BRI Monitor: Project Methodology

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Introduction

BRI Monitor research is qualitative research aimed to provide an insight into the governance of Belt and Road Initiatives (BRI) in Southeast Asia and the Pacific and inform policy advocacy within and across countries in the region. Using four projects as case studies, researchers in five countries embark on three research steps to understand the projects and uncover governance gaps in the BRI projects in the region.

The first step (the project narrative step) aims to understand the nature of the projects, their background and structures, actors involved in planning and implementing the projects, and recording issues raised by the public and experts in the countries. **The second step is transparency assessment**. In this step, researchers assess public availability and quality of key information of the projects using the Infrastructure Data Standards (IDS) developed by the Construction Sector Transparency Initiative (CoST). This step will help identify gaps in the current disclosure by the host government. **The final step of the research is to identify the governance gaps**. Based on the first and second step, the research assumes that countries need to have a robust framework in four key areas to ensure projects under the Belt and Road Initiatives (BRI) are well-governed. The four key areas: government procurement, public-private partnership, state-owned enterprises and official development assistance. In this step, researchers evaluate whether the regulatory framework for these areas is consistent with international standards, especially developed by international organisations such as the OECD and whether the studied projects follow the framework.

Case selection

Each organisation selects four (4) projects in its country that involve entities or funds originating from the Republic of China as cases to study. The cases are not meant to represent all projects that involve Chinese entities in the country or the region but as examples of various involvements of Chinese entities or funds in major infrastructure projects.

The cases selected are either among the biggest projects in the country in terms of value or the most popular. There is a potential bias of choosing projects that are more controversial or identified by local media as problematic. Such bias is inevitable due to the project's main purpose of advocating a better governance structure by identifying key problems in the currently implemented projects. However, the organisations were also advised to consider the structure of the projects in the selection process to minimise the bias. Attention should be given to whether these projects are designed as public procurement projects funded by ODAs or loans or as public-private partnership projects where the governments do not bear immediate risks. Partners are also asked to prioritise projects that involve the host government's owned enterprises (SOEs).

As of 20 July 2021

Step 1: Project Narrative

This step aims to encourage partner organisations **to describe basic information about the project**: the background, the scope of the project, the value, the timeline (including key dates for project announcements, construction start and construction end), the process of planning, procurement, and implementation of the project.

Another important exercise in this step is **to map the project structure and key actors involved in the project** using the project mapping template below **(See Figure 1)**. The mapping exercise includes identifying the owner of the project and its shareholder, the source of financing, the main contractor of the project and the shareholder of the main contracts. Partners are encouraged to put information about sub-contractors and their shareholders if it is available. For this exercise, the partner needs to explain the nature of the project contract: whether they are procured as traditional public procurement contracts or as public-private partnerships, in which the government shares the project risks with private companies.

Figure 1: Project Structure Mapping
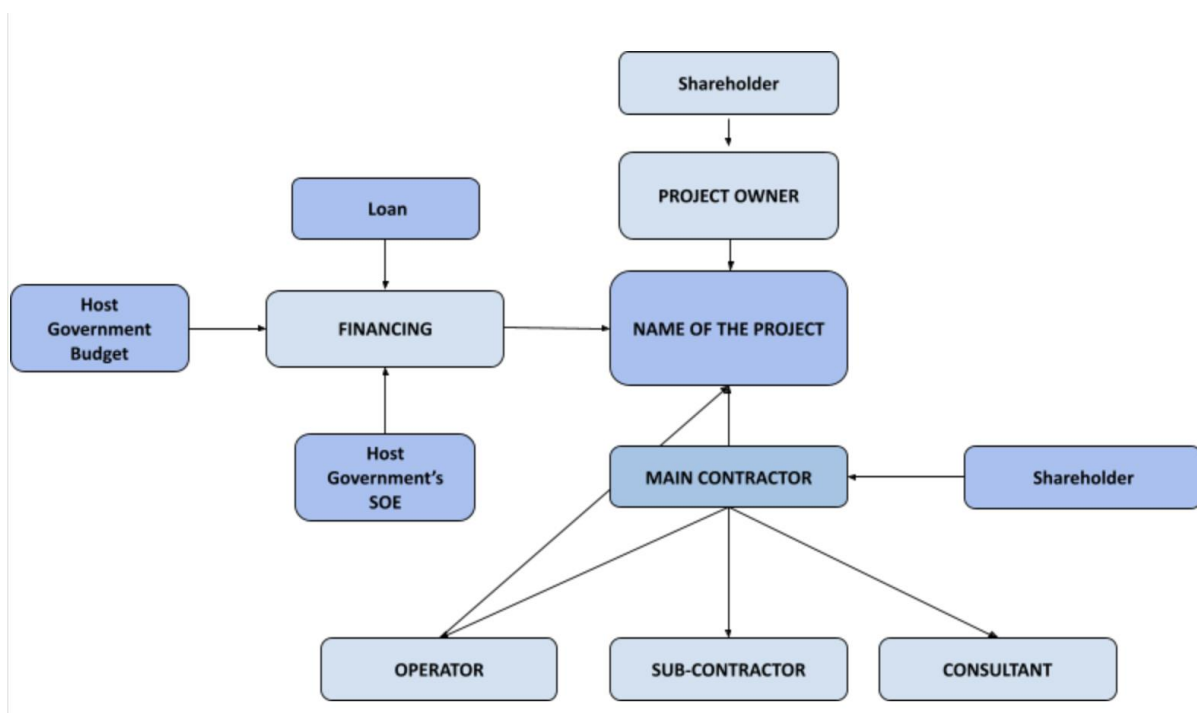
The final exercise in this step is **to collect issues raised by the public and experts on the projects**. Partners rely on secondary sources such as newspaper reports, reports released by research organisations or scholarly journal articles. There are no limitations to the type of issues that can be collected. However, partners are encouraged to check the procurement process, the involvement of state-owned enterprises, the financing method and rate, and the environmental and social impact assessment.

