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Annex 1 : Procedure

Impact Assessment

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	<i>Drafted by</i>	<i>Validated by</i>	<i>Approved by</i>
<i>Name</i>	Oana Gherghinescu Torben Holvad	Olivier Piron	Jens Engelmann
<i>Position</i>	Economic evaluation Officer	Quality Officer	Head of CME
<i>Date</i>	23/01/2017	23/01/2017	23/01/2017
<i>Signature</i>			

Document History

<i>Version</i>	<i>Date</i>	<i>Comments</i>
1.0	16/12/2016	Updates after MTM (09/12/16) and first major version
1.1	23/01/2017	Updates after the Executive Board meeting (12/01/17)

<i>Process Deployment</i>	Sub-process of the “Issuing an Agency’s Recommendation” process Sub-process of the “Issuing an Agency’s Opinion/Advice” process (<i>note: the impact assessment is required only for opinions and <u>not</u> for advices</i>)
<i>Process Owner</i>	Head of Unit, CME
<i>Purpose</i>	To describe the steps and allocation of responsibilities for performing an impact assessment (IA)
<i>Scope</i>	The document applies to all the recommendations (REC) and opinions (OPI) of the European Union Agency for Railways (hereinafter called “the Agency”) If <u>other</u> projects outside this scope require an impact assessment, this procedure may be applied with the necessary adaptations, as required.

<i>Process Customers and other stakeholders</i>	Various units/entities of the Agency Other stakeholders: <ul style="list-style-type: none"> › Agency’s Management Team and Management Board › European Commission (EC) › Working Parties for REC and OPI, as appropriate
<i>Process Input</i>	<ul style="list-style-type: none"> › Program plans for the Agency’s SPD objectives and/or individual project plans, where a program plan is not (yet) available › Ad hoc requests for IAs from the EC
<i>Process Output</i>	Impact Assessment Report (Light Impact Assessment or Full Impact Assessment)
<i>Legal Basis</i>	<ul style="list-style-type: none"> › Regulation (EU) 2016/796 of the European Parliament and of the Council of 11 May 2016 on the European Union Agency for Railways, Article 8(1) <p style="margin-left: 20px;">1. The Agency shall conduct an impact assessment of its recommendations and opinions. The Management Board shall adopt an impact-assessment methodology based on the methodology of the Commission. The Agency shall liaise with the Commission to ensure that relevant work at the Commission is duly taken into account. The Agency shall clearly identify the assumptions used as the basis for the impact assessment and the data sources used in the report accompanying each recommendation.</p> › EC Better Regulation Guidelines 2015
<i>Performance Indicators</i>	<ul style="list-style-type: none"> › % of IAs which are timely delivered out of the total number of due IAs
<i>Linked with other (Sub)Processes</i>	<ul style="list-style-type: none"> › REC – Issuing an Agency’s Recommendation › OPI – Issuing an Agency’s Opinion/Advice › STP – Strategic Planning
<i>Enablers</i>	<ul style="list-style-type: none"> › Coaching on IA for the project officers from the operational units › Training on advanced evaluation methods for the project officers from the economic evaluation team › Coordination between the Agency and EC to define the IA cooperation cases and/or to clarify the ad hoc requests from the EC

<i>Process Models</i>	MS Project Planning managed by the operational units (as customers), incorporating the input provided by the economic evaluation team (as provider)
<i>Data Model</i>	N.a.
<i>Business Rules</i>	N.a.
<i>Process Improvement Plan</i>	Iterations envisaged based on quality checks

<i>Process Constraints</i>	<ul style="list-style-type: none"> › Level of involvement of the stakeholders groups for feeding the IA › Possible short time frames for delivering IAs, especially in the case of OPI
<i>Related Documents</i>	<ul style="list-style-type: none"> › REC, OPI and their accompanying reports

