 regulatory framework that specifically guarantees proactive disclosure of all public infrastructure projects in all public sector institutions, considering the complete project's cycle (identification, preparation, implementation, completion).	Official websites on national legislation	0 = It is not required by the regulation, or there is no regulation of access to information; 1 = It is required but none of the three conditions are specified (all projects, all stages, and all institutions) 2 = It is required but only one of the three conditions is covered; 3 = It is required but only two conditions are covered; 5 = It is required and the three conditions are covered by the regulation.	0.20	National or sub-national
1.1.2.3	Indicator	Infrastructure data disclosure standard	There is a regulatory framework that defines a data disclosure standard in public infrastructure (such as a formal disclosure requirement (FDR)): • based on CoST IDS or OC4IDS • that must be complied with by all procuring entities • in all public infrastructure projects.	Official websites on national legislation	0 = The FDR or infrastructure disclosure standard does not exist in the regulation; 1 = Exists but none of the three conditions are covered; 2 = Exists but only one condition is covered; 3 = Exists but only two conditions are covered; 5 = Exists and the three conditions are covered.	0.20	National or sub-national
1.1.2.4	Indicator	Infrastructure data disclosure standard requests open data	The national regulatory framework with the infrastructure data disclosure standard requests proactive disclosure of all infrastructure projects as open data.	Official websites on national legislation	0 = Formal disclosure of open data is not required, or there is no regulation providing the standard for the data publication; 3 = Formal disclosure of open data is specifically required but with partial coverage, because does apply to all public sector, or does not apply to the full data standard (that is the CoST IDS or OC4IDS), or does not apply to all infrastructure projects, or the definition of open data is incomplete; 5 = It requires the publication of all the data standard (that is the CoST IDS or OC4IDS) as open data in all public sector entities and all infrastructure projects.	0.20	National or sub-national
1.1.2.5	Indicator	Organisation responsible for the infrastructure data disclosure standard	Within regulatory framework 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 between and existing organization with the standard for data publication; 3 = There is an organisation related to the data disclosure standard 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
1.1.3	Sub-variable	National digital information tools	Evaluates the availability of national digital tools that facilitate transparency in public infrastructure.			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
1.1.3.1	Indicator	Centralised digital information platforms	There are centralised national or sub-national digital platforms (one or more) with complete information on public infrastructure projects, covering: • all public sector procuring entities • all projects' lifecycle (identification, preparation, implementation and completion) • without missing data fields in those included in the platform.	National websites	0 = There are none; 2 = There are, but with limitations on the three items; 3 = There are but with limitations on two items; 4 = There are but with limitations on one item; 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 offer the centralised digital information platforms is: • easily accessible for the average citizen • available in an orderly and structured manner • available to download in machine-readable format • updated.	National websites	0 = The are no centralised digital information platforms; 1 = There are but with limitations on the four items; 2 = There are but with limitations on three items; 3 = There are but with limitations on two items; 4 = There are but with limitations on one item; 5 = There are and do not have limitations on the four items.	0.40	National or sub-national
1.1.3.3	Indicator	Infrastructure projects geographic information system (GIS)	There is a web platform tailored to the needs of citizens that allows access to a GIS database of infrastructure projects with: • all public sector procuring entities • all infrastructure projects • key information on works under execution or recently executed • easily accessible for the average citizen • updated.	National websites	0 = There is no platform for geographical visualisation; 1 = There is but with limitations on the five items; 2 = There is but with limitations on four items; 3 = There is but with limitations on three or two items; 4 = There is but with limitations on one item; 5 = There is and do not have limitations on the five items.	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 "ne" 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 officials 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 regulatory framework	The official who completes the survey knows the national access-to-information regulation on public information and the main provisions on: • proactive publication • request of access • response periods • roles and responsibilities • sanctions over non-compliance • organisation that guarantees compliance.	Survey of public officials	0 = The official does not know the regulation; 1 = Only knows it exists without being able to quote its content; 2 = Can quote key elements on one or two provisions; 3 = Can quote key elements on three provisions; 4 = Can quote key elements on four or five provisions; 5 = Describes key elements on the six provisions.	0.20	Institutional
2.1.1.2	Indicator	Knowledge about transparency initiatives in the infrastructure sector	The official who completes the survey knows the existence of the transparency initiative in the infrastructure sector, including its features on: • What is CoST • the multisectoral group • the data disclosure • the assurance • the social accountability.	Survey of public officials	0 = The official does not know about CoST initiative; 1 = Only knows it exists, without being able to quote on its scope; 2 = Can quote key elements on one feature; 3 = Can quote key elements on two or three features; 4 = Can quote key elements on four features; 5 = Describes key elements on the five features.	0.20	Institutional
2.1.1.3	Indicator	Knowledge about the transparency data standard in the infrastructure sector	The official who completes the survey knows: • The existence of the standard • Its scope • The regulatory framework that contains it • the data required by the standard • the level of adoption of the entity.	Survey of public officials	0 = The official does not know the standard; 1 = Only knows the existence without being able to cite its scope; 3 = Mentions its scope and the regulatory framework that contains it; 4 = In addition to the above, mentions some of the data required by the standard; 5 = In addition to the above, mentions the level of adoption by the entity; or knows that there is no national or subnational data standard (if that is the case).	0.20	Institutional
2.1.1.4	Indicator	Knowledge about sanctions due to non-compliance on the access-to-public-information regulatory framework	The official who completes the survey knows the sanctions applied for non-compliance with the standards of access to public information and/or State contracts, including their: • processes • roles and responsibilities • penalties.	Survey of public officials	0 = The official does not know about sanctions; 2 = Knows there are sanctions but cannot quote key elements; 3 = Knows key elements of one feature; 4 = Knows key elements of two features; 5 = Knows key elements of the three features; or knows that the regulations do not include sanctions (if it were so).	0.20	Institutional
2.1.1.5	Indicator	Knowledge about different data categories	The official who completes the survey knows what constitutes and the differences between: • public data • personal data • sensitive data • confidential data • state secret data.	Survey of public officials	0 = The official does not know what the quoted type of data is; 1 = Knows the categories but cannot mention key elements; 2 = Knows key elements on one category; 3 = Knows key elements on two or three categories; 4 = Knows key elements on four categories; 5 = Knows key elements on the five categories.	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	

