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**The Evaluation Partnership**



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**Evaluation of the Commission's  
Impact Assessment System**

**ANNEXES TO THE FINAL REPORT**

*April 2007*

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# Evaluation of the Commission's Impact Assessment System

Contract Number SG-02/2006

ANNEXES TO THE FINAL REPORT

*Submitted to:*

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## 1 EVALUATION QUESTION MATRIX

The following is the matrix of evaluation questions and their corresponding judgment criteria, indicators and data collection tools. This matrix was developed during the inception phase of the evaluation to structure the data collection and analysis, and to show how each question would be answered.

In the final phase of the evaluation, the matrix was used to develop the findings and conclusions for each of the 31 evaluation questions. In doing so, the evaluation team drew on the data collected through the tools listed, and used it to assess the respective indicators. For the majority of the evaluation questions, findings are presented for each judgment criterion. Please note, however, that in a few cases the structure of the findings was changed for the sake of readability and coherence. Where this was the case, this did not mean the matrix was not used, rather, all indicators were analysed using the corresponding data, and only where the presentation of all judgment criteria would have complicated the understanding of the key points were they re-arranged or summarised under new headings.

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
<b>1.a) General approach</b>			
1. Is the <b>current application</b> of the impact assessment system to all items in the Commission's Legislative and Work Programme <b>sufficient</b> to ensure that the legislative and political proposals having potentially the most significant impacts (economic, social, and environmental) are covered by proportionate impact assessments? What <b>other criteria</b> could be applied for determining if/what other proposals (such as comitology decisions ...) should be subject to an impact assessment?	Instances where proposals with potentially significant impacts were not subject to an IA.	Commission staff's level of satisfaction with the current criteria for the application of the IA system.	<b>EU Interview Programme I:</b> - Views of Commission officials in IA units <b>EC officials' survey:</b> - Officials' views of current scope of application (Part I - C – 1) <b>Interviews in the context of IA Quality Assessments:</b> - Officials' views of scope of application (question 14)
		Types of proposals that Commission staff and stakeholders feel should have been subject to an IA.	<b>Information Request:</b> - DG & SG IA Units (Part I – F1) - CLWP circulars <b>EU Interview Programme:</b> - Proposals cited by Commission officials, EP and Council representatives <b>Document review:</b> - Proposals cited in external reports, position papers etc.
		Approximate magnitude of the likely impacts of selected proposals that were not subject to an IA (in comparison with others that were subject to an IA).	<b>Information Request:</b> - Impact screening of selected proposals that did not undergo a Commission IA. (Part I – F1) <b>IA Quality Assessments:</b> - Examples of IAs carried out for proposals included in the CLWP with no or little significant anticipated impacts (criteria 4-11)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
	Usefulness of criteria currently applied by Commission services to determine whether proposals are subject to an IA.	Criteria applied by DGs that differ from the general Commission criteria.	<b>Information Request:</b> - DG internal IA guidelines and manuals (Part I – B1-3)
	Potential usefulness of other criteria that could be applied to determine what proposals should be subject to an IA.	Degree to which differing criteria applied by DGs are clear and cover the proposals with the most significant likely impacts.	<b>EU Interview Programme I &amp; II:</b> - Views of Commission officials in IA units <b>Evaluators' assessment of clarity and effectiveness of criteria</b>
