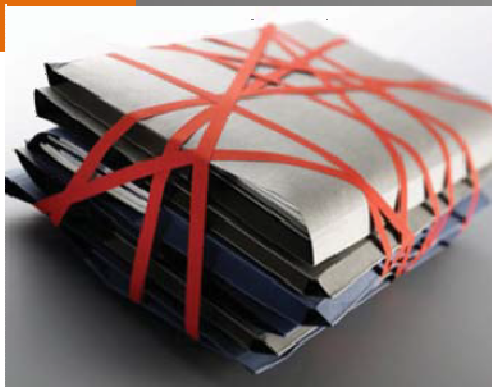


REGULATORY IMPACT ASSESSMENT RESOURCES



Investment Climate Advisory Services | World Bank Group



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MEMORANDUM
RIA Resources (December 2008)

1	RIA: INTERNATIONAL GUIDANCE DOCUMENTS (18).....	6
	1.1 World Bank.....	6
	1.2 DFID.....	6
	1.3 UNDP.....	6
	1.4 OECD.....	6
	1.5 European Union.....	7
2	RIA: NATIONAL GUIDANCE DOCUMENTS (37).....	7
	2.1 Australia.....	8
	2.2 Canada.....	8
	2.3 Ireland.....	9
	2.4 New Zealand.....	9
	2.5 Poland.....	9
	2.6 United Kingdom.....	9
	2.7 United States.....	10
3	RIA: GUIDANCE ON PARTIAL IAS (29).....	10
	3.1 Environmental and Ecologic IA.....	10
	3.2 Equality IA.....	10
	3.3 Health IA.....	11
	3.4 Poverty IA.....	11
	3.5 Privacy IA.....	11
	3.6 Social IA.....	Error! Bookmark not defined.
	3.7 Sustainability IA.....	11
4	RIA: TRAINING RESOURCES (4).....	11
5	RIA: COUNTRY CASE STUDIES AND BEST PRACTICES (166).....	12
	5.1 International.....	12
	5.2 Albania.....	12
	5.3 Austria.....	13
	5.4 Belgium.....	13
	5.5 Bosnia and Herzegovina.....	13
	5.6 Bulgaria.....	13
	5.7 Canada.....	13
	5.8 Croatia.....	13

5.9 Czech Republic.....	14
5.10Denmark	14
5.11Finland	14
5.12France.....	14
5.13Estonia.....	15
5.14Germany	15
5.15Greece.....	15
5.16Hungary.....	15
5.17Ireland	15
5.18Italy.....	16
5.19Japan.....	16
5.20Kenya	16
5.21Korea	16
5.22Latvia.....	17
5.23Lithuania.....	17
5.24Macedonia	17
5.25Mexico.....	17
5.26Moldova	17
5.27Netherlands	17
5.28Norway	18
5.29Poland	18
5.30Portugal.....	18
5.31Romania	18
5.32Russia	18
5.33Serbia.....	19
5.34Slovak Republic.....	19
5.35Slovenia.....	19
5.36Spain.....	19
5.37Sri Lanka	19
5.38Sweden.....	19
5.39Switzerland.....	19
5.40Turkey	20
5.41Uganda.....	20

5.42	United Kingdom	20
5.43	United States.....	20
6	RIA: EXISTING DATABASES (6)	21
6.1	OECD	21
6.2	New Zealand	21
6.3	European countries and EU	21
6.4	United States.....	21
6.5	Australia - Victoria.....	21
7	RIA: BRG WORLDWIDE DATABASE.....	21
8	RIA: SELECTED PAPERS (122).....	21
9	RIA: OTHER RESOURCES (15)	33
9.1	RESEARCH PROJECTS.....	33
9.2	EU-US documents.....	34

1 RIA: INTERNATIONAL GUIDANCE DOCUMENTS (18)

1.1 World Bank

- 1. PSIA User's guide**
- 2. *Analyzing the Distributional Impact of Reforms - Vol I* — A practitioner's guide to trade, monetary and exchange rate policy, utility provision, agricultural markets, land policy, and education. Download PDF, Purchase a paper copy**
- 3. *Analyzing the Distributional Impact of Reforms — Vol II* — A practitioner's guide to pension, health, labor market, public sector downsizing, indirect tax, decentralization, and macroeconomic shocks and policies tools. Access E-book, Purchase a paper copy**

1.2 DFID

- 4. *Principles for PSIA process in policy cycles* <http://www.dfid.gov.uk/mdg/aid-effectiveness/newsletters/psia-policy-cycles.pdf>**
- 5. *DFID (2005) Thoughts on a policy for Poverty Social Impact Analysis (PSIA) PAM Team. March 2005. London: DFID.***

1.3 UNDP

- 6. *Ex ante policy Impact Analysis (website)*
<http://europeandcis.undp.org/pia/info/show/FEFD2D9C-F203-1EE9-B25E007C29C57112>**

1.4 OECD

- 7. *1995: The OECD Reference Checklist for Regulatory Decision-Making***
- 8. *OECD report: "Regulatory Policies in OECD Countries: From Interventionism to Regulatory Governance, Annex II" (2002).***
- 9. *2005 OECD Guiding Principles for Regulatory Quality and Performance – 15 March 2005* These guidelines restate the basic principles of 1997, and highlight the dynamic, forward-looking process by which regulatory policies, tools and institutions are adapted for the 21st century.**
- 10. *2006 Risk and Regulation: Issues for Discussion – OECD Working Party on Regulatory Management and Reform – 24 April 2006.* This paper offers a critical overview of the main issues for policymakers considering risk regulation and identifies important areas for future improvement. It examines joint effects of simultaneous exposure to multiple risks; rapid cross-border transmission of risks; ex-ante and ex-post policy impact assessment; analysis of all the effects of risk-reduction efforts; and co-**

ordination of risk policies across agencies and governments.