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
2.1.2.1	Indicator	Computer equipment	The entity has functional computer equipment for all personnel performing any type of administrative work.	Survey of public officials	0 = There is no access to functional computer equipment for any official at the entity; 2 = A portion lower than half of officials performing administrative work have access to functional computer equipment; 3 = About half of officials performing administrative work have access; 4 = A portion above half of officials performing administrative work have access; 5 = All officials performing administrative work have access to functional 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 • the personnel labor • with minimum or none downtimes.	Survey of public officials	0 = There is no access to the internet; 2 = There is access but there are limitations on the three items; 3 = There is access but there are limitations on two items; 4 = There is access but there are limitations on one item; 5 = The bandwidth is the 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 = Does have a website but depends on a third party for content management; 4 = Does have a website and manages its content internally but with limitations; 5 = Has total control internally and can update information in real time.	0.20	Institutional
2.1.2.4	Indicator	Information systems for infrastructure projects	The institution has a functional 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 digital; 3 = Records are mainly digital 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	Officials use available information 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
2.1.2.6	Indicator	Infrastructure open data publication	The entity publishes data of all its infrastructure projects complying with the following conditions: • structured • updated • processable by computer • free of payment • with a license allowing their free use • using the IDS or OC4IDS standards • on all the entity's projects.	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 or three conditions; 3 = Publishes data and complies with four or five conditions; 4 = Publishes data and complies with six conditions; 5 = Publishes infrastructure data complying with all seven 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 on its different projects (it can be on the web or other media such as print).	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
2.2	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	Procedure for the publication of information	There is a documented and formalized institutional procedure for the proactive disclosure of information of public infrastructure projects.	Survey of public officials	0 = There is no procedure, or the official does not know if any exists; 2 = There is a procedure, but it does not cover the projects` cycle (e.g. only covers procurement) and is not formalized 3 = There is a procedure but either covers the project's life cycle or it is formalized; 5 = The procedure covers the project's life cycle and is formalized.	0.20	Institutional
2.2.1.2	Indicator	Responsibilities for disclosure	The procedure for proactive disclosure refers to named officials (or roles) who are responsible for the various stages of the proactive disclosure of infrastructure projects.	Survey of public officials	0 = There is no procedure, or the procedure does not name anybody; 3 = The procedure names only some people; 5 = The procedure names all people per stage so there is always someone accountable.	0.20	Institutional
2.2.1.3	Indicator	Information official profile	There is a documented and formalized professional profile in the institution for an "information official", "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 official does not know if there is any; 3 = There is a profile, but is not formalized or it has unrelated responsibilities (includes other activities besides the ones related to public information access); 5 = There is a formal profile and all documented responsibilities are related to it.	0.20	Institutional
2.2.1.4	Indicator	Information official	There is a person nominated for the position of information official 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	Procedure for information requests	There is a documented and formalized institutional procedure to attend and track information requests on infrastructure projects that come from citizens or any other actor.	Survey of public officials	0 = There is no procedure or tracking mechanism on information requests, or the official does not know if one exists; 3 = There is a tracking mechanism but presents weaknesses that might result in a lack of response; 5 = There is an internal tracking 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 to publish infrastructure information	There is in the entity an internal policy or an internal officialization of a national or sub-national regulation, 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 policy or officialization of a regulation or standard, or the official does not know if any exists; 2 = There is one, but the entity does not fully comply with it; 3 = There is one and the entity fully complies in practice with it; 5 = There is one, it is based on the IDS or OC4IDS, and the entity fully complies in practice with it.	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
2.2.2.2	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 official 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
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 official does not recognise the existence of limitations; 3 = The official knows the limitations but does not describe them adequately; 5 = The official knows the limitations, describes them and they are documented, or the official 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 that includes 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 official 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	Documentation and reaction of non-compliance and sanctions	There is documentation at the entity acknowledging, reacting and following-up on non-compliance and sanctions imposed by controlling entities due to non-compliance with the access-to-information and/or state contracts regulatory framework.	Survey of public officials	0 = There is no documentation, or the official does not know if there is some; 2 = There is documentation but no reaction and follow-up (of the non-compliances and/or sanctions), or the follow-up cannot be described; 3 = There is documentation, reaction and follow-up (of the non-compliances and/or sanctions); 5 = The official can show from the specific documentation that they have not received sanctions from controlling entities at the present year.	0.15	Institutional
2.2.3	Sub-variable	Control over infrastructure projects disclosure	Assesses the awareness of how much information related to all the entities' infrastructure projects is been disclosed.			0.30	
2.2.3.1	Indicator	Level of disclosed infrastructure projects	Proportion of projects on which information is disclosed, complying with the national or sub-national 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 official 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

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
2.2.3.2	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 national or sub-national 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 official 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 "ne" 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	
3.1.1.1	Indicator	Citizen participation regulatory framework	There is a regulatory framework that requires formal citizen participation opportunities, which allows the procuring entity to listen and implement requests from the citizenship in 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 (instruments of citizens engagement) are permanently available or are available with a constant periodicity through a variety of inclusive channels (such as digital and non-digital), that may be used for public infrastructure projects.	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 official 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, or the opposite; 5 = The consultation applies to all infrastructure project stages and to all infrastructure projects.	0.25	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
3.1.1.4	Indicator	Citizen attention office	There is in the entity an office for citizen service (called the Transparency Office, Complaints Office, Information Office, etc.) that can see, online and offline, subjects related to infrastructure projects.	Survey of public officials	0 = There is no office, or the official is not sure if there is one; 3 = There is one but it has limitations to serve the citizens (e.g. only works offline); 5 = There is one and it serves citizens efficiently.	0.15	Institutional
3.1.1.5	Indicator	Online engagement form	There is an online form by which any person may request information, perform a consultation, or present a complaint or a recommendation 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	Promotion 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 official does not know if it has; 3 = The entity makes an effort but not in a consistent, permanent and/or 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	Actions from citizen complaints	There is a mechanism that documents citizens' complaints related to public infrastructure projects, generates a log, manages responses in an orderly fashion, and reports what actions were taken.	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 actions that were taken for specific infrastructure projects; 5 = It exists, works optimally and reports the actions that we take on specific infrastructure projects.	0.10	Institutional
3.1.2.2	Indicator	Access to information performance	Access-to-information requests and responses are categorized and recorded, and generate metrics of the entity's performance.	Survey of public officials	0 = The official cannot show how many requests were there, or there is no record of requests; 3 = The official can show how many requests and how many responses were there, but with no specific categorisation and/or performance analysis; 5 = The official 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, with the responses performance metrics.	0.10	Institutional
3.1.2.3	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

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
3.1.2.4	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
3.1.2.5	Indicator	Knowledge of citizens use	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 official does not know if there is any type of use from last year; 3 = The official knows and quotes one example from last year; 5 = The official knows and quotes more than one example from last year.	0.15	Institutional
3.1.2.6	Indicator	Evidence of joint projects	The entity has developed joint projects with other actors out of the entity as a result of the disclosed information on infrastructure projects.	Survey of public officials	0 = The official does not know if there was a joint project last year; 3 = The official knows and quotes one example from the last year; 5 = The official knows and quotes more than an example from last year.	0.15	Institutional
3.1.2.7	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 is no case, or the official does not know if there is any from last year; 3 = There is evidence in one project from last year; 5 = There is evidence of improvement in more than one project from last year.	0.20	Institutional
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 "np" times at the infrastructure project level of each of the "ne" evaluated procuring entities.	0.35 when calculating the national or sub-national ITI score 0.40 when calculating the procuring entity 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 and the same.	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 (e.g. transport, road transport).	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 through the project cycle.	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