		Other criteria (including those applied in other IA systems) to determine which proposals should be subject to an IA.	<b>EU Document Review:</b> - Criteria proposed in EU and external reports (e.g.: EAI 2006: Getting Proportions Right) <b>Comparison with other IA systems:</b> - Review of other IA system guidelines and comparative reports (e.g.: Commission working paper: Comparison of US and EC guidelines on RIA) <b>EU Interview Programme:</b> - Views of Commission officials in IA units, senior managers, EP and Council
	Degree to which other criteria are relevant and can be applied in the Commission context.	<b>EU Interview Programme II:</b> - Views of Commission officials in IA units, senior managers, EP and Council <b>Evaluators' assessment of different options</b>	
2. What <b>criteria</b> do Commission services apply to determine the “ <b>proportionality</b> ” of an impact assessment? What other criteria could be applied?	Criteria used by DGs to interpret the principle of “proportionate analysis”, and their practical implications.	Criteria defined formally by different DGs in their written materials on IAs.	<b>EU Interview Programme I:</b> - Views of Commission officials in IA units <b>Information Request:</b> - DG IA guidelines (Part I – B1- 3) - QA Reports from DGs (Part I - D1-4)
		Criteria used informally in different DGs (e.g. ad hoc guidance by IA support units, interpretations by officials working on IAs).	<b>EC officials' survey:</b> - Officials views of clarity of “proportionality” (Part I -C - 2) <b>Interviews in the context of IA Quality Assessments:</b> - Officials' views of the interpretation of proportionality (question 15) <b>Case Studies (interviews with contributors)</b> - Criteria applied in individual IAs (question 15)
	Usefulness of currently applied or other criteria to determine the proportionality of an IA.	Degree to which stakeholders and users agree that IAs were proportionate / examined the most relevant policy options and were balanced.	<b>Stakeholder Consultation:</b> - Responses to questions 7, 9 <b>Case Studies: (interviews with stakeholders, users)</b> - Stakeholders' views of proportionality (question 9) - EP / Council views of proportionality (question 2)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
		Other criteria that could be applied to determine the proportionality of an IA.	<b>Comparison with other IA systems(if appropriate):</b> <ul style="list-style-type: none"> <li>- Review of other IA system guidelines and comparative reports (e.g.: OECD RIA Inventory; EC WP: Comparison of US and EC guidelines on RIA)</li> <li>- RIA evaluation reports (e.g. NZ's evaluation of RIA)</li> </ul> <b>Case Studies: (interviews with contributors, stakeholders, users)</b> <ul style="list-style-type: none"> <li>- EC officials' suggestions for criteria (question 15)</li> <li>- Stakeholders' suggestions (question 8)</li> <li>- EP / Council suggestions (question 2)</li> </ul>
		Suitability of different criteria that are/could be applied (e.g. clarity, consistency, implications for the depth and scope of IA work).	<b>EU Interview Programme II:</b> <ul style="list-style-type: none"> <li>- Views of Commission officials in IA units, senior managers, EP and Council</li> </ul> <b>Evaluators' assessment of different options (options analysis)</b>
3. Is the <b>timing</b> of impact assessments as foreseen in the Commission's SPP cycle and the Impact Assessment Guidelines <b>appropriate</b> for meeting the objectives of the impact assessment system, e.g. also in relation to facilitating sufficient inter-service contact and consultation?	Extent to which the timing of IA work complied with the rules foreseen in the Commission's SPP cycle and the IA Guidelines.	Level of compliance of individual IAs with IA Guidelines' rules on development of roadmaps (in terms of timeliness and content).	<b>IA Quality Assessments:</b> <ul style="list-style-type: none"> <li>- Timing and content of roadmaps, proposal's appearance in APS and CLWP (criterion 16)</li> </ul>
		Duration and timing of IAs.	<b>IA Quality Assessments:</b> <ul style="list-style-type: none"> <li>- Duration of individual IAs (criterion 17)</li> </ul>
	Extent to which IA work took place too late (or too early) to allow for a meaningful examination of different relevant options.	Degree to which individual IAs fail to seriously examine any viable alternative options because of timing.	<b>Case Studies (interviews with contributors):</b> <ul style="list-style-type: none"> <li>- Appropriateness of the timing of individual IAs (question 4)</li> </ul>