11. **2007 Building a Framework for Conducting Regulatory Impact Analysis (RIA) – Tools for Policy Makers – Special Session of the OECD Working Party on Regulatory Management and Reform, May 2007.** This paper gives a comprehensive overview of the RIA concept as understood by OECD. It outlines the expected benefits from implementing RIA as well as potential obstacles; considers the necessary institutional conditions for supporting the conduct of RIA; raises issues in relation to the co-ordination and management of RIA through the establishment of an institutional framework and discusses important factors for ensuring the quality of RIA including training of practitioners, developing technical guidance and communicating outcomes to stakeholders. It provides recommendations and shows best practices based on country experiences.
12. **2008: Building an Institutional Framework for Regulatory Impact Analysis (RIA): Guidance for Policy Makers**

1.5 European Union

13. **2001 Mandelkern Group on Better Regulation, Final Report.** The Mandelkern Group on Better Regulation was a high-level advisory group consisting of regulatory experts from Member States and the European Commission, established by EU Ministers of Public Administration in November 2000. The mandate of the expert group was to take an active part in the preparation of the strategy demanded by the European Council in Lisbon. Better regulation plays a key role for the EU becoming the most competitive and dynamic knowledge-based economy in the world. The Mandelkern Report proposes an Action Plan which would contribute significantly to achieving the required improvements re better regulation on the European scene. It also recommends practices in topics applicable to both national governments and the European Commission.
14. **2005 EU Impact Assessment Guidelines.** These Guidelines contain a comprehensive overview of what Impact Assessment means within the European Union and why it is considered to be so important in the policy-making process. The document provides information on the theoretical background of the concept and practical guidance on how to actually carry out impact assessment. The Guidelines are built on the integrated concept of Impact Assessment, which argues for the relevance of examining economic, social and environmental impacts of policies and regulations. The document also contains checklists for examining the three aspects of possible impacts which can be relevant for all professionals.
15. **Annexes to the Guidelines.**
16. **IATOOLS Handbook** <http://iatools.jrc.ec.europa.eu/bin/view/IQTool/HandBook.html>
17. **IATOOLS Impact Inventory**
<http://iatools.jrc.ec.europa.eu/bin/view/IQTool/IntroImpactInventory.html>
18. **2008 Draft Revised Guidelines (consultation)**

2 RIA: NATIONAL GUIDANCE DOCUMENTS (37)

2.1 Australia

1. <http://www.finance.gov.au/obpr/proposal/ria-guidance.html> (several docs)

Australia – Victoria

2. [Victorian Guide to Regulation](#), incorporating Guidelines made under the Subordinate Legislation Act 1994, Melbourne, State of Victoria Department of Treasury and Finance (February 2005).
3. *Hints and Tips (pdf) VCEC help on how to prepare a RIS or BIA.*
4. *RIS BIA Checklist - VCEC assessment checklist for Regulatory Impact Statements and Business Impact Assessments.*
5. *Practice Notes Additional assistance for departments preparing regulatory impacts statements and business impact assessments.*

2.2 Canada

6. *Assessing, Selecting, and Implementing Instruments for Government Action*
7. *Canadian Cost-Benefit Analysis Guide: Regulatory Proposals*
8. *Guidelines for Effective Regulatory Consultations*
9. *Guidelines on International Regulatory Obligations and Cooperation*
10. *New Regulatory Impact Analysis Statement Template*
11. *Medium/high impact template*
12. *Low impact template*
13. *Frequently Asked Questions*

Canada – British Columbia

14. *Regulatory Best Practices Guide* http://www.cserv.gov.bc.ca/lgd/gov_structure/library/regulatory_best_practices_guide.pdf

Canada – Quebec

15. *Declaration of regulatory impact*
16. *Analysis of regulatory impact*
17. *Evaluation method for bills and draft regulations*
18. *La réglementation par objectifs (PDF, in French, 21 pages, 205 kbytes)*

2.3 Ireland

19. Report on the introduction of regulatory impact analysis
http://www.betterregulation.ie/attached_files/Pdfs/RIA%20english.pdf



2.4 New Zealand

20. **Policy Development Guidance Material**
Guidance to help government agencies develop policy. Includes the RIA Guidelines and the Guidelines on Assessing Policy Options.
21. **Regulatory Impact Analysis Requirements - Hints and Tips Sheet**
[Published 01 April 2007] Hints and tips on preparing Regulatory Impact Statements.
22. **Regulatory Impact Statement Template** *[Published 26 April 2007]*
RIS template in RTF which can be copied and pasted into a word processing document and filled out with the required information.
23. **Protocol between the Office of Regulation Review and the Regulatory Impact Analysis Unit** *[Published 15 September 2004]*
This document details the working arrangements between the Australian ORR and MED's Regulatory Impact Analysis Unit in relation to the assessment of RISs prepared for Ministerial Councils and standard setting bodies.