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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
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 official responsible for the project in the procuring entity.	Project data on the web	0 = It is impossible to know who is responsible; 2 = Only names are available; 3 = Only names and positions are available; 5 = All names, positions and contact information are available.	0.10	Institutional by project
4.1.2.4	Indicator	Project budget and date of approval	The total required budget for the development of the project and its date of approval are available.	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	Construction contract procurement				0.30	
4.1.3.1	Indicator	Procuring entity and contact details	The entity in charge of contracting the construction 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 (e.g. international bidding, national bidding).	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 construction 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
4.1.3.4	Indicator	Contract type	The type of contract to be signed is clearly identified (e.g. design, construction, supervision).	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 construction 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 construction contract started is clearly identified.	Contract data on the web	0 = It is not identified; 5 = It is identified.	0.10	Institutional by project
4.1.3.8	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
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, services and outputs (including type and quantity or units) 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 is not comprehensive; 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 procurement process applied to award the contract is clearly identified (e.g. international bidding, national bidding).	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 (e.g. design, construction, supervision).	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
4.1.4.6	Indicator	Contract price	The final amount of the supervision contract is clearly stated.	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
4.1.4.7	Indicator	Contract start date	The date when 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, the professional (in case of companies) and contact information of the awarded company or individual to implement the supervision contract is clearly identified.	Contract data on the web	0 = It is not identified; 3 = Only the name is identified, without other details; 5 = The name, contact information and professional in charge are identified.	0.10	Institutional by project
4.1.4.10	Indicator	Contract scope of work	The description of the work, services and outputs 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	Construction contract implementation				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 = There is no price information, or price variations are not pointed out when there is evidence that they exist, or the price at the end of the contract is not available (to compare with the initial awarded price); 5 = The price variations are clearly pointed out if there is evidence that they exist, or no price variations were 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 = There is no price information, or the reasons for price changes are not available and price changes were observed, or the price paid at the end of the contract is not available (to compare with awarded price); 3 = There are reasons for price changes, but they are partial; 5 = The reasons for all changes are available, or there were no changes to the contracted price.	0.25	Institutional by project
4.1.5.3	Indicator	Variation to contract duration	Contract duration modifications are clearly indicated, if made.	Contract data on the web	0 = There is no duration information, or variations to the contract duration are not pointed out when there is evidence that they exist, or the duration at the end of the contract is not available (to compare with the awarded duration); 5 = Variations are clearly pointed out if there is evidence that they exist, or no variations to the contract duration were 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 = There is no duration information, or the reasons for changes in the duration are not available and term changes were observed, or the duration at the end of the contract is not available (to compare with the awarded duration); 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

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
4.1.5.5	Indicator	Variation to contract scope	Modifications to the project scope, if they exist, are clearly indicated.	Contract data on the web	0 = There is no scope information, or variations to the contract scope are not pointed out when there is evidence that they exist, or the scope/outputs at the end of the contract are not available (to compare with the awarded scope); 5 = Variations are clearly pointed out if there is evidence that they exist, or no variations to the contract scope were 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 = There is no scope information, or the reasons for changes in the project scope are not available and changes were observed, or the scope/outputs at the end of the contract are not available (to compare with the awarded scope); 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 implementation				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 = There is no price information, or price variations are not pointed out when there is evidence that they exist, or the price at the end of the contract is not available (to compare with the initial awarded price); 5 = The price variations are clearly pointed out if there is evidence that they exist, or no price variations were 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 = There is no price information, or reasons for price changes are not available and price changes were observed, or price paid at the end of the contract is not available (to compare with the awarded price); 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
4.1.6.3	Indicator	Variation to contract duration	Contract duration modifications are clearly pointed out, if made.	Contract data on the web	0 = There is no duration information, or variations to the contract duration are not pointed out when there is evidence that they exist, or the duration at the end of the contract is not available (to compare with the awarded duration); 5 = Variations are clearly pointed out if there is evidence that they exist, or no variations to the contract duration were 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 = There is no duration information, or the reasons for changes in the duration are not available and duration changes were observed, or the duration at the end of the contract is not available (to compare with the awarded duration); 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

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
4.1.6.5	Indicator	Variation to contract scope	Modifications to the project scope, if they exist, are clearly pointed out.	Contract data on the web	0 = There is no scope information, or variations to the contract scope are not pointed out when there is evidence that they exist, or the scope/outputs at the end of the contract are not available (to compare with the awarded scope); 5 = Variations are clearly pointed out if there is evidence that they exist, or no variations to the contract scope were 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 = There is no scope information, or the reasons for changes in the project scope are not available and they were observed, or the scope/outputs at the end of the contract are not available (to compare with the awarded scope); 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 a significant contribution to the evaluation of the CoST Infrastructure Transparency Index (ITI). The ITI is designed to assess the knowledge, practices, digital capabilities, spaces for citizen participation and uses of public information. The results of the ITI evaluation will help to clarify where and how transparency in public infrastructure can be improved, with the ultimate goal of working together to increase the social and economic value of public resources.

Responses to the questions of this survey must be truthful, objective and concise, providing 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 questions require a brief description to elaborate and validate the answer for subsequent analysis.

The scope of the information referred to in this questionnaire is limited to what is required to be published under applicable national laws and regulations.

Can you please confirm that the information you will provide in this survey accurately characterises the entity and your knowledge? ☐

PLEASE COMPLETE THE FOLLOWING INFORMATION

Procuring entity name: _____

Name of the surveyed person: _____

Position of the surveyed person: _____

Telephone of the surveyed person: _____

Email of the surveyed person: _____

Name of the evaluator: _____

Place and date: _____

Variable 2.1: Institutional capacities

SUB-VARIABLE 2.1.1: BASIC KNOWLEDGE

The 5 questions of this sub-variable must be answered with the knowledge that you possess and in your own words. Please do not search or copy texts from other sources to really and honestly understand what the current situation is.

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

( ) Yes
( ) No

1.1 If you answered yes, can you briefly describe the following points accordingly: i) proactive publication, ii) requests for public information, iii) response times, iv) roles and responsibilities of key stakeholders, v) sanctions for non-compliance, and vi) organization that ensures compliance?

Scoring for evaluation team:
0 - The person does not know the regulatory framework
1 - Only knows that it exists without being able to cite its content
2 - Mentions key elements in one or two provisions
3 - Mentions key elements in three provisions
4 - Mentions key elements in four or five provisions
5 - Describes the key elements of the six provisions

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

( ) Yes
( ) No

2.1 If you answered yes, can you briefly describe the following points accordingly: i) what is CoST, ii) the multi-stakeholder group, iii) disclosure, iv) assurance, and v) social audit?

Scoring for evaluation team:
0 - The person does not know about the CoST initiative
1 - Only knows that it exists, without being able to quote about its scope
2 - Mentions key elements in one feature
3 - Mentions key elements in two or three features
4 - Mentions key elements in four features
5 - Describes the key elements in the five features

3. Do you know the CoST Infrastructure Data Standard, also known as IDS or OC4IDS (according to its English name)?

( ) Yes
( ) No

3.1 If you answered yes, can you briefly describe: i) what it is? ii) which regulatory framework contains it? ii) what type of data is required by the standard? iv) what is the level of adoption of your entity?