Step 2: Transparency Assessment

BRI Monitor research uses the Infrastructure Data Standards (IDS) for proactive disclosure developed by the Construction Sector Transparency Initiative (CoST) to assess the transparency level of each case study.

The CoST IDS is a globally recognised standard for transparency and accountability in infrastructure projects. The CoST IDS includes two types of disclosure: proactive and reactive disclosure. Proactive disclosure means data should be disclosed 'without official request' and is disseminated in a clear and usable format through a public medium, such as an online portal that is open and accessible to a wide range of stakeholders. On the other hand, the reactive disclosure data is "additional information that project owners and procuring entities are required to make available to any eligible person or entity upon request". There are 27 data points for reactive disclosure. IBR Monitor does not use the reactive disclosure list (CoST, 2013).

For the proactive disclosure, the Construction Sector Transparency Initiative (CoST) requires the disclosure of 38 data points of three different stages of a project (Identification, Preparation and Completion) and two stages of contract (Procurement and Implementation) (See Table 1).[1]

Table 1. Information standard for proactive disclosure

Project phase	Project information	Contract phase	Contract information
Project Identification	Project owner Sector, subsector Project name Project Location Purpose Project description	Procurement	Procuring entity Procuring entity contact details Procurement process Contract type Contract status (current) Number of firms tendering Cost estimate Contract administration entity Contract title Contract firm(s) Contract price Contract scope of work Contract start date and duration
Project Preparation	Project Scope (main output) Environmental impact Land and settlement impact Contact details Funding sources Project Budget Project budget approval date		
Project Completion	Project status (current) Completion cost (projected) Completion date (projected) Scope at completion (projected) Reasons for project changes Reference to audit and evaluation reports	Implementation	Variation to contract price Escalation of contract price Variation to contract duration Variation to contract scope Reasons for price changes Reasons for scope & duration changes

Source: Construction Sector Transparency Initiative (CoST), 2013

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[1] BRI Transparency Assessment uses data standard released by CoSt in 2013

To capture different practices, quality and level of transparency, we use a sequential scoring methodology for each data point. The purpose is to provide a score that will allow a comparative assessment of transparency across and within case studies. Researchers are asked to answer six related questions for each data point (See Table 2). A score of 1 will be assigned if the answer is "yes". IDEAS provides a standard form for the partners to fill in doing the assessment (see Appendix 1).

Table 2: Six related questions for each data point and their scores

Questions	Yes	No
1. Is the information available in publicly accessible websites?	1 point	0 points
2. Is the information presented in either the host-country language or English? (No would mean that the source language is neither English nor the local language, e.g. Mandarin)	1 point	0 points
3. Is the above information available on a website hosted by the host-country government or the domestic project owner?	1 point	0 points
4. Is the above information available in a clear and succinct manner, requiring no amount of interpretation or context?	1 point	0 points
5. Is the above information available on a website, where at least 10 other CoST IDS data points are also available?	1 point	0 points
6. Does the online source publish official project documents (e.g. Feasibility studies, EIAs, contract agreements, etc.)?	1 point	0 points

The sequential scoring aspect means that researchers can only answer questions 2 and 3 if the answer to question 1 is "yes", and they can answer question 4, 5, and 6 if the answer to question 3 is "yes". Figure 2 outlines the sequential process to score each data point. The "transparency score" of each data point will be the sum of points at the end of the assessment.