2.5 Poland

24. **Guidelines for Regulatory Impact Assessment** (download file.doc)

2.6 United Kingdom

25. Impact assessment guidance  (50KB)
26. Impact Assessment toolkit
27. Full impact assessment template  (226KB)
28. Impact Assessment training <http://www.iatraining.berr.gov.uk/>
29. Impact assessment template: some pointers for using the forms version [PDF version]
 (187KB)
30. UK Better Regulation Task Force (2005) Better Regulation – from design to delivery, Annual report 2005, at <http://www.brc.gov.uk/publications/designdelivery.asp>
31. UK Cabinet Office, Regulatory Impact Unit (January 2003) Better Policy Making: a Guide to Regulatory Impact Assessment, London
32. UK Better Regulation Task Force (March 2005) Regulation – Less is More. Reducing

Burdens, Improving Outcomes, A BRTF report to the Prime Minister, London.

UK-Scotland

33. [RIA Guidance](#)

34. [RIA Checklist](#)

2.7 United States

35. [Circular A-4, "Regulatory Analysis"](#) (September 17, 2003) (48 pages, 435 kb)

36. [M-07-24, Updated Principles for Risk Analysis](#) (September 19, 2007) (13 pages, 156 kb)

3 RIA: GUIDANCE ON PARTIAL IAS (29)

3.1 Environmental and Ecologic IA

1. Canada - The Cabinet directive on Strategic Environmental Assessment
2. <http://www.eiatookit.ewt.org.za/documents/Biodiversity/CBBIA-IAIA%20Guidance%20Document%20on%20Biodiversity,%20Impact%20Assessment%20and%20Decision%20making%20in%20SA.pdf>
3. <http://www.iaia.org/modx/assets/files/SP2.pdf>.
4. Office of the Deputy Prime Minister Environmental Impact Assessment: guide to procedures <http://www.odpm.gov.uk/index.asp?id=1143250>;
5. Note on Environmental Impact Assessment Directive for Local Planning Authorities <http://www.odpm.gov.uk/index.asp?id=11432737>;
6. Institute of Environmental Management and Assessment (2004) Guidelines for Environmental Impact Assessment. IEMA, Lincoln;
7. Department for Transport (2004) Transport Analysis Guidance (TAG) www.webtag.org.uk
8. Scottish Transport Appraisal Guidance (STAG),
9. <http://www.scotland.gov.uk/Topics/Transport/integrated-transport/stag>
10. Welsh Transport Analysis Guidance (WelTAG) (in draft)
11. Environment Agency (May 2002) Environmental Impact Assessment (EIA): A handbook for scoping projects

3.2 Equality IA

12. <http://www.londoncouncils.gov.uk/London%20Councils/Improvement%20and%20Employment/Appendix1guidanceonEIAgeneri.pdf>.

13. <http://www.idea.gov.uk/idk/core/page.do?pageId=7209653>.

3.3 Health IA

14. <http://www.who.int/hia/en/>

3.4 Poverty and Social IA

15. Ireland <http://www.socialinclusion.ie/pia.html>

16. OECD <http://www.oecd.org/dataoecd/46/39/38978856.pdf>

17. DFID <http://www.dfid.gov.uk/mdg/aid-effectiveness/newsletters/poverty-impact-assessment.pdf>

18. ADB
http://www.adb.org/Documents/Handbooks/PIA_Eco_Analysis/default.asp#contents

19. [Principles and guidelines for social impact assessment in the USA](#)

20. [New Zealand](#)

21. [Australia](#)

3.5 Privacy IA

22. UK http://www.ico.gov.uk/upload/documents/pia_handbook_html/html/1-intro.html

23. Canada <http://www.statcan.ca/english/about/pia/piapolicy.htm>

3.6 Sustainability IA

24. ftp://ftp.cordis.europa.eu/pub/sustdev/docs/environment/pub_ml_socio_eco_tools_en.pdf;

25. <http://www.unep.org/dec/onlinemanual/Compliance/NegotiatingMEAs/AssessDomesticCapabilities/Resource/tabid/610/Default.aspx>