Scoring for evaluation team:
0 - The person does not know it
1 - Knows its existence without being able to cite its scope
3 - Mentions its scope and the regulatory framework that contains it
4 - In addition to the above, mentions some of the data required by the standard
5 - In addition to the above, mentions the level of adoption of his/her entity; or knows that there is no national or subnational data standard (if so)

4. Do you know the sanctions applied for non-compliance with the information disclosure obligations included in the access to public information and government contracts regulatory frameworks?
( ) Yes
( ) No

4.1 If you answered yes, can you briefly describe: i) the processes for their application, ii) the roles and responsibilities of the actors involved, iii) the penalties that apply?

Scoring for evaluation team:
0 - The person does not know of sanctions
2 - Knows that there are sanctions but cannot cite key elements
3 - Knows key elements of one characteristic
4 - Knows key elements of two characteristics
5 - Knows key elements of the three characteristics; or knows that the regulations do not contemplate sanctions (if so)

5. Do you know the differences between: public data, personal data, sensitive data, confidential data and State secret data?
( ) Yes
( ) No

5.1 In yes, can you briefly describe each one of them?

Scoring for evaluation team:
0 - The person does not know about the data categories
1 - Knows the categories but cannot mention key features
2 - Knows key characteristics of one category
3 - Knows key characteristics of two or three categories
4 - Knows key characteristics of four categories
5 - Knows key characteristics of the five categories

SUB-VARIABLE 2.1.2: DIGITAL CAPACITIES

The 7 questions of this sub-variable are not technical, but may require support (if considered necessary) from other units, for example the information technology department, to offer descriptions or evidence.

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

( ) There is no access to computer equipment for any official at the procuring entity
( ) Less than half of the officials who perform administrative work have functional equipment
( ) Nearly half of the officials who perform administrative work have functional equipment
( ) More than half of the officials who perform administrative work have functional equipment
( ) All officials who perform administrative work have functional computer equipment

Description/evidence:

Scoring for evaluation team:
0 - There is no access to functional computer equipment for any employee of the entity
2 - Less than half of the officials who perform administrative work have functional equipment
3 - Nearly half of the officials who perform administrative work have functional equipment
4 - More than half of the officials who perform administrative work have functional equipment
5 - All officials who perform administrative work have functional computer equipment

2. Does the entity have an Internet connection that offers optimal bandwidth for: i) the operation of its information systems; ii) the tasks carried out by all the staff, iii) and has minimal or zero downtime?

( ) There is no internet access
( ) There is internet access but it has limitations in the three points
( ) There is access but it has limitations in two points
( ) There is access but it has limitations in one point
( ) The bandwidth is optimal, with no limitations and no downtime

Description/evidence:

Scoring for evaluation team:
0 - No internet access
2 - There is access but it has limitations in the three points
3 - There is access but it has limitations in two points
4 - There is access but it has limitations at one point
5 - The bandwidth is optimal for the activity of the entity without downtime

3. Does the entity have its own website and at least some officials are able to manage its content and can apply changes in real time?

( ) The entity does not have a website
( ) There is one, but the entity depends on third parties to apply changes
( ) There is one and the entity can apply changes internally, but there are limitations
( ) There is one and the entity has full control in real time

Description/evidence:

Scoring for evaluation team:
0 - The entity does not have a website
2 - It has a website but depends on a third party for content management
4 - It has a website and internally manages its content but with limitations
5 - It has full internal control and can update information 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 officials 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

If you answered yes, does the information of all infrastructure projects meet the following conditions: i) structured, ii) updated, iii) processable by computer, iv) free of charge, v) with a license that allows its free use, vi) based on the IDS or OC4IDS standards, and vii) for all the entity's projects?

( ) The entity does not publish infrastructure data
( ) The entity publishes data but only meets one condition
( ) Publishes data and meets two or three conditions
( ) Publishes data and meets four or five conditions
( ) Publishes data and meets six conditions
( ) Publishes data for all its projects and meet the seven conditions

Description/evidence:

Scoring for evaluation team:
0 - The entity does not publish infrastructure data
1 - The entity publishes data but only meets one condition
2 - Publish data and meet two or three conditions
3 - Publish data and meet four or five conditions
4 - Publish data and meet six conditions
5 - Publish infrastructure data that meets the seven conditions

7. Does the entity publish visualizations on its website or other places (for example physical) that can graphically facilitate the presentation and interpretation, by citizens, of information on infrastructure projects?
( ) The entity does not publish visualizations on this topic
( ) Publishes but not regularly
( ) Publishes visualizations regularly on its different projects (it can be on the web or in other media, such as printed)

Description/evidence:

Scoring for evaluation team:
0 - The entity does not publish visualizations on this topic
3 - Publishes but not regularly
5 - Publishes visualizations regularly on its different projects (it can be on the web or in other media, such as printed)

Variable 2.2: Institutional processes

SUB-VARIABLE 2.2.1: PROCEDURES TO DISCLOSE INFORMATION
The 5 questions of this sub-variable have to be answered according to the entity's formalized documentation, based on the active and reactive publication of information, and on how the procedures work in practice.

1. Is there an internal documented procedure for the proactive disclosure of information on public infrastructure projects?
( ) There is no procedure, or you do not know if one exists
( ) There is a procedure, but it is not formalized and it does not cover the life cycle of the projects (e.g. it only covers contracting and not previous or subsequent stages)
( ) There is a procedure, but it only meets one of these two conditions: either it is formalized, or it covers the life cycle of the project (not both)
( ) The procedure is formalized and covers the life cycle of the project?

Description/evidence:

Scoring for evaluation team:
0 - There is no procedure, or the official does not know if it exists
2 - There is a procedure, but it is not formalized and it does not cover the project cycle (e.g., it only covers contracting)
3 - There is a procedure, but it is either formalized, or it covers the life cycle of the project (not both)
5 - The procedure is formalized and covers the life cycle of the project.

2. Does the entity's procedure for proactive information disclosure have the names (or roles) of the officials who are responsible for the different stages of this procedure?

( ) There is no procedure, or the procedure does not name anyone
( ) The procedure names only a few people/roles, so there are small gaps
( ) The procedure names all persons/roles per stage so that there is always someone responsible

Description/evidence:

Scoring for evaluation team:
0 - There is no procedure, or the procedure does not name anyone
3 - The procedure names only some people/roles
5 - The procedure names all the people/roles per stage so that there is always someone responsible

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

( ) There is no documented profile or you do not know if one exists
( ) There is a profile, but it is not formalized, or in practice it includes other responsibilities (other activities outside of those related to access to public information)
( ) There is a formal profile and all the responsibilities performed in practice are related to it

Description/evidence:

Scoring for evaluation team:
0 - There is no documented profile or the official does not know if one exists
3 - There is a profile, but it is not formalized, or in practice it includes other responsibilities
5 - There is a formal profile and all the responsibilities in practice are related to it

4. Is there a person assigned for the position of information official 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 formalized internal procedure to receive and follow requests for information on infrastructure projects that come from citizens or any other actor?