Figure 2: Sequential process for scoring
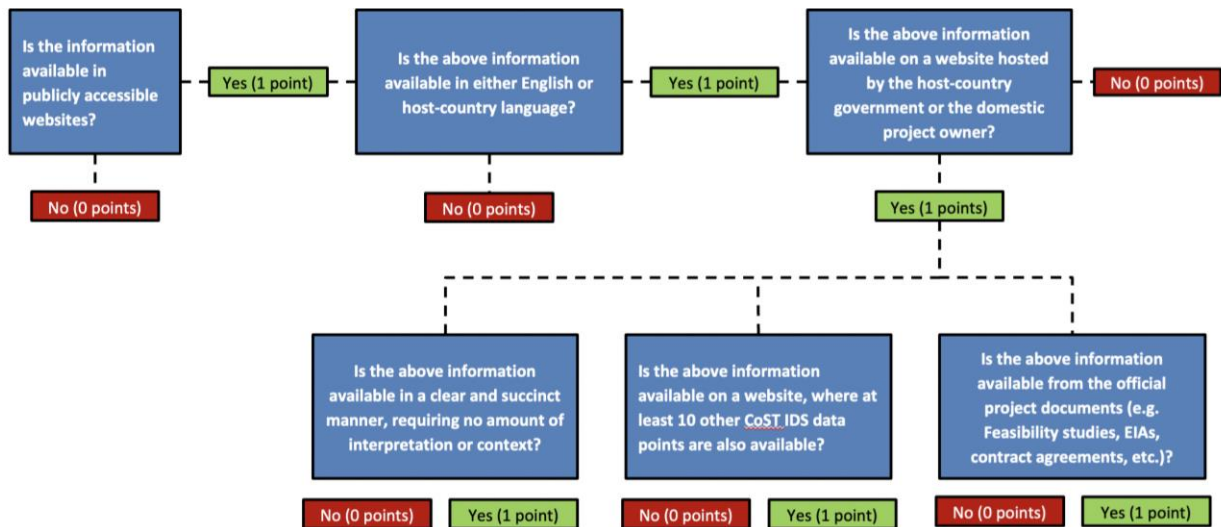
To help readers understand the meaning of each score, we provide the following information for each score on the website:

Table 3: Description of the score for each data point

Score	Colour	Description
0		No information available
1		The information available online, in an open format, and without the need for request
2		Available in publicly available websites and uses English or host-country language
3		Available on the websites of the host government or the project owner
4		Available on the websites of the host government or the project owner in a fairly easy to understand format
5		Available on the websites of the host government or the project owner in a fairly easy to understand format. This website contains at least ten other data points indicating the effort of the government to consolidate the information disclosed to the public
6		The information available on the website of the host government or the project owner and available in a fairly easy to understand format, and an official full document related to the data point is provided

Each project will be given **a transparency score** based on the score of individual data points. Researchers will add the total score and divide them by 38. We will publish the complete data set on the website.

Step 3: Identifying the Governance Gaps

BRI Monitor's main research purpose is to provide insights into the governance of BRI projects. Partners are required to understand the regulatory environment in which these projects operate by carrying out **regulatory review exercise** and understanding how the projects interact with those regulatory frameworks.

In the **regulatory review exercise**, partners are required to assess the regulatory framework of four policy areas in their countries: public procurement, public-private partnership (PPPs), state-owned enterprises (SOEs), and official development assessment (ODA). We chose these four policy areas due to their repeated interaction with all projects studied. This exercise allows the partners to get acquainted with the regulatory environment in which the project operates. It will also allow them to compare their countries regulatory framework with international best practices and with the other four countries covered in this study, resulting in the identification of *regulatory gaps.*

For this purpose, IDEAS provides a set of questions based on the standards developed by the Organisation of Economic Co-operation and Development (OECD) (See Appendix 2). Partners are free to choose any format to present the findings. However, they are requested to ensure the questions provided by IDEAS are addressed in their reviews to enable a consistent appraisal across partner countries. The result of the regulatory review will be published on the BRI Monitor website.

The second exercise that the partners are required to do in this step is to understand how the projects interact with those regulatory frameworks, especially concerning the issues identified in the first step (Case Study Review). We provide a list of questions that the partners can refer to when evaluating the interaction between the projects and the regulatory framework. Using the list, partners can determine whether the projects complied with the domestic regulatory frameworks in the four policy areas and then identify *implementation gaps.*

As the instruments for these two steps only cover four policy areas mentioned above, partners are encouraged to understand the regulatory framework of the relevant sector for each case study. For example, if the case study uses infrastructure in the communication sector, it is pertinent for the partner to familiarise with the sector's regulatory framework.

By identifying both the regulatory and implementation gaps, it is hoped that partners can identify key advocacy areas domestically and regionally (See Figure 3).