26. <http://ec.europa.eu/trade/issues/global/sia/>

4 RIA: TRAINING RESOURCES (4)

1. IATOOLS Handbook

2. UK BERR - Impact Assessment training

3. E*RIA (Jacobs and Associates)

4. Australia, Victoria - Training Cost-benefit course and dates for RIS/BIA and SCM training

5 RIA: COUNTRY CASE STUDIES AND BEST PRACTICES (166)

5.1 International

1. *EU Directors Of Better Regulation Group (2004). A comparative analysis of regulatory impact assessment in ten EU countries. Dublin. (doc, 2MB).*
2. *Ad hoc group of experts on better regulation (2003). Report to the Ministers responsible for Public Administration in the EU member states on the progress of the implementation of the Mandelkern Report's Action Plan on Better Regulation. Athens. (pdf, 220 kb)*
3. *Jacobs, C. (2005), [The Role of Regulatory Impact Assessment in Democratisation: Selected Cases from the transition States of Central and Eastern Europe](#) –Centre on Regulation and Competition Working Paper Series, March 2005.*
4. *Staronova et al. (2007), Mapping of ex-ante Impact Assessment Tools and Experiences in Europe: a resource book for practitioners.*
5. *World Bank (2007), Poverty and Social Impact Analysis of Reforms: Lessons and Examples from Implementation – A series of case studies illustrating PSIA in agriculture, energy, utilities, social sectors, taxation, and macro-economic modeling. E-book*
6. *Proceedings of ECPRD Seminar, Tallinn 2001, Legal and Regulatory Impact Assessment of Legislation.*
7. *L'AIR in prospettiva comparata*
8. *IATOOLS: Good practice IAs since 2003 (by year)*
9. *IATOOLS: Good practice IAs (examples for each step of the IA process)*
10. *IATOOLS: Good practice IAs (examples for different aspects of stakeholder consultation)*
11. *OECD: Regulatory Impact Analysis – Best Practices in OECD Countries*
12. *OECD: country reviews*
13. *OECD: ten good practices in the design and implementation of RIA*
14. *OECD: RIA in OECD Countries. Challenges for Developing Countries*
15. *DFID Country profiles*
16. *Czech Rep, Slovenia and Slovakia (ENBR Working Paper)*

5.2 Albania

17. *UNDP: Better regulation in Albania (UNDP)*

5.3 Austria

18. [Austria](#) (ENBR Working Paper)

5.4 Belgium

19. Better regulation in Belgium
http://www.funzionepubblica.it/dipartimento/docs_pdf/Better_Regulation.pdf
20. [Cesar Cordova on Belgium](#)
21. [Belgium-Flanders](#) (ENBR Working Paper)
22. Belgium - Agence pour la simplification administrative : Rapport Annuel 2000 - 2001

5.5 Bosnia and Herzegovina

23. UNDP: Better regulation in Bosnia and Herzegovina (UNDP)

5.6 Bulgaria

24. UNDP: Better regulation in Bulgaria (UNDP)

5.7 Canada

25. Government Capacity to Assure High Quality Regulation in Canada
26. The Role of Competition Policy in Regulatory Reform in Canada
27. Enhancing Market Openness through Regulatory Reform in Canada
28. Regulatory Reform in the Telecommunications Industry in Canada

5.8 Croatia

29. UNDP: Better regulation in Croatia (UNDP)

5.9 Czech Republic

- 30. Government Capacity to Assure High Quality Regulation in the Czech Republic*
- 31. The Role of Competition Policy in Regulatory Reform in the Czech Republic*
- 32. Enhancing Market Openness through Regulatory Reform in the Czech Republic*
- 33. Regulatory Reform Electricity*
- 34. Regulatory Reform in the Telecommunications Industry in the Czech Republic*
- 35. SIGMA documentation on the Czech Republic*
- 36. UNDP: Better regulation in Czech Republic (UNDP)*

5.10 Denmark

- 37. Government Capacity to Assure High Quality Regulation in Denmark*
- 38. The Role of Competition Policy in Regulatory Reform in Denmark*
- 39. Enhancing Market Openness through Regulatory Reform in Denmark*
- 40. Regulatory Reform in the Electricity Sector in Denmark*
- 41. Regulatory Reform in the Telecommunications Industry in Denmark*

5.11 Finland

- 42. Government Capacity to Assure High Quality Regulation in Finland*
- 43. The Role of Competition Policy in Regulatory Reform in Finland*
- 44. Enhancing Market Openness through Regulatory Reform in Finland*
- 45. Marketisation of Government Services ? State-owned Enterprises in Finland*

5.12 France

- 46. Government Capacity to Assure High Quality Regulation in France*
- 47. The Role of Competition Policy in Regulatory Reform in France*
- 48. Enhancing Market Openness Through Regulatory Reform in France*
- 49. Regulatory Reform in the Civil Aviation Sector in France*
- 50. Regulatory Reform in the Telecommunications Sector in France*

5.13 Estonia

- 51. *UNDP: Better regulation in Estonia (UNDP)*
- 52. [Estonia](#) (ENBR Presentation)

5.14 Germany

- 53. *Government Capacity to Assure High Quality Regulation in Germany*
- 54. *The Role Of Competition Policy In Regulatory Reform in Germany*
- 55. *Regulatory Reform in Electricity, Gas, and Pharmacies*
- 56. *Enhancing Market Openness Through Regulatory Reform in Germany*
- 57. *Regulatory Reform in Telecommunications in Germany*

5.15 Greece

- 58. *Government Capacity to Assure High Quality Regulation in Greece*
- 59. *The Role of Competition Policy in Regulatory Reform in Greece*
- 60. *Enhancing Market Openness through Regulatory Reform in Greece*
- 61. *Regulatory Reform in Electricity*
- 62. *Regulatory Reform in the Telecommunications Industry in Greece*
- 63. [Greece](#) (ENBR Working Paper)