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

Description/evidence:

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

SUB-VARIABLE 2.2.2: ENABLERS AND BARRIERS TO DISCLOSE INFORMATION

The 6 questions of this sub-variable are answered according to the entity's documentation and according to how the different consulted aspects work in practice.

1. Does the entity have an internal policy or an internal formalization of a national or subnational regulation, issued by the authorities of the entity, for the publication of information that contains, among other data, those related to infrastructure projects?

( ) There is no internal policy nor is there a formalization of a national regulation, or, you do not know if there is any similar instrument
( ) There is one, but the entity does not fully comply with it in practice
( ) There is one and the entity fully complies with it in practice
( ) There is one, the entity fully complies with it in practice, and it is based on the IDS or OC4IDS infrastructure data standard

Description/evidence:

Scoring for evaluation team:
0 - There is no internal policy or formalization of a national regulation or standard, or the official does not know if it exists
2 - There is one, but the entity does not fully comply with it in practice
3 - There is one and the entity fully complies with it in practice
5 - There is one, the entity fully complies with it in practice, and it is based on the IDS or OC4IDS

2. Is there an internal training program or similar, 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 you answered yes, can you describe them and/or provide documentary evidence?
If you answered no, can you describe why and/or provide evidence?

Scoring for evaluation team:
0 - The official does not recognize the existence of limitations; o cannot provide evidence if no limitations are identified
3 - The official acknowledges the limitations, but does not adequately describe them
5 - The official acknowledges the limitations, describes them and/or provides documentation of them; or 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 hindered because of internal bureaucracy, as for example, by obtaining 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 and/or state contracts regulatory framework?

( ) There is no documentation, or you do not know if there is
( ) There is documentation of non-compliance but there is no documentation of the reaction or follow-up by the entity
( ) There is documentation of non-compliance, together with documentation of the reaction and follow-up by the entity
( ) You can demonstrate that the entity has not received sanctions from the control entities in the last year

Description/evidence:

_____

_____

Scoring for evaluation team:
0 - There is no documentation or the official does not know if there is any
2 - There is documentation of non-compliance, but no documentation of the reaction or follow-up
3 - There is documentation of non-compliance, together with the reaction and follow-up
5 - It can be proven that the entity has not received sanctions from the control entities

SUB-VARIABLE 2.2.3: CONTROL OVER INFRASTRUCTURE PROJECTS DISCLOSURE

The 4 questions of this sub-variable are answered according to the amount of information on infrastructure projects that is proactively published. If you do not know or cannot identify the exact numbers, you can answer with approximate numbers.

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 official 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 official 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

The 6 questions of this sub-variable are answered according to the entity's documentation and according to how the different consulted aspects work in practice.

1. Is there a regulatory framework that requires formal spaces for citizen participation that allow the entity to listen and implement citizen requests in public infrastructure projects?

( ) There are no laws, regulations or policies that can serve as a basis for citizen participation
( ) There is only a national or subnational regulatory framework for participation, without an internal regulatory framework (generated by the entity)

( ) There are both, external (national) and internal (generated by the entity) regulatory frameworks
( ) There are external and internal regulatory frameworks, as well as documented procedures in the entity that are efficient for citizen participation

Description/evidence:

Scoring for evaluation team:
0 - There are no laws, regulations or policies that can serve as a basis for citizen participation
2 - There is only a national or subnational regulatory framework for participation, without an 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 citizen participation

2. Are the spaces for citizen participation (and instruments) permanently available or are they available with constant periodicity through a variety of inclusive channels (such as digital and non-digital), which can be used for public infrastructure projects?

( ) There are no formal opportunities for participation
( ) There are opportunities for participation, but they are not permanent and are not available through a variety of inclusive channels
( ) Participation opportunities are permanent or are available through a variety of inclusive channels (only fulfilling one of the two conditions)
( ) Participation opportunities are permanent and available through different inclusive participation channels

Description/evidence:

Scoring for evaluation team:
0 - No formal opportunities for participation
2 - There are opportunities for participation, but they are not permanent and are not available through a variety of inclusive channels
3 - Opportunities for participation are permanent or are available through a variety of inclusive channels (only fulfilling one of the two conditions)
5 - Participation opportunities are permanent and available through different inclusive participation channels

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

( ) The entity does not carry out these consultation processes in infrastructure projects, or you are not sure if they are carried out
( ) The entity consults on infrastructure projects, but does not do it in all project stages, nor all its infrastructure projects
( ) The entity consults on infrastructure projects at all project stages, but it does not do it in all infrastructure projects, or the opposite (in all projects but not in all stages)
( ) The citizen consultation is conducted in all stages of the infrastructure projects and to all infrastructure projects

Description/evidence:

Scoring for evaluation team:
0 - The entity does not carry out these consultation processes in infrastructure projects, or the official is not sure if they are carried out
2 - The entity consults on infrastructure projects, but it is not for all project stages nor all infrastructure projects
3 - The entity consults on infrastructure projects at all project stages, but it does not apply to all infrastructure projects, or the opposite
5 - The citizen consultation applies to all project stages and to all infrastructure projects

4. Is there in the entity an office for citizen service (called the Transparency Office, Complaints Office, Information Office, etc.) that can see, online and offline, subjects related to 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 (e.g. it only works offline)
( ) 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 engagement form through which any person may request information, ask questions, present a complaint or a recommendation 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 any 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 citizens to know about the participation spaces and the 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 citizens to know about the participation spaces and the infrastructure projects information

SUB-VARIABLE 3.1.2: USE OF INFORMATION BY CITIZENS

The 7 questions of this sub-variable are answered based on capacities for citizen participation, and specific valuable cases of participation or co-creation. If there is documentary evidence of the cases, for example the press, it is important to attach it. Otherwise, the cases must be described for evaluation.

1. Is there a mechanism that documents citizens' complaints referring to public infrastructure projects, which generates a log, manages responses in an orderly fashion, and informs on what actions were taken?

( ) There is no mechanism that centralizes and manages citizen complaints, or there is no evidence of its existence
( ) There is one, but it does not work optimally
( ) There is one, it works properly, but it does not generate a report with the actions taken in specific infrastructure projects
( ) There is one, works optimally, and reports the actions that were carried out in specific infrastructure projects

Description/evidence:

Scoring for evaluation team:
0 - There is no mechanism that centralizes and manages citizen 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 properly, but it does not generate a report with the actions that were taken in specific infrastructure projects
5 - There is one, works optimally, and reports the actions that were carried out in specific infrastructure projects

2. Are access to information requests and responses categorized and recorded, and do they generate performance metrics for the entity?