		Commission officials' views and experiences of how timing affects the examination of relevant options.	<b>EU Interview Programme I:</b> <ul style="list-style-type: none"> <li>- Views of Commission officials in IA units</li> </ul> <b>EC officials' survey:</b> <ul style="list-style-type: none"> <li>- Officials' views of how timing facilitates appropriate input (Part I - D – 1,2)</li> </ul> <b>Information Request:</b> <ul style="list-style-type: none"> <li>- Questions relating to timing addressed to IA Working Group (Part II – A)</li> </ul> <b>Interviews in the context of IA Quality Assessments:</b> <ul style="list-style-type: none"> <li>- Officials' views of timing (question 16)</li> </ul>
	Extent to which IA work took place too late (or too early) for other interested services to provide relevant input into the process.	Degree to which individual IAs only involved other services at a time when it was too late for them to have an influence on key points of the IA work.	<b>Case Studies (interviews with contributors):</b> <ul style="list-style-type: none"> <li>- Appropriateness of the timing of individual IAs (question 4)</li> </ul>

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
		Commission officials' views and experiences of how timing affects inter-service contact and consultation.	<p><b>Information Request:</b></p> <ul style="list-style-type: none"> <li>- Questions relating to timing addressed to IA Working Group (Part II – A)</li> </ul> <p><b>EC officials' survey:</b></p> <ul style="list-style-type: none"> <li>- Officials' views of how timing facilitates contact and consultation (Part I - D – 1,2 and E1 – 2/ E2 -1)</li> </ul> <p><b>Interviews in the context of IA Quality Assessments:</b></p> <ul style="list-style-type: none"> <li>- Officials' views of timing (question 16)</li> </ul>
	Existence of other approaches to the timing of IAs, and their practical implications with a view to meeting the above objectives.	Approaches to timing of IA work in different DGs and in other IA systems.	<p><b>EU Interview Programme I:</b></p> <ul style="list-style-type: none"> <li>- Views of Commission officials in IA units</li> </ul> <p><b>Comparison with other IA systems:</b></p> <ul style="list-style-type: none"> <li>- Review of other IA system guidelines and comparative reports</li> </ul> <p><b>Information Request:</b></p> <ul style="list-style-type: none"> <li>- DG guidelines (DG SANCO Scoping Paper/ Part I – B1-4)</li> </ul>
		Degree to which there is agreement whether IAs should be carried out even before they are in the CLWP.	<p><b>Information Request:</b></p> <ul style="list-style-type: none"> <li>- Views of Commission officials in IA units (Part II – A)</li> </ul> <p><b>Case Studies (interviews with contributors):</b></p> <ul style="list-style-type: none"> <li>- Timing of individual IAs (question 4)</li> </ul> <p><b>Evaluators' assessment of whether earlier timing would be feasible.</b></p>
		Pros and cons of different approaches to timing with a view to their capacity to address the problems identified.	<p><b>EU Interview Programme II:</b></p> <ul style="list-style-type: none"> <li>- Views of Commission officials in IA units, senior managers (questions XX)</li> </ul> <p><b>Evaluators' assessment of different options</b></p>
4. To what extent are <b>impact assessments and ex-ante evaluations</b> , as required by the Financial Regulation and the Commission Communication on evaluation, <b>complementary</b> to each other? Could both processes be organised differently, –e.g. by clarifying the demarcation line between the two instruments or by merging them-, so as to facilitate their implementation? What role can ex-post evaluations play in this context?	Level of complementarity between ex-ante evaluations and IA in theory and in practice.	Clarity of the demarcation line and different uses of IA and ex-ante evaluation as per the guidelines.	<p><b>EU document review:</b></p> <ul style="list-style-type: none"> <li>- Compare guidance docs (DG BUDG guide on ex-ante evaluation)</li> </ul> <p><b>Information Request:</b></p> <ul style="list-style-type: none"> <li>- Specific response from BUDG Unit B.3 on compliance check for ex-ante evaluations and how they are covered in IAs. (To be done separately)</li> </ul>