5.16 Hungary

- 64. *Government Capacity to Assure High Quality Regulation in Hungary*
- 65. *The Role of Competition Policy in Regulatory Reform in Hungary*
- 66. *Enhancing Market Openness through Regulatory Reform in Hungary*
- 67. *Regulatory Reform in the Electricity Sector in Hungary*
- 68. *Regulatory Reform in the Telecommunications Industry in Hungary*
- 70. *SIGMA documentation on Hungary*
- 71. *UNDP: Better regulation in Hungary (UNDP)*

5.17 Ireland

- 72. *Government Capacity to Assure High Quality Regulation in Ireland*

- 73. *The Role of Competition Policy in Regulatory Reform in Ireland*
- 74. *Enhancing Market Openness through Regulatory Reform in Ireland*
- 75. *Regulatory Reform in Electricity*
- 76. *Regulatory Reform in the Telecommunications Industry in Ireland*

5.18 Italy

- 77. *Government Capacity to Assure High Quality Regulation in Italy*
- 78. *Enhancing Market Openness through Regulatory Reform in Italy*
- 79. *Regulatory Reform in Electricity*
- 80. *Regulatory Reform in the Telecommunications Industry in Italy*

5.19 Japan

- 81. *OECD Reviews of Regulatory Reform - Regulatory Reform in Japan*
- 82. *Government Capacity to Assure High Quality Regulation in Japan*
- 83. *The Role of Competition Policy in Regulatory Reform in Japan*
- 84. *Enhancing Market Openness through Regulatory Reform in Japan*
- 85. *Regulatory Reform in the Electricity Sector in Japan*
- 86. *Regulatory Reform in the Telecommunications Industry in Japan*
- 87. *OECD Reviews of Regulatory Reform - Japan: Progress in Implementing Regulatory Reform*

5.20 Kenya

- 88. *Jacobs, Scott, Peter Ladegaard and Ben Musau (2007): [“Kenya’s Radical Licensing Reforms, 2005-2007: Design, Results, and Lessons Learned.”](#) Paper for the Africa Regional Consultative Conference “Creating Better Business Environments for Enterprise Development: African and Global Lessons for More Effective Donor Practices”. November 2007, Accra*

5.21 Korea

- 89. *Government Capacity to Assure High Quality Regulation in Korea*
- 90. *The Role of Competition Policy in Regulatory Reform in Korea*
- 91. *Enhancing Market Openness through Regulatory Reform in Korea*
- 92. *Regulatory Reform in the Electricity Sector in Korea*

93. *Regulatory Reform in the Telecommunications Industry in Korea*

5.22 Latvia

94. *UNDP: Better regulation in Latvia (UNDP)*

5.23 Lithuania

95. *UNDP: Better regulation in Lithuania (UNDP)*

96. [Lithuania](#) (ENBR Presentation)

5.24 Macedonia

97. *UNDP: Better regulation in FYR Macedonia (UNDP)*

5.25 Mexico

98. *Government capacity to assure high quality regulation in Mexico*

99. *The Role of Competition Policy in Regulatory Reform in Mexico*

100. *Enhancing Market Openness through Regulatory Reform in Mexico*

101. *Regulatory Reform in the Telecommunications Industry in Mexico*

5.26 Moldova

102. *UNDP: Better regulation in Moldova (UNDP)*

5.27 Netherlands

103. *Government Capacity to Assure High Quality Regulation in the Netherlands*

104. *The Role of Competition Policy in Regulatory Reform in the Netherlands*

105. *Enhancing Market Openness through Regulatory Reform in the Netherlands*

106. *Regulatory Reform in the Electricity Industry in the Netherlands*

107. *Regulatory Reform in the Telecommunications Industry in the Netherlands*

5.28 Norway

- 108. *Government Capacity to Assure High Quality Regulation in Norway*
- 109. *The Role of Competition Policy in Regulatory Reform in Norway*
- 110. *Enhancing Market Openness through Regulatory Reform in Norway*
- 111. *Modernising Regulators and Supervisory Agencies in Norway*
- 112. *Marketisation of Government Services - State-owned Enterprises in Norway*

5.29 Poland

- 113. *Government Capacity to Assure High Quality Regulation in Poland*
- 114. *The Role of Competition Policy in Regulatory Reform in Poland*
- 115. *Enhancing Market Openness through Regulatory Reform in Poland*
- 116. *The Postal and Energy Sectors in Poland*
- 117. *Regulatory Reform in the Telecommunications Industry in Poland*
- 118. *SIGMA documentation on Poland*
- 119. *UNDP: Better regulation in Poland (UNDP)*
- 120. [Poland](#) (ENBR Working Paper)

5.30 Portugal

- 121. [Portugal](#) (ENBR Working Paper)

5.31 Romania

- 122. *UNDP: Better regulation in Romania (UNDP)*

5.32 Russia

- 123. *Government Capacity to Produce High Quality Regulation in Russia*
- 124. *The Role of Competition Policy in Regulatory Reform in Russia*
- 125. *Enhancing Market Openness in Regulatory Reform in Russia*
- 126. *Electricity Reform in Russia*
- 127. *Regulatory Reform of Railways in Russia*