Figure 3: Regulatory Review and Case Study Review in the identification of advocacy agenda
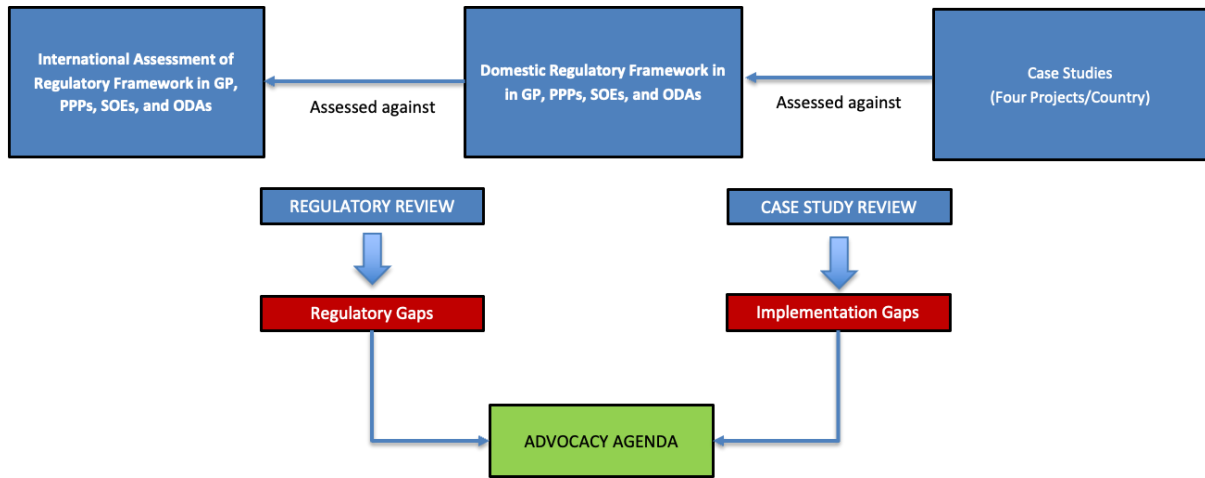
Appendix 1: Transparency Assessment Form

Project phase	Project information	Definition	Score	Response	Link to information:
Project Identification	Project owner	Name of the sponsoring Government department			
	Sector, subsector	Develop a list of sectors relevant to country e.g. housing, transport, energy, water etc.			
	Project name	Specify the project name			
	Project Location	Briefly specify location of the project			
	Purpose	Specify the socio economic purpose of the project			
	Project description	Concise description and details of the project			
Project Preparation	Project Scope (main output)	Main outputs from the project that are being taken forward into construction (type, quantity, unit)			
	Environmental impact	Briefly describe the environmental impacts and mitigation measures for this project e.g. impacts on flora, fauna & woodlands, areas of natural beauty, carbon emissions etc. and mitigation measures e.g. pollution control, low carbon solutions, sustainable timber etc.			
	Land and settlement impact	State the amount of land and property that was acquired for the project e.g. 25km2 land, and related impacts e.g. archaeological issues (moved saxon burial site), local/indigenous settlements (relocated 5 indigenous villages of 500 villagers each), impacts on local businesses e.g. (30 business properties purchased).			
	Contact details	Postal and electronic address of the Project Owner			
	Funding sources	Name the funding organisation(s)/sources of funding			
	Project Budget	Specify the projected costs/allocated budget for the project (currency and amount). The budget includes land / property acquisition, environmental mitigation measures, H&S provisions, client, consultant & contractor costs, VAT etc.			
	Project budget approval date	Date project budget was authorised			
Project Completion	Project status (current)	The current stage of the project. Select from identification, preparation, construction, completion, completed or cancelled.			
	Completion cost (projected)	State projected or actual completion cost (currency and amount)			
	Completion date (projected)	State projected or actual completion date			
	Scope at completion	Indicate projected or actual scope of project. Aim is to show if the completed project scope differs from the original project scope. Specify main outputs (type, quantity, unit)			