1. Definitions and Abbreviations

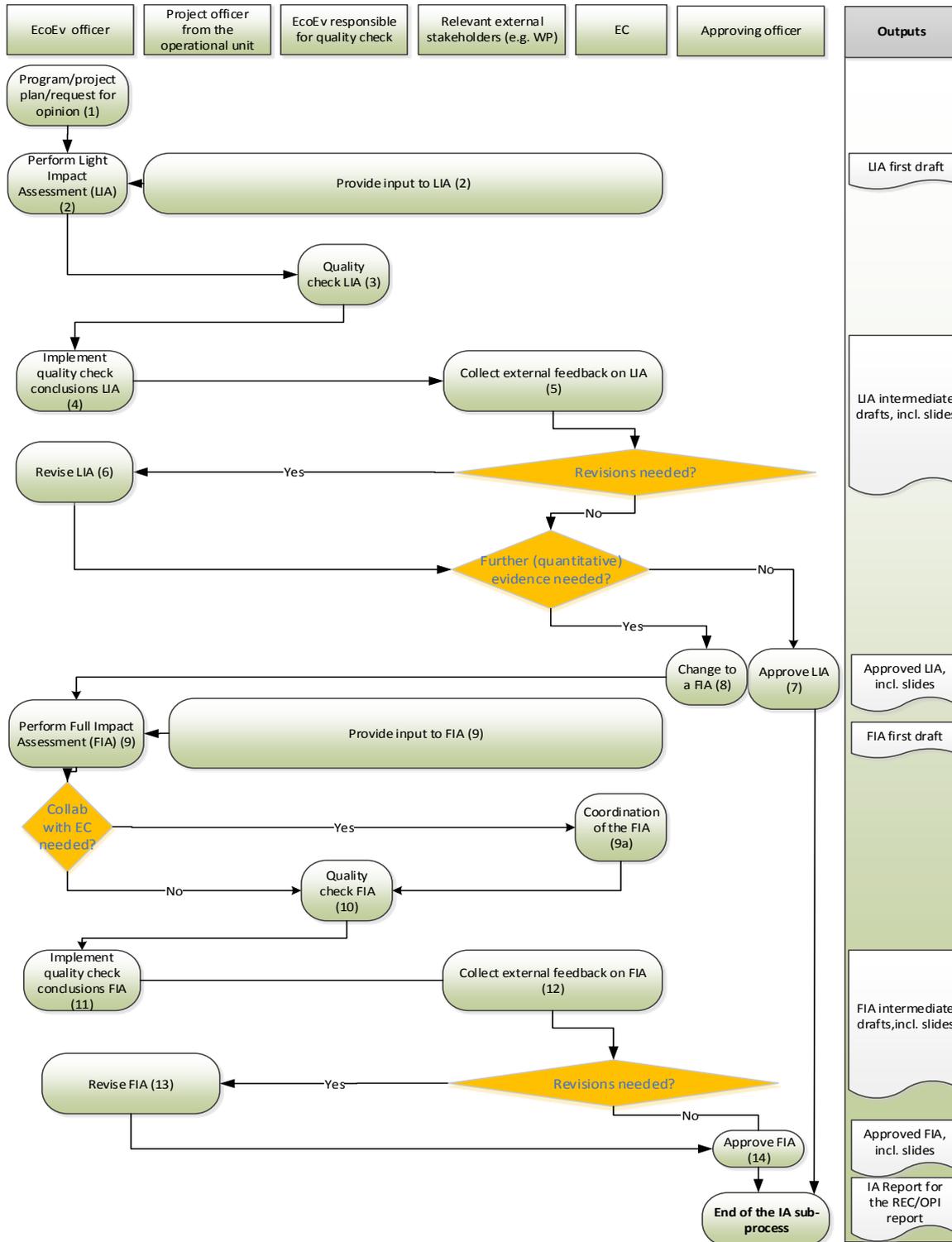
Definitions

<i>Impact assessment</i>	A process that prepares evidence for decision-makers on the advantages and disadvantages of possible policy options by assessing and comparing their potential impacts.
<i>Quality check</i>	The task of checking if a document is compliant to the requirements related to methodology and templates.
<i>Railway System Data Inventory</i>	Inventory of railway data sources per category, managed and updated by the Agency, to be used as reference in the quantification of impacts.