5.33 Serbia

128. *UNDP: Better regulation in Serbia (UNDP)*

5.34 Slovak Republic

129. *SIGMA documentation on the Slovak Republic*
130. *UNDP: Better regulation in Slovak Republic (UNDP)*

5.35 Slovenia

131. *UNDP: Better regulation in Slovenia (UNDP)*

5.36 Spain

132. *Government Capacity to Assure High Quality Regulation in Spain*
133. *The Role of Competition Policy in Regulatory Reform in Spain*
134. *Enhancing Market Openness through Regulatory Reform in Spain*
135. *Regulatory Reform in the Electricity Sector in Spain*
136. *Regulatory Reform in the Telecommunications Industry in Spain*

5.37 Sri Lanka

137. [*Regulatory Impact Assessment: A Tool for Improved Regulatory Governance in Sri Lanka?*](#)

5.38 Sweden

138. *Government capacity to assure high quality regulation in Sweden*
139. *The role of competition policy in regulatory reform in Sweden*
140. *Enhancing market openness through regulatory reform in Sweden*
141. *Multi-level regulatory capacity in Sweden*
142. *Regulatory reform and the environment in Sweden*

5.39 Switzerland

143. *Government Capacity to Assure High Quality Regulation in Switzerland*
144. *The Role of Competition Policy in Regulatory Reform in Switzerland*

- 145. *Enhancing Market Openness through Regulatory Reform in Switzerland*
- 146. *Regulatory Authorities for Air Transport, Railways, Telecommunications and Postal Services in Switzerland*
- 147. *Electricity Reform in Switzerland*

5.40 Turkey

- 148. *Government Capacity to Assure High Quality Regulation in Turkey*
- 149. *The Role of Competition Policy in Regulatory Reform in Turkey*
- 150. *Enhancing Market Openness through Regulatory Reform in Turkey*
- 151. *Regulatory Reform in Electricity*
- 152. *Regulatory Reform in the Telecommunications Industry in Turkey*
- 153. *SIGMA documentation on Turkey*
- 154. *UNDP: Better regulation in Turkey (UNDP)*
- 155. *Turkey presentation ([ppt](#))*

5.41 Uganda

- 156. *Welch, Darren, Bannock Consulting (2004). [Introducing Regulatory Impact Assessment \(RIA\) in Developing Countries. The Case of Uganda.](#)*

5.42 United Kingdom

- 157. *Government Capacity to Assure High Quality Regulation in the United Kingdom*
- 158. *The Role of Competition Policy in Regulatory Reform in the United Kingdom*
- 159. *Enhancing Market Openness through Regulatory Reform in the United Kingdom*
- 160. *Regulatory Reform in Gas and Electricity and the Professions in the United Kingdom*
- 161. *Regulatory Reform in the Telecommunications Industry in the United Kingdom*

5.43 United States

- 162. *Government Capacity to Assure High Quality Regulation in the United States*
- 163. *The Role of Competition Policy in Regulatory Reform in the United States*
- 164. *Enhancing Market Openness through Regulatory Reform in the United States*
- 165. *Regulatory Reform in the Electricity Industry in the United States*
- 166. *Regulatory Reform in the Telecommunications Industry in the United States*

6 RIA: EXISTING DATABASES (6)

6.1 OECD

1. *OECD Regulatory Impact Analysis (RIA) Inventory– OECD, Note by the Secretariat – 15 April 2004. This paper contains the findings of a survey of RIA systems in OECD countries, and offers an explanatory note to that survey. It compares key elements of RIA systems in the OECD countries surveyed, concluding that even if most OECD countries claim to use RIA, the quality of RIA systems is still far below expectations.*

6.2 New Zealand

2. http://www.med.govt.nz/templates/StandardSummary_____16471.aspx

6.3 European countries and EU

3. [European Commission's IAs 2003-present](#)
4. *DIADEM* www.enbr.org/diadem

6.4 United States

5. *Reg-markets RIA Database* <http://www.reg-markets.org/publications/index.php?tab=topics&topicid=56>

6.5 Australia - Victoria

6. *Regulatory Impact Statements 2004 - Present. Complete list of RISs since 2004*

7 RIA: BRG WORLDWIDE DATABASE

(TBA)

8 RIA: SELECTED PAPERS (122)

1. *What does Regulatory Impact Assessment mean in Europe? – Claudio M. Radaelli; January 2005 – JOINT CENTER – AEI – Brrokings Joint Center for Regulatory Studies This paper explains how the concept of Regulatory Impact Assessment*

has spread across Europe. It shows that even if countries have accepted the idea, the content of RIA is notably varied between national contexts.