	Reasons for project changes	Summary of primary reasons for any changes in scope, time and cost			
	Reference to audit and evaluation reports	Reference to publicly available technical and financial audits			
Contract phase	**Contract information**				
Procurement	Procuring entity	Enter name of the organisation carrying out the procurement			
	Procuring entity contact details	Postal and Electronic address			
	Procurement process	Develop a list such as International Competitive Bidding, National Competitive Bidding, Donor Procurement Rules, Framework, Direct Award			
	Contract type	Develop a list such as Design, Supervision, Design & Supervision, Design & Build, Construction			
	Contract status (current)	Select from pre-award, active or closed			
	Number of firms tendering	Number of firms who submit a tender			
	Cost estimate	Currency and amount of the original pre-tender estimate of the contract			
	Contract administration entity	Enter name of the organisation carrying out the contract administrative entity if different from the Procuring Entity			
	Contract title	The formal name of the contract			
	Contract firm(s)	Legal name of supplier			
	Contract price	Currency and price at contract award			
	Contract scope of work	Main outputs from the contract e.g. detailed design, supervision, project management and or type, quantity, unit for construction			
	Contract start date and duration	Enter dates and Number of weeks from contract start date to (anticipated) completion date			
Implementation	Variation to contract price	Difference between the price at contract award and the current projected price			
	Escalation of contract price	Escalation to date of the price of materials, labour, equipment etc. due to fluctuations in inflation, currency etc.			
	Variation to contract duration	Difference between original duration at contract award and the current projected duration in weeks.			
	Variation to contract scope	Any changes between original scope at contract award and the current scope			
	Reasons for price changes	Summary of reasons for primary changes (e.g. variations) that then lead to changes in contract price, major price fluctuations and accumulative increase or decrease in price.			
	Reasons for scope & duration changes	Summary of reasons for primary changes (e.g. variations) that then lead to changes in the scope and duration.			

Appendix 2: Regulatory Review

2.1 Public Procurement

Public procurement refers to the purchase by governments and state-owned enterprises of goods, services and works. The public procurement process is the sequence of activities starting with the assessment of needs through awards to contract management and final payment.

Regulatory Structure
1. What is the name of the Act/Guideline that governs public procurement processes?
2. Are there subnational legislations that may be different from the federal one, particularly those specially designated areas such as China-Myanmar Economic Corridor etc.?
3. How are public procurement processes being governed? What is the role of the regulatory agency or the Ministry in the public procurement process, including when to open a project for tender, assessing the bids, and awarding? (answer whichever applies)

Open Tender
1. Under the public procurement regulatory framework of your country are tenders the method that should be used for conducting procurement of public works?
2. What is the minimum monetary value of a project to qualify for an open tender?
3. Does the public procurement provision allow for foreign participation? If yes, is there a minimum threshold either in monetary value or percentage of joint venture with local firms?
4. Does existing public procurement framework favour local firms over foreign-owned ones, vice versa?
5. When a tender is run, does the public procurement regulatory framework in your country facilitate participation by bidders by mandating the following:
6. All tender documents must be published online
7. Bids can be submitted online
8. Tender documents must be made available free of charge
9. Does the public procurement regulatory framework allow free access, through an online portal, for all stakeholders, including potential domestic and foreign suppliers, civil society and the general public, to public procurement information? (Definition: Public procurement information refers to those related to the public procurement system (e.g. institutional frameworks, laws and regulations), the specific procurements (e.g. procurement forecasts, calls for tender, award announcements), and the performance of the public procurement system (e.g. benchmarks, monitoring results).

Cost-Benefit Analysis:
1. Under the public procurement regulatory framework of your country, is it a mandatory requirement for a contracting authority to collect/gather information on the public work it plans to procure before deciding its procurement strategy and designing a tender?
2. If you have answered yes to the question above, is the contracting authority mandated to collect/gather the following information in the pre-tendering procedure:
3. Needs evaluation report

4. Economic feasibility and impacts assessment
5. Local council deliberations
6. When a tender is run, does the tendering authority provide in the tender documentation a reference price for the public works it requires?

Environmental and Social Impact Assessment:
1. When a tender is run, does the public procurement regulatory framework in your country establish environmental standards in the technical specifications?
2. When a tender is a run, does the public procurement regulatory framework require a social impact assessment to be completed by the bidder?
3. If you have answered yes to the question above, does this include consultation with local communities, specifically including minority groups?

Open Access to Contract Details:
1. Does the public procurement regulatory framework of your country establish a comprehensive list of the procurement records and documents related to tendering procedures and contract management that must be kept and available for public inspection?
2. If you have answered yes to the question above, do these procurement records include the following:
3. Final signed contract documents and amendments
4. Contract variations/modifications/changes
5. Certificates and reports of inspection, quality control and acceptance
6. Claims and dispute resolutions
7. Changes to performance deadlines
8. Price changes in the course of performance

Funding Source Disclosure:
1. Does the regulatory framework in your country ensure visibility of the flow of public funds, from the beginning of the budgeting process throughout the public procurement cycle by publishing statistics, records and documents that cover the entire budget execution cycle, including the procurement process?

Sub-Contract Details
1. Does the procurement regulatory framework in your country require suppliers to provide appropriate transparency in subcontracting relationships through disclosing the following:
2. Identification of subcontractors
3. Company profile
4. Share of total contract subcontracted

Audit
1. Within the regulatory framework in your country, are there mechanisms for the detection and sanctioning of misconduct in public procurement?