( ) You do not know how many requests for access to information were there in the last year, or there is no record of the number of requests

( ) You know how many requests the entity received in the last year, and how many responses were there, but without specific categorization and/or performance metrics

( ) You know how many of the total responses were positive (that is, containing the information requested by citizens), how many were sent to other agencies (the correct one to resolve the request), how many were on the same type of information (several people requesting the same data), among other categories; and for all categories there are response performance metrics

Description/evidence:

Scoring for evaluation team:

0 - The official cannot show how many requests there were in the last year or there is no record of requests

3 - The official can show how many requests and how many responses were there, but without specific categorization and/or performance metrics

5 - The official can show how many of the total responses were positive, how many were referred to other agencies, how many requests were for the same type of information, among other categories; and for all of them it has response performance metrics

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

( ) There is no capacity to answer within the period established by the regulatory framework, 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 the framework

( ) Most cases are responded to within the period established by the framework

( ) 100% of cases are responded to within the period established by the framework

Description/evidence:

Scoring for evaluation team:

0 - There is no capacity to answer within the period established by the regulatory framework, 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 the framework

4 - Most cases are responded to within the period established by the framework

5 - 100% of cases are responded to within the period established by the framework

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

( ) Feedback is not made public, or you do not know if there is internal use of citizen participation, or there is no citizen participation

( ) There is an internal use of citizen participation that can be referred to, but it is not well documented

( ) Internal use is well documented, but not made public

( ) The internal documented use of citizen participation in infrastructure projects is made public

Description/evidence:

Scoring for evaluation team:
0 - The feedback is not made public, or the official does not know if there is internal use of citizen participation, or there is no citizen participation
2 - There is an internal use of citizen participation that can be referred to, but it is not well documented
3 - Internal use is well documented, but not made public
5 - The internal documented use of citizen participation in infrastructure projects is made public

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

( ) You do not know if there was any type of use last year
( ) You know and can describe one example from last year
( ) You know and can describe more than one example from last year

Description/evidence:

Scoring for evaluation team:
0 - The official does not know if there was any type of use last year
3 - The official can describe one example from last year
5 - The official can describe more than one example from last year

6. Do you know if the entity has developed projects together with other actors outside the entity (as a co-creation project with a civil society organization or academia for example), to generate some kind of value from the public information on infrastructure projects?

( ) You do not know if there was a co-creation project last year
( ) You know and can describe one example from last year
( ) You know and can describe more than one example from last year

Description/evidence:

Scoring for evaluation team:
0 - The official does not know if there was any type of co-creation project last year
3 - The official can describe one example from last year
5 - The official can describe more than one example from last year

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

( ) There are no cases or you do not know if there was any from last year
( ) There is evidence of improvements in one project from last year
( ) There is evidence of improvements in more than one project from last year

Description/evidence:

Scoring for evaluation team:
0 - There is no case, or the official does not know if there was one from last year
3 - There is evidence of improvements in one project from last year
5 - There is evidence of improvement in more than one project from last year

Annex 3. Procuring entities selection method

It is recommended that a stratified methodology be used to select the procuring entities to be included in the sample for evaluation. The methodology and criteria used in an Infrastructure Transparency Index (ITI) evaluation must be published with the reports to ensure transparency and consistency of the process.

A simplified example of this methodology from Malawi is shown below.

Entity	Cumulative Expenditure (MK10)	Sector
Ministry of Information and Digitization	24.999.203.605	Communications
Ministry of Local Government, Unity and Culture	30.415.100.121	Culture, sports and recreation
Ministry of Agriculture	66.238.924.201	Economy
Greenbelt Authority	24.902.958.139	Economy
Ministry of Education	1.581.458.338.259	Education
Malawi Institute of Management (MIM)	200.017.351.100	Education
Malawi University of Business and Applied Sciences (MUBAS)	85.497.456.995	Education
Lilongwe University of Agriculture and Natural Resources	48.037.963.744	Education
Malawi University of Science and Technology (MUST)	25.135.987.485	Education
Electricity Generation Company (Malawi) Limited (EGENCO)	2.392.189.431.874	Energy
Electricity Supply Corporation of Malawi (ESCOM)	458.620.707.041	Energy
Directorate of Buildings (DoB)	1.169.400.810.569	Governance
Ministry of Defence	7.940.000.000	Governance
National Local Government Finance Committee	3.140.734.936	Governance
Ministry of Homeland Security	2.893.727.232	Governance
Ministry of Health	261.208.287.318	Health
Ministry of Lands	64.093.713.477	Housing
Phalombe District Council	2.140.548.005.903	Local government
Blantyre City Council	32.234.380.711	Local government
Mzuzu City Council	27.139.918.896	Local government
Lilongwe City Council	16.463.060.767	Local government
ZOMBA CITY COUNCIL	10.878.558.350	Local government
Roads Authority	784.467.112.161	Transport
AIRPORT DEVELOPMENT LIMITED (ADL)	5.895.000.000	Transport
Blantyre Water Board (BWB)	517.930.335.000	Water and waste
Shire Valley Transformation Programme (SVTP-1) Malawi	507.346.540.519	Water and waste
Lilongwe Water Board	390.701.407.986	Water and waste
Central Region Water Board	351.017.615.013	Water and waste
Northern Region Water Board (NRWB)	220.483.473.960	Water and waste
Ministry of Water and Sanitation	119.415.199.452	Water and waste

[10] MK or MWK corresponds to the Malawian Kwacha, the currency used in Malawi.

The table above shows the 30 procuring entities selected for the ITI implementation. The following process was used to define this sample:

1. A comprehensive list of the procuring entities was compiled by combining data from two different official sources, as there was no single source with all the required data. In addition, CoST Malawi had to make an information request to a government ministry because of the limited data available to the public. The data collected mapped all entities that completed infrastructure projects in a given time period, along with the expenditure for each infrastructure project.

2. A cumulative amount of infrastructure expenditure was defined for each entity by adding the expenditure of each infrastructure project under that entity.

3. Each entity in the list was classified according to the formal sector categories used in the country (e.g. energy, education, governance, transport, etc.). The result of these three first actions was a list of over 100 procuring entities with their cumulative budget and sector classification.

4. The procuring entities were organised according to their sectors to determine how many of them were in each sector (e.g. energy had 4 procuring entities, education had 15 procuring entities, governance had 15 procuring entities, transport had 5 procuring entities, etc.).

5. For the ITI sample size of 30 procuring entities, a quota was defined for each sector, based on the total budget of the procuring entities and the number of procuring entities in each sector (e.g. the sample quota for the energy sector was 2 procuring entities, the sample quota for education was 5 procuring entities, the sample quota for governance was 4 procuring entities, the quota for transport was 2 procuring entities, etc.).

6. Each sector quota was populated with the entities with the highest infrastructure spending in each sector. The result was the 2 entities with the highest expenditure in the energy sector, the 5 procuring entities with the highest expenditure in the governance sector, and so on.

7. The final 30 entities to be included in the ITI were defined following the above steps. The final list is shown in the table above.

Annex 4. Guidance for the evaluation team training

The following guidelines are a recommendation on how to conduct training of an Infrastructure Transparency Index (ITI) evaluation team, based on the experience of Guatemala and Honduras pilots. A minimum of three days of training should be provided. The following is based on these three days, but can easily be expanded to include further details.