2. *The Limits of Regulatory Reform in the EU – Frank Vibert, Institute of Economic Affairs 2006; Published by Blackwell Publishing, Oxford This paper argues that even if Regulatory Impact Assessment is a good tool for holding the regulators accountable, it is still too easy to use the RIAs to justify preconceived opinions. To achieve deregulation in the EU it is necessary to have a commitment to liberal markets and the concept of regulatory competition.*
3. *The Role of Regulatory Impact Assessment in Democratisation: Selected Cases from the transition States of Central and Eastern Europe – Dr Colin Jacobs, Centre on Regulation and Competition Working Paper Series, March 2005. This paper argues that as well as saving resources, regulatory impact assessment strengthens the credibility and transparency of democratically elected governments. This argument is bolstered by case studies from the Baltic States, Poland and Bulgaria.*
4. *Better Regulation and the Lisbon Agenda – C. M. Radaelli, Paper delivered to European Evaluation Society Conference "Evaluation in society: Critical Connections" – October 2006. This paper assesses the congruence between the initiatives for regulatory reform known as 'better regulation' and the re-formulated 'growth and jobs' Lisbon agenda of the European Union. The author that a strong fit between better regulation and Lisbon may come at the cost of narrowing the range of interested parties involved in better regulation, with potential problems for credibility and regulatory legitimacy down the road.*
5. *Data Collection for Cost Estimation in Regulatory Impact Analysis – Peter Van Humbeek; Center For Applied Studies in Law and Economics, Ghent University; Working Paper – May 2006. Data collection is considered to be the most difficult and problematic part of the Regulatory Impact Analysis process. The purpose of this working paper is to explore the data that is necessary in performing a good RIA (demand side) as well as the range of techniques and data sources that are being used in RIAs (supply side).*
6. *Regulatory Impact Assessment, Political Control and the Regulatory State – Claudio M. Radaelli and Fabrizio De Francesco; Paper delivered to the 4th General Conference of the European Consortium for Political Research, Pisa, Italy 6-8 September, 2007. This paper argues that RIA provides an excellent test for theories of political control of the bureaucracy and a litmus test for current academic debates on the nature of the regulatory state.*
7. *What Connects Regulatory Governance to Poverty? – Martin Minogue, Centre on Regulation and Competition Working Paper Series – June 2005. The paper describes the different interpretations of poverty and the interpretation of regulatory governance and examines the possible linkages between regulatory governance and poverty reduction. Relative poverty – meaning falling behind most others in the community – is often even more strengthened by restrictively market-oriented policy formulation that does not take into account the cultural context and the specific understanding and knowledge regarding the inputs and choices of affected parties.*
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policy proposals in five countries and a survey amongst government officials and stakeholders in three countries and the EU.

111. *Wilkinson, D., M. Fergusson, et al. (2004). Sustainable development in the European Commission's integrated Impact Assessments for 2003. London. (pdf, 180 kb).* This report reviews whether and how sustainable development considerations have been addressed in the extended impact assessments of European Commission proposals produced in 2003, the first year of operation of the Commission's new impact assessment system.
112. *German Federal Ministry for the Environment (2004). Workshop on "The Environmental Dimension of Impact Assessment. Berlin 17-18 June 2004. Summary of the Chairs, presented on the Council (Environment) meeting on Oct 14, 2004 by the German delegation. (pdf, 160 kb).* The paper summarises main issues and suggestions for further development of IA procedures in regards of procedural and substantial standards, to ensure a balanced consideration of environmental concern at each stage of Impact Assessment.
113. *Pope, Jenny, David Annandale and Angus Morrison-Saunders (2004) Conceptualising sustainability assessment (pdf, 290 kb).* This article seeks to provide some clarification by reflecting on the different approaches described in the literature as being forms of sustainability assessment, and evaluating them in terms of their potential contributions to sustainability. Many of these are actually examples of 'integrated assessment', derived from environmental impact assessment (EIA) and strategic environmental assessment (SEA), but which have been extended to incorporate social and economic considerations as well as environmental ones, reflecting a 'triple bottom line' (TBL) approach to sustainability. The article presents an alternative conception of sustainability assessment, with the aim of seeking to determine whether or not an initiative is actually sustainable.
114. *Söderbaum, Peter (2002) Decision Processes and Decision-making in relation to Sustainable Development and Democracy (pdf, 63 kb) Mälardalen University, Sweden* A number of approaches to decision processes and decision-making have been proposed. These include Cost-Benefit Analysis, Multi-Criteria Approaches, Environmental Impact Assessment, and Positional Analysis (as a form of Systems Approach). While these all claim to be useful in illuminating or solving specific problems related to environment and development, the meta-level question remains - how do we choose among approaches to decision-making? Is there a meta-approach to the choice among approaches? While not claiming to give the final answer, the paper tries at least to illuminate this question. Each approach is related to criteria such as theory of science, paradigm, ideology, ways of dealing with sustainable development and democracy. This information is summarized in a profile for each method. The profiles are then used to discuss the pros and cons of different methods. It is concluded that CBA does not very well match the criteria suggested while the three other methods, each have something to offer.
115. *From Precautionary Principle to (Regulatory) Impact Analysis (pdf, 355 kb) by Ragnar E. Löfstedt (2004), King's Centre for Risk Management, International Policy Institute, King's College London.* Regulation in Europe is currently driven by competitiveness, sustainable development and governance. To ensure better regulation, two regulatory philosophies have been put forward, namely the precautionary principle and impact assessment. The paper describes the current drivers of better regulation and examines the use of the two regulatory philosophies in helping to achieve better regulation. It is questioned if elements of the Commission and the EU member states are going to operate in an even more precautionary environment in the future, or will if the implementation of the precautionary principle be seen as too costly, forcing regulators to resort to an even greater use of impact analysis.