2. Does the procurement regulatory framework in your country implement performance measurement systems that focus on the outcomes of procurement processes versus set targets, internally as well as externally (for example, by Supreme Audit Institutions or Auditor General)?

2.2 Governance of SOEs

State-owned enterprises are any corporate entity recognised by national law as an enterprise, and in which the state exercises ownership, should be considered as an SOE. This includes joint stock companies, limited liability companies and partnerships limited by shares. Moreover statutory corporations, with their legal personality established through specific legislation, should be considered as SOEs if their purpose and activities, or parts of their activities, are of a largely economic nature.

Disclosure of Financial and operating results

1. Are there any SOEs which are not incorporated into limited liability companies?
2. If you have answered yes to the question above, are these SOEs subject to private company law?
3. Are SOEs exempt from the application of at least some specific laws and regulations which apply to private firms?
4. If you have answered yes to the question above, are these SOEs exempt from reporting material financial and non-financial information on the enterprise in line with recognised standards of corporate disclosure, and including areas of significant concern for the state as an owner and general public?

Board qualifications, selection process and remuneration

1. Are SOEs required to disclose publicly the governance, ownership and voting structure of the enterprise, including the content of any corporate governance code or policy and implementation process?
2. Are SOEs required to disclose the board member qualifications, selection process, including board diversity policies, roles on other company boards and whether they are considered as independent by the SOE board?
3. Are SOEs required to disclose board member remunerations?

Material transactions with the state and other related entities

1. Do SOEs, state agencies with SOE ownership, or any other regulatory bodies in your country disclose publicly any material transactions between SOEs and the state or any other related entities? This includes, for example, land swaps and asset disposals, etc.

Financial assistance received from the state

1. Does the SOE regulatory body in your country provide free access, through an online portal, for all stakeholders, including civil society and the general public, to any financial assistance, including guarantees, received from the state and commitments made on behalf of the SOEs, including contractual commitments and liabilities arising from public-private partnerships?

Conflict of interest

1. Are political office holders able to hold executive positions or board appointments within SOEs?
2. If you have answered yes to the question above, are there any mechanism to reduce conflict of interest?

2.3 Public-Private Partnerships (PPP)

Public-Private Partnerships (PPPs) are long term agreements between the government and a private partner whereby the private partner delivers and funds public services using a capital asset, sharing the associated risks. PPPs may deliver public services both with regards to infrastructure assets (such as bridges, roads) and social assets (such as hospitals, utilities, prisons).

Regulatory Structure

1. In your country, is there a regulatory framework, which is separate from the public procurement regulatory framework, that guides the establishment and conduct of Public-Private Partnerships (PPP)?
2. What is the name of the Act/Guideline that governs PPP processes?
3. Are there subnational legislations regulating PPPs that may be different from the federal one?
4. How are PPP processes being governed? What is the role of the regulatory agency or the Ministry in the public procurement process, including when to open a project for tender, assessing the bids, and awarding? (answer whichever applies)
5. Does the PPP regulatory framework include lower standards of governance when compared to the public procurement regulatory framework?

Open Tender

1. Under the PPP regulatory framework of your country are tenders the method that should be used for conducting procurement of public works?
2. What is the minimum monetary value of a project to qualify for an open tender?
3. Does the PPP provision allow for foreign participation? If yes, is there a minimum threshold either in monetary value or percentage of joint venture with local firms?
4. Does existing PPP framework favour local firms over foreign-owned ones, vice versa?
5. When a tender is run, does the PPP regulatory framework in your country facilitate participation by bidders by mandating the following:
6. All tender documents must be published online
7. Bids can be submitted online
8. Tender documents must be made available free of charge
9. Does the PPP regulatory framework allow free access, through an online portal, for all stakeholders, including potential domestic and foreign suppliers, civil society and the general public, to tender information?

Cost-Benefit Analysis

1. Under the PPP regulatory framework of your country, is it a mandatory requirement for a contracting authority to collect/gather information on the public work it plans to procure before deciding its procurement strategy and designing a tender?
2. If you have answered yes to the question above, is the contracting authority mandated to collect/gather the following information in the pre-tendering procedure:
3. Needs evaluation report
4. Economic feasibility and impacts assessment
5. Local council deliberations
6. When a tender is run, does the tendering authority provide in the tender documentation a reference price for the public works it requires?

Environmental Impact Assessment
1. When a tender is run, does the PPP regulatory framework in your country establish environmental standards in the technical specifications?
2. When a tender is a run, does the public procurement regulatory framework require a social impact assessment to be completed by the bidder?
3. If you have answered yes to the question above, does this include consultation with local communities, specifically including minority groups?