		Extent to which Commission officials understand the demarcation line and different uses of IA and ex-ante evaluation.	<p><b>EC officials' survey:</b></p> <ul style="list-style-type: none"> <li>- Officials views of complementarity of IA and ex ante evaluation (question C – 4)</li> </ul> <p><b>Interviews in the context of IA Quality Assessments:</b></p> <ul style="list-style-type: none"> <li>- Officials' view of ex ante evaluation and IA (question 18)</li> </ul> <p><b>Document Review:</b></p> <ul style="list-style-type: none"> <li>- Compare guidance docs (e.g. DG BUDG guide on ex-ante evaluation)</li> </ul>

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
		Instances where ex-ante evaluations led to complications or complementarities in individual IA processes.	<b>IA case studies</b> (interviews with contributors): - Question 23
	Existence of more effective ways of organising IAs and ex ante evaluations differently so as to facilitate their implementation.	Possible alternative ways of organising IAs and ex-ante evaluations.	<b>Interviews in the context of IA Quality Assessments:</b> - Officials' view of ex ante evaluation and IA (question 18) <b>IA case studies</b> (interviews with contributors): - Questions 22 <b>EU Interview Programme I&amp;II:</b> - Views of Commission in IA units
		Pros and cons of different ways of organising IAs and ex-ante evaluations with a view to facilitating their implementation.	<b>EU Interview Programme I&amp;II:</b> - Views of Commission in IA units (questions XX)
	Extent to which the results of ex-post evaluations are / can be appropriately fed into IAs / ex-ante evaluations.	Degree to and forms in which ex-post evaluations have been used in IAs.	<b>EU Document Review:</b> - Examine Annual evaluation reviews (DG BUDG 2005) <b>IA Quality Assessments:</b> - Ex post evaluation results used in individual IAs (criterion 18) <b>Case Studies</b> (interviews with contributors): - Use of evaluation results in individual IAs (question 12) <b>EU Interview Programme I&amp;II:</b> - Views of Commission in IA units
5. Is the <b>approach</b> for impact assessments as foreseen in the Impact Assessment Guidelines <b>balanced</b> across the economic, social and environmental pillars and consistent in view of the Commission's revised Lisbon and Sustainable Development Strategies and its 5-year strategic objectives? Are the <b>appropriate tools</b> in place to assess impacts across the three pillars?	Appropriateness of the Guidelines' approach to assessing <i>economic</i> impacts, and tools in place.	Extent to which the approach and tools contained in the Guidelines for assessing economic impacts are suitable (in light of the experience of individual IAs).	<b>EU Document Review:</b> - IA Guidelines and Annexes <b>IA Quality Assessments (and Case Studies):</b> - Existence and deficiencies of approach/tools that may have surfaced in individual IAs (criterion 4)
		Commission officials' and stakeholders' level of agreement that the approach should be refined to facilitate a more in-depth analysis of economic impacts.	<b>Stakeholder Consultation:</b> - Responses to question 19 <b>EC officials' survey:</b> - Question (Part I – A - 5)
	Appropriateness of the Guidelines' approach to assessing <i>social</i> impacts, and tools in place.	Extent to which the approach and tools contained in the Guidelines for assessing social impacts are suitable (in light of the experience of individual IAs).	<b>EU Document Review:</b> - IA Guidelines and Annexes <b>IA Quality Assessments (and Case Studies):</b> - Existence and deficiencies of approach/tools that may have surfaced in individual IAs (criterion 6)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
		Commission officials' and stakeholders' level of agreement that the approach should be refined to facilitate a more in-depth analysis of social impacts.	<b>Stakeholder Consultation:</b> - Responses to question 21 <b>EC officials' survey:</b> - Question (Part I – A 6)
	Appropriateness of the Guidelines' approach to assessing <i>environmental</i> impacts, and tools in place.	Extent to which the approach and tools contained in the Guidelines for assessing environmental impacts are suitable (in light of the experience of individual IAs).	<b>EU Document Review:</b> - IA Guidelines and Annexes <b>IA Quality Assessments (and Case Studies):</b> - Existence and deficiencies of approach/tools that may have surfaced in individual IAs (criterion 5)