116. *Claudio M. Radaelli (2004) Getting to Grips with Quality in the Diffusion of Regulatory Impact Assessment in Europe (pdf, 437 kb)*. 'Quality' features in all initiatives for better regulation launched by the OECD and the European Union. Yet policy-makers who have tried to import regulatory impact assessment (RIA) from its original Anglo-Saxon context to other European contexts have found it difficult to scratch below the surface of new public management rhetoric and implement successful RIA programmes. One reason for that is that the notions of quality that circulate in the current debate are insensitive to context. This article shows that quality is intrinsically linked to context, and why assessing context will improve the chances of getting significant results in RIA.
117. *Winston Harrington and Richard D. Morgenstern (2004) Evaluating Regulatory Impact Analyses (pdf, 326 kb)*. Federal agencies in the United States are required to prepare regulatory impact analyses (RIAs) for every major regulatory action they undertake. Increasingly, other OECD countries are imposing similar requirements. However, there has been little examination of the quality of these documents or of the uses to which they have been put in the regulatory process or elsewhere. In this paper previous efforts to evaluate RIAs are surveyed.
118. *European Policy Centre (2001). Regulatory impact analysis: Improving the quality of EU regulatory activity. Occasional Paper. Brussels. (pdf, 100 kb)* This report identifies emerging trends and best practices in RIA systems in leading industrialised countries. It then compares and contrasts the status of RIA at the EU level with those best practices. The paper finally makes recommendations for a new improved RIA system in the European Union.
119. *Soederbaum, P. (2004). "Decision processes and decision-making in relation to sustainable development and democracy - where do we stand?" Journal-of-interdisciplinary-economics 15(1): 41-60.*
120. *Jacob, Klaus et al. (2004). Ex-ante sustainability appraisal of national-level policies: A comparative study of assessment practice in seven countries. Conference Paper. Berlin. (pdf, 180 kb)*. This paper reviews the procedures for sustainability appraisal of generic policies through seven qualitative case studies: the United States, the European Union, Britain, Canada, Australia, Italy, and the Netherlands.
121. *Colin Kirkpatrick, David Parker, and Yin-Fang Zhang, (2004): Regulatory Impact Assessment in Developing and Transition Economies: A Survey of Current Practice Centre on Regulation and Competition Working Paper Series 83.* Colin Kirkpatrick and David Parker (2004): Regulatory Impact Assessment: Developing its Potential for Use in Developing Countries Centre on Regulation and Competition Working Paper Series 56.
122. *Colin Kirkpatrick and David Parker (2004): Regulatory Impact Assessment and Regulatory Governance in Developing Countries(pdf, 103 kb) Copyright # 2004 John Wiley & Sons, Ltd.* The purpose of this article is to assess the contribution that RIA can make to 'better regulation' in developing countries. Results from a survey of a small number of middle-income countries suggest that a number of developing countries apply some form of regulatory assessment, but that the methods adopted are partial in their application and are certainly not systematically applied across government. The article discusses the capacity building requirements for the adoption of RIA in developing countries, in terms of regulatory assessment skills, including data collection methods and public consultation practices. The article also proposes a framework for RIA that can be applied in low and middle-income countries to improve regulatory decision-making and outcomes.
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9 RIA: OTHER RESOURCES (15)

9.1 RESEARCH PROJECTS

1. *EVIA - Evaluating Integrated Impact Assessment*
2. *European Network on Better Regulation*
3. *Sustainability A-Test - Advanced Techniques for the Evaluation of Sustainability Assessment Tools*
4. *MATISSE: Methods and Tools for Integrated Sustainability Assessment*
5. *SENSOR:Sustainability Impact Assessment: Tools for Environmental, Social and Economic Effects of Multifunctional Land Use in European Regions EU FP6 Integrated Project*
6. *INSURE - Flexible Framework for Indicators for Sustainability in Regions using Systems Dynamics*
7. *SEAMLESS: System for Environmental and Agricultural Modeling; Linking European Science and Society*
8. *KASSA: Knowledge Assessment and Sharing on Sustainable Agriculture*
9. *EASY-ECO 2005-2007 is a training and conference programme on evaluations in the specific context of sustainable development*
10. *NATURNET-REDIME New Education and Decision Support Model for Active Behaviour in Sustainable Development Based on Innovative Web Services and Qualitative Reasoning*
11. *MethodsEx: Methods and data on environmental and health externalities: harmonising and sharing of operational estimates*

12. *Indicators of Regulatory Quality*

13. *Sustainability Impact Assessment of Strategies Integrating Transport, Technology and Energy Scenarios*

9.2 EU-US documents

14. *http://ec.europa.eu/enterprise/enterprise_policy/competitiveness/doc/us_com_guidelines_iapaper_eco_reform_paper_n3_020507.pdf*

15. *Joint report on impacts on trade and investment in EU and US impact assessment guidelines*