Abbreviations

<i>CME</i>	Corporate Management and Evaluation Unit
<i>EC</i>	European Commission
<i>EcoEv</i>	Economic evaluation
<i>FIA</i>	Full Impact Assessment
<i>LIA</i>	Light Impact Assessment
<i>REC</i>	Agency's Recommendation
<i>OPI</i>	Agency's Opinion

2. Flow Chart



3. Description

3.1. Step 1. Analyze Program plan/Project plan/Request for opinion

In the case of **recommendations**, the main input for the IA comes from the **Agency's program plan** to which the project belongs. If a program plan is not (yet) available, the main input is provided by the **Agency's project plan**.

In the case of **opinions**, the starting point is provided by the Agency's internal **request for the opinion** to the opinion project responsible.

In line with the proportionality principle, the impact assessment work starts as a **LIA (Step 2)**, with the exception of specific requests from the EC to directly perform a **FIA (Step 9)**.

3.2. Step 2. Perform the LIA

The LIA is led by the **economic evaluation officer(s)** allocated to the project, based on input from the **project officer(s) from the operational unit** in charge. Input from relevant external stakeholders is taken into account from the very early stages of the document.

The LIA is filled in using the **Impact Assessment template (TEM_EEV_001)**, which includes the guiding methodological questions.

In the case of **opinions** for which multiple options cannot be identified, the template will be filled only for the relevant parts, demonstrating that no alternative options could be analysed, and drawing the conclusions based on a proportionate analysis.

At this stage, the Agency also performs a preliminary check with the EC on the potential need for a FIA requiring coordination with EC.

3.3. Step 3. Quality check for the LIA

The **economic evaluation officer responsible for LIA quality checks** analyses the appropriateness and consistency of the methodologies applied, in line with the template provided. For a matter of efficiency and depending on time availability, the **economic evaluation officer responsible for LIA quality checks** can be involved already in the phase of drafting the LIA and thus ensure an ongoing quality check.

3.4. Step 4. Implement quality check conclusions for LIA

The **economic evaluation officer** implements the quality check conclusions from Step 3, if any.

3.5. Step 5. Collect external feedback on LIA

The draft of the LIA is shared with the relevant stakeholders either in the framework of the relevant working party or in other relevant fora (eg. NSA network, NRB, RISC) in order to ensure the **possibility for the stakeholders to provide their feedback** on the content of the LIA, as well as on possible need for further (usually quantitative) evidence. The latter could occur in the case of complex and/or controversial projects and/or with diverging views among various stakeholders.

If specific time constraints are imposed, like for example in the case of **opinions**, Step 5 can be shortened or skipped, in order to allow for complying with the EC deadline.

If the need of **revisions** of the content arises, the document enters Step 6.

If the need for **collecting further evidence through a FIA** is raised by one or several of the relevant stakeholders and considered justified by the economic evaluation officer, the approving officer is asked to approve the development from a LIA to a FIA (Step 8). If no further evidence is needed, the document enters Step 7.

3.6. Step 6. Revise the LIA

The revision of the document reflects the retained feedback from the external stakeholders and/or EC and/or the feedback from the approving officer. The revision is driven by the **economic evaluation officer** and may benefit from input from the **project officer(s) from the operational unit** in charge.

3.7. Step 7. Approve LIA

If the LIA does not require further evidence, the Head of CME, in its quality of approving officer, approves the LIA report for the REC/OPI accompanying report, as well as the slides for presentation to e.g. RISC (TEM_EEV_002).

The LIA reports shall be stored according to the DMS rules (RUL_IOM_002). A dedicated LIA storage space is also set up under the CME/EcoEv Intranet where copies of the final versions shall be stored.