Budget Transparency
1. Does the PPP regulatory framework in your country ensure visibility of the flow of public funds, from the beginning of the budgeting process throughout the public procurement cycle by publishing statistics, records and documents that cover the entire budget execution cycle, including the procurement process?

External Audit
1. Within the regulatory framework in your country, are there mechanisms for the detection and sanctioning of misconduct in public procurement?
2. Does the PPP regulatory framework in your country implement performance measurement systems that focus on the outcomes of procurement processes versus set targets, internally as well as externally (for example, by Supreme Audit Institutions or Auditor General)?

2.4 Official Development Assistance (ODA)

Official development assistance (ODA) is defined by the OECD Development Assistance Committee (DAC) as government aid that promotes and specifically targets the economic development and welfare of developing countries (OECD, 2019). ODA flows to countries and territories on the DAC List of ODA Recipients and to multilateral development institutions are:

i. Provided by official agencies, including state and local governments, or by their executive agencies; and
ii. Concessional (i.e. grants and soft loans) and administered with the promotion of the economic development and welfare of developing countries as the main objective.

Ownership of Development Priorities by Partner Countries Receiving Support
1. When your country receives an ODA from a partner country, is the ODA aligned with the national development strategy?

Focus on Results

1. When receiving an ODA from a partner country, does the development activity facilitated by that ODA support and use country-level results frameworks, national statistical systems, or generate disaggregated data to report on the progress?

Inclusive Partnerships

1. When receiving an ODA from a partner country, does the development activity strengthen and support the inclusion of the local business sector and civil society in procurement processes?

Transparency and Accountability

1. Are there state institutions that collect any financial and non-financial data on the use of public and private funds related to developmental co-operation related to ODAs?
2. If you answered yes to the question above, does this state institution disclose publicly through open data to all stakeholders, including potential domestic and foreign suppliers, civil society and the general public, to the development priorities of the ODA?

Reference

OECD. (2012). Recommendation of the Council on Principles for Public Governance of Public-Private Partnerships.

OECD. (2015). OECD Guidelines on Corporate Governance of State-Owned Enterprises

OECD. (2016). Checklist for Supporting the Implementation of the OECD Recommendation of the Council on Public Procurement

OECD. (2016). Nairobi Outcome Document. GPEDC High-Level Meeting in Nairobi in November-December 2016.

OECD. (2019). Official Development Assistance (ODA)

Appendix 3: List of Questions for Case Study Review

3.1 Public Procurement

Regulatory Compliance
1. Does this project follow the governance process of public procurement, including the role of the regulatory agency or the Ministry in the public procurement process for tendering, assessing bids, and awarding?

Tender Process
1. Was the project initiated through a tender?
2. Did this project comply with the minimum monetary value requirements for a project to qualify for an open tender?
3. Does this project comply with the requirements for foreign participation?
4. Did the tendering process for this project provide equal opportunity for local and foreign-owned firms?
5. When the tender was run, did the tendering authority facilitate participation by bidders by ensuring the following:
   a. All tender documents under this project were published online
   b. Bids under this project's tender were open for online submission
   c. Documents of this project's tender were made available free of charge
6. Is the tender information under this project available through free access through an online portal for all stakeholders, including potential domestic and foreign suppliers, civil society and the general public?

Cost-Benefit Analysis
1. Did the contracting authority collect/gather information on the public work it planned to procure before deciding its procurement strategy and designing a tender?
2. If you have answered yes to the question above, did the contracting authority conduct the following in the pre-tendering procedure
   a. Was a needs evaluation report conducted?
   b. Were economic feasibility and impacts assessments conducted?
   c. Were there local council deliberations prior to the tender?
   d. When the tender was run, did the tendering authority provide in the tender documentation a reference price for the public works it required?

Environment and Social Impact Assessment
1. When the tender was run, were environmental standards included within the technical specification?
2. When the tender was run, was a social impact assessment completed by the bidder?
3. If you have answered yes to the question above, does this include consultation with local communities, specifically including minority groups?

Open Access to Contract Details
1. Are the procurement records and documents related to tendering procedures and contract management under this project available for public inspection?
2. If you have answered yes to the question above, do these procurement records include the following:
   a. Final signed contract documents and amendments
   b. Contract variations/modifications/changes
   c. Certificates and reports of inspection, quality control and acceptance
   d. Claims and dispute resolutions
   e. Changes to performance deadlines
   f. Price changes in the course of performance

Funding Source Disclosure
1. Is there open visibility under this project of the flow of public funds, from the beginning of the budgeting process throughout the public procurement cycle through published statistics, records and documents that cover the entire budget execution cycle, including the procurement process?