Pre-training considerations

- The evaluators were selected prior to the training and had sufficient time to make arrangements related for to their short but full-time commitment during the evaluation.
- The selected evaluators already had experience of the CoST principles and approach. They also had experience of using of central government portals containing the data and information required for the evaluation, such as those related to tendering, transparency, budgeting, financial management and investment.
- Training materials were prepared prior to the training. This included PowerPoint presentations, handouts and worksheets.

DAY 1

- Welcome and introduction.
- Introduction of the evaluation team.
- Concepts, relevance and objectives.
- Development process.
- Principles, standards and guiding processes.
- Structure and introduction to the dimensions.
- Rules for scoring each dimension.
- Data processing and scoring system.
- In-depth study of dimension 1:
  - variables, sub-variables and indicators
  - indicators and their scoring scales, using 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, using 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, using 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, has been selected beforehand for the exercise.
- Discussion and response definition for complex scenarios during data collection through the survey, either by interview or self-assessment.
- Definition of the roles of the evaluation team (first, second and third evaluators).
- Review of the procuring entity sample.
- Review of the procuring entities' infrastructure projects to be evaluated.
- Protocol for data collection.
- Logistics for data collection and protocol for incidents.

Questions and incidents may arise during the data collection. The evaluation team, together with CoST staff, will need to discuss these to find the best solution and a standard process to follow whenever is appropriate.

After the data collection, the evaluation team should jointly evaluate the process to make improvements for the next ITI evaluation and document the experience 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. Guidance on techniques for an ITI implementation

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

1 Preparation stage

1.1 EVALUATION TEAM

1.1.1 Profile of the evaluator: the people to be selected for the data collection process should be experienced in the CoST 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 will need to have experience of using the government information platforms that contain the information required for the evaluation, such as procurement, transparency, financial, investment, regulatory frameworks and others; and should have experience of 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 tool, with a clear understanding of all its indicators and the sources from which the data is collected. The third evaluator has a high quality assurance responsibility as he/she is responsible for resolving any disagreements between the other evaluators.

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

1.2 TIME CONCERNS

1.2.1 In order to plan properly it is important to consider the different implementation phases and their time requirements, including as follows:

- 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 in the overall project implementation period.

- The evaluation team should be appointed early enough in the process to allow them to prepare for preparations related to their short but full-time commitment during the evaluation. Training days and start of the evaluation need to be scheduled and communicated to the evaluation team with sufficient notice to allow them to prepare.

- It is recommended that a minimum of three days be set aside for training the evaluation team. Recommendations for training can be found in Annex 4.

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

- The data can then be processed in less than a week to produce the reports and the database for publication. A general consideration of 3 weeks should be sufficient 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 must be sufficient to allow the evaluation team to understand the tool and the evaluation indicators, to practise real cases using the tool and to discuss different scenarios and complexities that may araise in the evaluation process. Even for people familiar with the topics, three days would be the minimum time investment. Recommendations on how to structure the training are provided in Annex 4.

1.4 SELECTION OF PROCURING ENTITIES

1.4.1 Criteria: In addition to the recommended criteria (type of procuring entity, infrastructure budget and social and economic impact of the projects), other things may be considered when selecting specific procuring entities, such as a history of corruption, social complaints and greater representation from certain categories of the general public sector. In all cases, the criteria must be the same for all procuring entities and must be published in the final results reports.

1.4.2 Location: if the evaluation requires interviews, it is necessary to consider the budget and time required to reach to procuring entities that may be far from the base of the evaluation team. Such investment is necessary because the possibility of a procuring entity being selected for evaluation should not be unduly constrained by its location.

1.5 SELECTION OF PROJECTS

1.5.1 Access to information on the procuring entities' infrastructure projects: in order to select the projects to be included in the evaluation, it is of essential to have information on all the infrastructure projects for which a procuring entity is responsible. This information may be held by a central government agency or by each procuring entity. If it is not possible to obtain the full list of projects with information from the procuring entities, then a effort should be made to compile as complete a list of projects as possible from the procuring entities prior to the evaluation in order to ensure objective project selection.

1.5.2 Avoid bias in the selection criteria: it is important to be wary of restricting the selection of projects to those whose implementation and supervision contracts, for example, are published in the electronic procurement system (if one exists). The use of this type of criterion could force the selection of only relatively transparent projects, which would significantly distort the final results. In contrast, once the list of projects has been identified, two completed projects can be selected from the list (one on the basis of relevance and the other at random), without checking whether they have published information. The projects should be selected and later evaluated on the basis of the information available, regardless of whether there is little or a lot of data. This means that the amount of information available should not influence the selection of projects.

1.5.3 Completed projects: it is a prerequisite for the ITI that the projects considered for evaluation must be at the completed stage. This allows them to be fully evaluated across the different ITI indicators. If a project is not completed, the information required for its evaluation will not be available and this will have a significant impact on the final results. Therefore, only completed infrastructure projects can be evaluated. If the ITI evaluations are conducted annually, this condition can be fine-tuned, for example, by including only projects that were completed in the previous year.

2 Evaluation and processing stages

2.1 COORDINATION WITH PROCURING ENTITIES

2.1.1 Contact information: as it is recognised that approximately half of the information needed to carry out an evaluation will have to be collected from the procuring entity's Access to Information Unit (or equivalent as defined in the applicable national legislation), having the contact details of officials in these units can speed up and facilitate the coordination and collection of data.

2.1.2 Preparation: during the preparation and before the evaluation, it is necessary to send a formal letter to all procuring entities, addressed to the Access to Information Unit, informing them about the ITI project and the information needs. If interviews are to be conducted, it will be necessary to schedule all meetings prior to the start of the evaluation to ensure that all interviews are conducted during the evaluation period.

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

2.2 BUY-IN FROM PROCURING ENTITIES

2.2.1 Build a collaborative relationship with procuring entities: It is recognised that in order to conduct an ITI evaluation, there is an important need for the cooperation of procuring entities. They will be required to respond to the survey (either by interview or by self-assessment) and to provide justification and evidence for all survey questions. The procuring entity's Access to Information Officer (or someone in a similar role) will need to dedicate time within a specified timeframe to support the ITI. The following are some recommendations for obtaining buy-in from procuring entities, and in particular from the Access to Information Officer.

- Identify the right person: there may be cases where the procuring entity's Access to Information Officer is not clearly defined. In such situations, it will be necessary to call the procuring entity and ask who is performing this role internally. Once this person has been identified, it will be necessary to obtain their contact details.

- Assign a specific evaluator to each procuring entity: to build a channel of communication and trust in the ITI process, a specific evaluator should manage the relationship with each procuring entity. This will require the procuring entities to be distributed among the evaluation team so that each evaluator takes responsibility for data collection with that specific procuring entity.