		Commission officials' and stakeholders' level of agreement that the approach should be refined to facilitate a more in-depth analysis of environmental impacts.	<b>Stakeholder Consultation:</b> - Responses to question 20 <b>EC officials' survey:</b> - Question (Part I – A 7)
Degree of balance or imbalance of the approaches and tools across the 3 pillars in view of the revised Lisbon and Sustainable Development Strategies.		Differences in the number and type of provisions and tools for analysis of impact in the three pillars.	<b>EU Document Review:</b> - Review of tools/provisions in IA Guidelines and Annexes
		Comparison of appropriateness of approaches/tools for assessing impacts in any of the 3 pillars.	<b>EU Document Review:</b> - Revised Lisbon and SD Strategies <b>EC officials' survey:</b> - Officials' views of balance of approach (Part I – A-5) - Officials' views of appropriateness of tools (Part I – A-1-3) <b>Interviews in the context of IA Quality Assessments:</b> - Officials' views of balanced approach and tools (question 19) <b>Case Studies (interviews with contributors):</b> - Officials' views of approach and tools (question 14) <b>Evaluators' assessment of the judgment on the previous 3 criteria</b>
		Commission officials' and stakeholders' level of agreement that the Commission's approach to IAs is balanced.	<b>Stakeholder Consultation:</b> - Responses to question 18 <b>EC officials' survey:</b> - Question (Part I - A 4)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
		Commission officials' and stakeholders' level of agreement that the IA system contributes to achieving the objectives of "sustainable development" and "competitiveness".	<b>Stakeholder Consultation:</b> - Responses to questions 26 & 27 <b>EC officials' survey:</b> - Question (Part I - F-4-6)
6. Do the impact assessment system and in particular the preparation of roadmaps contribute to <b>increased transparency and better planning</b> in the legislative and policy cycle <b>within the Commission</b> ? What further steps could be taken?	Extent to which the IA system, in particular the roadmaps, increase transparency and facilitate better planning within the Commission.	Commission officials' views and experiences as to whether the IA system has enhanced their ability to find out about, follow and, where appropriate, influence other DGs' proposals.	<b>EU Interview Programme I:</b> - Views of Commission staff in IA units <b>Interviews in the context of IA Quality Assessments:</b> - Officials' views of the IA system's contribution to transparency and planning (question 17) <b>Information Request:</b> - Questions relating to planning and coordination addressed to IA Working Group (Part II – B) <b>EC officials' survey:</b> - Officials' views of contribution to transparency and planning (Part I – E1-2/E2-3 - F – 2,3)
		Degree to which more transparency and better planning were achieved during individual IA processes.	<b>IA Quality Assessments:</b> - Relevance of the information in individual roadmaps for transparency and planning (criterion 16) <b>Case Studies (interviews with contributors):</b> - Effect on transparency and planning of individual IAs (question 3) <b>EU Document Review:</b> - Changes in the number and precision of items in the APS in recent years
	Existence of ways in which the system could be further improved to increase transparency and planning within the legislative and policy cycle.	Ways of addressing deficiencies identified in individual IAs or at the system level.	<b>EU Interview Programme II:</b> - Views of Commission officials in IA units and senior managers <b>Comparison with other IA systems:</b> - Review of other IA system (e.g.: EC WP: Comparison of US and EC guidelines on RIA) <b>Evaluators' assessment of different options</b>
7. Is the impact assessment system <b>sufficiently open and transparent</b> relative to interested parties <b>outside the Commission</b> ? Has the preparation of roadmaps	Level of transparency of the IA system to interested parties outside the Commission (including the contribution of roadmaps).	Degree to which external stakeholders are able to follow and understand the IA system and individual IA processes.	<b>Stakeholder Consultation:</b> - Responses to question 16 <b>Case Studies (interviews with stakeholders and users)</b> - Stakeholders' views of transparency of individual IAs (Question 2) - EP/Council views of transparency of individual IAs (Question 8)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