3.8. Step 8. Approve development from LIA to FIA

Based on the outcomes of Step 5, in cases which are justified by the need for further evidence (e.g. complex and/or controversial projects and/or with diverging views among various stakeholders), the Head of CME, in its quality of approving officer, can approve the development from the LIA to the FIA.

3.9. Step 9. Perform FIA

The FIA is led by the **economic evaluation officer(s)** allocated to the project, based on input from the **project officer(s) from the operational unit** in charge. The FIA draws on the evidence collected during the **light impact assessment performed** and identifies additional evidence by mainly resorting to the quantification of impacts. Input from relevant external stakeholders is taken into account.

The FIA is filled in using the Impact Assessment template (TEM_EEV_001), which includes the guiding methodological questions. For the quantification, the standard assumptions and values from the Agency's Railway System Data Inventory will be used. Where such values do not exist, they can be proposed in the FIA and fed back into the Railway System Data Inventory for future use and refining.

The EC and the Agency assess if the involvement of the EC is needed. If the involvement of the EC is needed, performing the FIA may involve the coordination with the EC (Step 9a). In these cases, the necessary procedural stages are agreed between the Agency and the EC. An EC Steering Committee may be set up to formalise the coordination between the Agency and the EC for the IA work.

3.10. Step 10. Quality check for the FIA

The **economic evaluation officer responsible for FIA quality checks** analyses the appropriateness and consistency of the methodologies applied, in line with the template provided. For a matter of efficiency and depending on time availability, the **economic evaluation officer responsible for FIA quality checks** can be involved already in the phase of drafting the FIA and thus ensure an ongoing quality check.

3.11. Step 11. Implement quality check conclusions for FIA

The **economic evaluation officer** implements the quality check conclusions from Step 10, if any.

3.12. Step 12. Collect external feedback on FIA

The draft of the FIA is shared with the relevant stakeholders either in the framework of the relevant working party or in other relevant fora (eg. NSA network, NRB, RISC) in order to ensure the **possibility for the stakeholders to provide their feedback** on the content of the FIA.

If the need of **revisions** of the content arises, the document enters Step 13, otherwise it enters directly Step 14.

3.13. Step 13. Revise the FIA

The revision of the document reflects the retained feedback from the external stakeholders and/or EC and/or the feedback from the approving officer. The revision is driven by the **economic evaluation officer** and may benefit from input from the **project officer(s) from the operational unit** in charge.

3.14. Step 14. Approve FIA

The Head of CME, in its quality of approving officer, approves the FIA report for the REC/OPI accompanying report, as well as the slides for presentation to e.g. RISC (TEM_EEV_002).

The FIA reports shall be stored according to the DMS rules (RUL_IOM_002). A dedicated FIA storage space is also set up under the CME/EcoEv Intranet where copies of the final versions shall be stored.

3.15. Standard workload per step

On an average, it is expected that:

- › a **LIA** would require approx. 15 person-days of work by the economic evaluation project officers and 5 person-days of work by the project officer(s) from the operational units;
- › a **FIA** would require approx. 60 person-days of work by the economic evaluation project officers and 10 person-days of work by the project officer(s) from the operational units.

These values may, on a general basis, be taken into account for the MS Project planning. They may be subject to adaptation in specific cases, which deviate from the average.

4. Templates / Forms

- › TEM_EEV_001 (IA template)
- › TEM_EEV_002 (Slides for presentation to RISC)

5. Records and Others Outputs (Mandatory for process documents and procedures)

<i>Record Name</i>	<i>Storage Responsible</i>	<i>Storage Location</i>	<i>Minimum Retention Time</i>
IA report (LIA or FIA)	Project officer(s) from the operational unit Economic evaluation officer in charge	Project space in Intranet and Extranet CME/EcoEv space for IA	The same retention time as for the REC and OPI documents according to the related procedures