Sub-Contract Details
1. Do the suppliers provide appropriate transparency in subcontracting relationships through disclosing the following:
   a. Identification of subcontractors
   b. Company Profile
   c. Share of total contract subcontracted

External Audit
1. Has this project been audited through mechanisms for the detection and sanctioning of misconduct in public procurement?
2. Has this project been audited, either internally or externally, on the basis of performance measurement system that focuses on the outcomes of procurement processes against set targets?

3.2 Public-Private Partnership

Regulatory Compliance
1. Does this project follow the governance process of PPPs, including the role of the regulatory agency or the Ministry in the public procurement process for tendering, assessing bids, and awarding?

Tender Process
1. Was the project initiated through a tender?
2. Did this project comply with the minimum monetary value requirements for a project to qualify for an open tender?
3. Does this project comply with the requirements for foreign participation?

4. Did the tendering process for this project provide equal opportunity for local and foreign-owned firms?
5. When the tender was run, did the tendering authority facilitate participation by bidders by ensuring the following:
    a. All tender documents under this project were published online
    b. Bids under this project's tender were open for online submission
    c. Documents of this project's tender were made available free of charge
6. Is the tender information under this project available through free access through an online portal for all stakeholders, including potential domestic and foreign suppliers, civil society and the general public?

Cost-Benefit Analysis
1. Did the contracting authority collect/gather information on the public work it planned to procure before deciding its procurement strategy and designing a tender?
2. If you have answered yes to the question above, did the contracting authority conduct the following in the pre-tendering procedure:
3. Was a needs evaluation report conducted?
4. Were economic feasibility and impacts assessments conducted?
5. Were there local council deliberations prior to the tender?
6. When the tender was run, did the tendering authority provide in the tender documentation a reference price for the public works it required?

Environment and Social Impact Assessment
1. When the tender was run, were environmental standards included within the technical specification?
2. When the tender was run, was a social impact assessment completed by the bidder?
3. If you have answered yes to the question above, does this include consultation with local communities, specifically including minority groups?

Open Access to Contract Details
1. Is there open visibility under this project of the flow of public funds, from the beginning of the budgeting process throughout the public procurement cycle through published statistics, records and documents that cover the entire budget execution cycle, including the procurement process?

External Audit
1. Has this project been audited through mechanisms for the detection and sanctioning of misconduct in public procurement?
2. Has this project been audited, either internally or externally, on the basis of performance measurement system that focuses on the outcomes of procurement processes against set targets?

3.3 Governance of SOEs

Disclosure of Financial and operating results
1. Are the SOEs involved in this project incorporated into a limited liability company?
2. If you have answered no to the question above, are these SOEs subject to private company law?
3. Are the SOEs involved in this project exempt from the application of at least some specific laws and regulations which apply to private firms?
4. Are these SOEs exempt from reporting material financial and non-financial information on the enterprise in line with recognised standards of corporate disclosure, and including areas of significant concern for the state as an owner and general public?

Board qualifications, selection process and remuneration
1. Do the SOEs involved in this project disclose publicly the governance, ownership and voting structure of the enterprise, including the content of any corporate governance code or policy and implementation process?
2. Do the SOEs involved in this project disclose the board member qualifications, selection process, including board diversity policies, roles on other company boards and whether they are considered as independent by the SOE board?
3. Do the SOEs involved in this project disclose board member remunerations?

Material transactions with the state and other related entities
1. Do the SOEs involved in this projectdisclose publicly any material transactions between SOEs and the state or any other related entities? This includes, for example, land swaps and asset disposals, etc.

Financial assistance received from the state
1. Does the SOE regulatory body in your country provide free access, through an online portal, for all stakeholders, including civil society and the general public, to any financial assistance, including guarantees, received from the state and commitments made on behalf of the SOEs involved in this project, including contractual commitments and liabilities arising from public-private partnerships?

Conflict of interest
1. Do political office holders hold executive positions or board appointments within the SOEs involved in this project?
2. If you have answered yes to the question above, are there any mechanism to reduce conflict of interest?

3.4 Treatment of ODAs

Ownership of Development Priorities by Partner Countries Receiving Support
1. Is the ODA aligned with the national development strategy?

Focus on Results

1. Does the development activity facilitated by this ODA support and use country-level results frameworks, national statistical systems, or generate disaggregated data to report on the progress?

Inclusive Partnerships

1. Does the ODA's development activity strengthen and support the inclusion of the local business sector and civil society in procurement processes?

Transparency and Accountability

1. Has there been a collection by state institutions of any financial and non-financial data on the use of public and private funds related to developmental co-operation related to ODAs?
2. If you answered yes to the question above, has this state institution disclosed publicly through open data to all stakeholders, including potential domestic and foreign suppliers, civil society and the general public, to the development priorities of the ODA?