contributed to openness and transparency externally? Should additional measures be taken in this regard and if yes what would the pros and cons of such measures be?		Degree to which IAs help the Commission to explain why an action is necessary and that the proposed response is an appropriate choice.	<b>Stakeholder Consultation:</b> - Responses to question 13 <b>EC officials' survey:</b> - Officials' views of how IA system helps explain EC actions and their appropriateness (Part I - F – 3/ G1,2) <b>EU Interview Programme II:</b> - EP/Council views and experiences
	Level of openness of the IA system to interested parties outside the Commission (including the contribution of roadmaps).	Degree to which the IA system provides interested parties adequate opportunities to provide relevant opinions and information.	<b>IA Screening:</b> - Number of IAs with open / targeted stakeholder consultation (criterion 10) <b>Stakeholder Consultation:</b> - Responses to questions 1 - 4 <b>Case Studies (interviews with stakeholders and users)</b> - Stakeholders' views of openness of individual IAs (Question 3) - EP / Council views of openness of individual IAs (Question 9)
		Degree to which the contributions of stakeholders are reflected in individual IAs.	<b>Stakeholder Consultation:</b> - Responses to question 5 <b>IA Quality Assessments:</b> - Way in which consultation results are presented in IA reports (criterion 19)
	Measures to further enhance the openness and transparency of the IA system.	Measures to make the IA system easier to follow, understand and provide input for parties outside the Commission.	<b>Stakeholder Consultation:</b> - Responses to open question (Part I.B) - Input from ETI consultation. <b>Case Studies (interviews with stakeholders and users):</b> - Stakeholder suggestions (question 4) - EP / Council suggestions (question 10) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units, senior managers, EP and Council (questions XX) <b>Comparison with other IA systems:</b> - Review of other IA system (e.g.: OECD Guiding Principles for Regulatory Quality and Performance) <b>Evaluators' assessment of different options</b>
<b>1.b) Support structures and tapping of experience</b>			
<b>8. Have the inter-service steering groups fulfilled their</b>	Extent to which ISSGs (taking into account its composition) were set	Number of IAs with ISSGs and evolution over time.	<b>IA Screening:</b> - Number of IAs for which an ISSG was set up (criterion 8)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
<p><b>objective</b> of ensuring balanced and integrated impact assessments of adequate quality? Can criteria and/or measures be identified (e.g. in relation to its composition and/or timing of its work) which would facilitate achieving the steering groups' objectives?</p>	up for IAs.	Composition of ISSGs (number of DGs), and role/ timing of ISSGs during IA.	<p><b>IA Quality Assessments:</b></p> <ul style="list-style-type: none"> <li>- Composition, timing, mandate, role of the ISSG (criterion 20)</li> </ul>
	Extent to which ISSGs have ensured balanced and integrated IAs of adequate quality.	Views and experiences of ISSG chairs (from lead DG) in individual IAs.	<p><b>EC official's survey:</b></p> <ul style="list-style-type: none"> <li>- Questions regarding functioning of ISSG (Part I E-1)</li> </ul> <p><b>IA Quality Assessments:</b></p> <ul style="list-style-type: none"> <li>- Role of the ISSG (criterion 20)</li> </ul> <p><b>Case Studies (interviews with contributors):</b></p> <ul style="list-style-type: none"> <li>- Role and added value of the ISSG (question 8)</li> </ul>
		Views and experiences of ISSG members (from other DGs) in individual IAs.	<p><b>EC official's survey:</b></p> <ul style="list-style-type: none"> <li>- Questions regarding functioning of ISSG (Part I E-2)</li> </ul> <p><b>Case Studies (interviews with contributors):</b></p> <ul style="list-style-type: none"> <li>- Role and added value of the ISSG (question 8)</li> </ul>
	Existence of criteria or measures to facilitate achieving the ISSGs' objectives.	Criteria used to select ISSG members (as stated in guidelines, as undertaken during IAs).	<p><b>EU Document Review:</b></p> <ul style="list-style-type: none"> <li>- Review of Guidelines/DG Guidelines</li> <li>- ISSG reports/mandate</li> </ul> <p><b>Case Studies:</b></p> <ul style="list-style-type: none"> <li>- Rationale for composition of ISSGs (question 8)</li> </ul> <p><b>EU Interview Programme II:</b></p> <ul style="list-style-type: none"> <li>- Views of Commission officials in IA units</li> </ul>