- Hold a one-to-one meeting with the Access to Information Officer: as part of the meeting it is necessary to introduce the ITI, its evaluation process, its findings and, in particular, its benefits to the procuring entity. It is also important to confirm the government's mandate to cooperate with the ITI process and to answer any questions that may limit the procuring entity's response. Some of the key benefits that can be mentioned during the interview are:
  - visibility of the FOI unit's day-to-day role and needs
  - institutional awareness of strengths and weaknesses related to transparency and management of public infrastructure
  - tailored guidance to the procuring entity on how to build capacities to strengthen transparency and management of infrastructure projects
  - support over 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 level, to raise standards of transparency and accountability.

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

2.2.2 Use the legal framework for access to public information: This approach can be used to complement the collaborative relationship approach, or as an alternative to it if the procuring entities do not wish to collaborate with the ITI. The access to information law or regulation on will allow the evaluation team to formally request the data needed for the ITI, using the right to public information. The national or sub-national context, as well as the response of the procuring entities, should be evaluated by the evaluation team in order to define the best combination of actions to obtain the support of the procuring entities.

2.3 INTERVIEWS

2.3.1 Flexibility in the choice of data collection method: an evaluation team may decide that an interview is the appropriate method in its locality rather than a self-assessment. This may be due, for example, to the mistrust engendered by corruption, the high number of government officials sanctioned on related issues, or the high likelihood of reluctance on the part of government officials. In contrast, another evaluation team in a different location may decide that a self-assessment rather than an interview will give them better results because they can reach a larger number of contracting entities and because government officials in the contracting entities are likely to cooperate in completing the self-assessment in the time available. For this reason, this ITI manual does not recommend one option over the other. Rather, it invites the evaluation team to analyse the advantages and disadvantages of the two methods in the light of its own circumstances in order to select the most appropriate one.

2.3.2 Approach to government officials: the approach to the government officials in 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 officials 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 goal-oriented attitude is key to establishing reliable communication with these officials and would increase the chances of obtaining information that reveals the challenges faced by the procuring entities and the overall contribution generated by the ITI.

2.4 SELF-ASSESSMENT

2.4.1 Data collection protocol: it can be expected that getting a government official in each selected procuring entity to formally respond to the self-assessment over a period of time will be a major challenge. For this reason, any evaluation team choosing this method of data collection will need to design a protocol with features that best suit 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 officials: as mentioned in the interview method, the approach to contacting government officials in the Access to Information Units for self-assessment must also be positive, formal, standardised and refer to the Access to Information Act.

2.5 Evaluation of websites

2.5.1 Experience: it is essential that the evaluation team has experience of using websites where the data or information for evaluation is available. Sometimes it is published but not easy to find. Therefore, in order to carry out the evaluation, the members of the evaluation team need to know where it is. Although it is public information, it is sometimes technical and only available in complex documents. The evaluation team needs to be experienced in finding such information.

2.5.2 Balance on the depth of search: a balance needs to be agreed with the evaluation team before the evaluation is carried out, as it is not feasible or realistic to read an entire document of several hundred pages to find a specific data point. One recommendation in this regard is that only recognised and key documents should be opened and searched, not all of them, to determine whether data points are available.

2.5.3 Private access: at the beginning of the evaluation, the question may arise as to whether private access to some government websites is necessary. The appropriate response depends on the purpose of this access. If the purpose is to evaluate whether the procuring entity has published data on the infrastructure projects, then no private access is justified, as 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 REPORT AND PRESENTATION

3.1.1 Formal results presentation: it will be an important contribution to the national or local context if the results of the ITI are shared with everyone. It will always be necessary to publish the final results report and make it and the results database available for download. In addition, a regular multi-stakeholder event can be formally established each time the results and key findings are ready for publication, where the procuring entities that have won the top places in the ranking can also be recognised and celebrated for their good practice.

3.1.2 Press: there should be a press strategy for publicising the ITI results. A press release should be issued on the day the results are published, and further press releases on specific aspects of the ITI results should be issued over 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 PUBLICATION OF THE RESULTS

3.2.1 Responding to questions: once the results are published, it is normal for the procuring entities and some other stakeholders to have questions about the results and what the ITI is evaluating. They will want to understand the indicators about which they have doubts. It is therefore necessary to be prepared to respond to these questions and possibly to assist in meetings.

3.2.2 Training for procuring entities: procuring entities may request training to improve their performance on the ITI. This is very positive and will require efforts to present, describe and run workshops on the ITI. These events will require the CoST programme 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 in supporting stakeholders and procuring entities: all efforts to train stakeholders and procuring entities on the ITI must remain impartial and objective. As the CoST programme secretariats lead the evaluations, they must avoid any situation that could lead to bias or the perception of bias in their evaluations. It is essential to protect the credibility of the ITI by ensuring impartiality.

Annex 6. Glossary of key terms

For ease of reference, the meanings of some of the terms used in this manual are summarised below:

Edition. Each report generated by using the ITI tool in a particular context is referred to as an edition. Over time, comparisons can then be made between the datasets from different editions.

Infrastructure Transparency Index (ITI). Broadly speaking, this refers to metrics related to the right or freedom to access to public information in the infrastructure sector. More specifically, it is a ranking of objectively evaluated levels of infrastructure transparency. Depending on the context, it may rank individual procuring entities, or sets of procuring entities, in each case including the environment or jurisdiction in which they operate.

The **ITI tool** refers to the totality of what is described in this manual. It is designed to consistently provide the necessary metrics of the level of transparency and the quality of processes related to public infrastructure at the national or sub-national level to enable rankings to be developed.

The **ITI dimensions** are the 4 criteria that are evaluated in the calculation of the ITI scores. As detailed in the manual they are: the enabling environment; capacity and processes; citizen participation; and information disclosure.

The **ITI scores** are used to rank the procuring entities evaluated. The final ITI score is obtained from the weighted sum of the four constituent ITI dimensions and can be at the national or sub-national level, depending on the context.

ITI instruments are resources provided to help ensure the reliable and consistent application of the ITI tool. Such instruments are presented as Annexes to this manual. Other instruments can be used to assist in the use of ITI results for the formulation of corrective action plans.

Infrastructure assets refer to physical structures and facilities such as roads, bridges, airports and ports as well as other assets related to the production, transmission, distribution and supply of water and electricity and other services on which the public depends.

Infrastructure projects are understood by the ITI as the development of infrastructure assets in a specific location, usually under the responsibility of a single procuring entity and budgetary authority and encompassing all phases of development, namely: identification, preparation, implementation, completion, operation and maintenance and commissioning.

Procurement is understood as the process of creating and fulfilling contracts, from deciding what is to be procured, through the tender management and contract award, to satisfactory fulfilment of the contract. Any given project is likely to entail multiple contracts, each with its own procurement process.

Procuring entities are considered by the ITI to be the government organisations that manage and are responsible for specific infrastructure projects, whether or not they manage the associated tender management processes.

Transparency. In the context of the ITI, transparency refers to the right to know and public access to information. The ITI tool interprets transparency in a broad and practical way, looking not only at it as the traditional access to information, but also at the enablers and capacities that can enhance such access, and at citizen participation that can potentially add public value.