		Difference in depth and scope of the analysis / balance of options / impacts in relation to ISSG composition, timing and involvement.	<p><b>Case Studies (interviews with contributors):</b></p> <ul style="list-style-type: none"> <li>- Role and functioning of ISSGs in individual IAs (question 8)</li> </ul> <p><b>EU Interview Programme II:</b></p> <ul style="list-style-type: none"> <li>- Views of Commission officials in IA units</li> </ul>
<p>9. Do the revised internal Commission <b>Guidelines serve the needs of Commission officials</b> involved in impact assessment work in terms of substance and presentation?</p>	Extent to which the <u>substance</u> of the revised Commission Guidelines serves the needs of operational units involved in IAs.	Degree to which staff are familiar with the IA Guidelines.	<p><b>EC official's survey:</b></p> <ul style="list-style-type: none"> <li>- Question regarding familiarity with new IA Guidelines (Part I - A – 1)</li> </ul>
EC officials' level of agreement with and their views and experiences of the usefulness of Commission Guidelines in terms of substance.		<p><b>EC officials' survey:</b></p> <ul style="list-style-type: none"> <li>- Extent to which substance meets officials' needs (Part I A – 2)</li> </ul> <p><b>Case Studies (interviews with contributors):</b></p> <ul style="list-style-type: none"> <li>- IA Guidelines' substance meets needs? (question 13)</li> </ul> <p><b>Interviews in the context of IA Quality Assessments:</b></p> <ul style="list-style-type: none"> <li>- Officials' views of usefulness of Guidelines' content (question 20)</li> </ul>	

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
	Extent to which the <u>presentation</u> of the revised Commission Guidelines serves the needs of operational units involved in IAs.	Presentation of revised Commission IA Guidelines, and differences with old Guidelines and existing DG guidelines (i.e. design, structure, writing style, etc.).	<b>EU Document Review:</b> - Review of new/old EC Guidelines <b>Information Request:</b> - DG IA Guidelines / manuals (Part I – B 1-3)
		EC officials' level of agreement with and their views and experiences of the usefulness of Commission Guidelines in regards to presentation.	<b>EC officials' survey:</b> - Extent to which presentation meets officials' needs (Part I - A – 3) <b>Interviews in the context of IA Quality Assessments:</b> - Officials' views of usefulness of Guidelines' content (question 20) <b>Case Studies (interviews with contributors):</b> - IA Guidelines presentation meets needs? (question 13)
10. Is the <b>training and support system</b> –at central and at DG level- appropriate and conducive to producing impact assessments of adequate quality? Is there a need to improve these provisions? If yes, how could this be done?	Appropriateness and conduciveness to high-quality IAs of <u>training</u> at central (SecGen) and DG level.	Training opportunities provided at central and DG level, and differences between them (variation of training objectives, attendee numbers and training materials) as well as their level of complementarity.	<b>Information Request:</b> - SG Training Questionnaire (results) (Part I – C 1-4) - Training Materials (Part I – C 5-7) <b>EC officials' survey:</b> - Officials' views of adequacy of training (Part I - B – 1, 2)
		Commission officials' level of agreement, views and experiences regarding the adequacy of training.	<b>EC officials' survey:</b> - Officials' views of adequacy of training (Part I - B – 1, 2) <b>Interviews in the context of IA Quality Assessments:</b> - Officials' views of appropriateness of training (question 21) <b>Case Studies (interviews with contributors):</b> - Role of training in individual IAs (Question 19)
	Appropriateness and conduciveness to high-quality IAs of <u>support system</u> at central (SecGen) and DG level.	Level of human resources available in existing support mechanisms and extent to which the mechanisms are complementary.	<b>IA Quality Assessments:</b> - Support by DGs and SG to individual IAs (criterion 20) <b>Information Request:</b> - DG guidelines and support mechanisms/activities. (Part I – E) - Human resources allocated to support. (Part I - E)
		Commission officials' level of agreement, views and experiences regarding the adequacy of support for IAs from the SecGen and DG IA support units.	<b>EC officials' survey:</b> - Officials' views of adequacy of support (Part I - B – 3,4) <b>Case Studies (interviews with contributors):</b> - Role of support in individual IAs (Question 19)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
	Existence of areas with a need for improvement in training and support, and mechanisms of achieving this.	Deficiencies in training and support, lack of synergies.	<b>Case Studies (interviews with contributors):</b> - Areas for improvement of training and support (question 19) <b>Document Analysis:</b> - Research on other IO Training procedures (documents) - Training documents <b>EU Interview Programme II:</b> - Views of Commission officials in IA units
11. To what extent have parts of the impact assessment work been <b>externalised</b> and how has the <b>interaction between internal and external work</b> been organised? How have such external studies added value to and/or complemented internal impact assessment work? What type of expertise has been externalised?	Level of externalisation of parts of IA work, and type of expertise used.	Proportion of IAs that used external expertise, part of the IA work that was externalised, and types of external expertise used.	<b>IA Screening:</b> - Number of IAs that used external expertise (criterion 9) <b>IA Quality Assessments:</b> - Type of work externalised (criterion 18)
	Organisation of the interaction between internal and external IA work.	Commission officials' views and experiences of the organisation and timing of internal and external work.	<b>IA Quality Assessments:</b> - Organisation and timing of external work (criterion 18) - Review of external work (including quality grids) <b>Information Request:</b> - Question related to external work (Part II – C) <b>Case Studies (interviews with contributors):</b> - Organisation of external work (question 9)
	Extent to which external work has added value to / complemented the internal IA work.	Commission officials' views and experiences of the degree to which external work has added value.	<b>IA Quality Assessments:</b> - Added value of external work (criterion 18) <b>Case Studies (interviews with contributors):</b> - Added value of external work (question 9)
		Degree to which IAs reflect the externalised work.	<b>IA Quality Assessments:</b> - Reflection of external work in IA report (criterion 18)
<b>1.c) Central overview of the system implementation</b>			
12. Are <b>arrangements</b> at central and at DG level adequate for the <b>consistent implementation of the impact assessment guidelines</b> and the <b>quality control</b> for impact assessments across the Commission services? What other provisions could improve the co-ordination and quality control for impact	Adequacy of arrangements at central level for the consistent implementation of the IA Guidelines and quality control of IAs.	Level to which SecGen issues unfavourable opinions/ suspends the ISC due to questions of IA quality.	<b>Information Request:</b> - Question related to implementation (Part II – E) (For SecGen specifically question about opinions and review of reasons, including whether other DGs have had concerns.)
		Commission officials', EP and Council views and experiences regarding central level arrangements for implementation of Guidelines and quality control.	<b>Case Studies (interviews with contributors and users):</b> - Arrangements at central level used in individual IAs (Question 20) - EP / Council views of quality control (Question 8) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
assessments?	Adequacy of arrangements at DG level for the consistent implementation of the IA Guidelines and quality control of IAs.	Degree to which DGs guidelines/provisions are consistent with Commission guidelines, and influence on IA (selected 20 IAs).	<b>Information Request:</b> - Guidelines in place (SG and DGs) (Part I – B 1-4) <b>Case Studies (interviews with contributors):</b> - Arrangements at DG level used in individual IAs (Question 20) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units
		Degree to which DGs have QA guidelines/ criteria, variance across DGs.	<b>Information Request:</b> - Guidelines in place (SG and DGs) (Part I – B 1-4) <b>Case Studies (interviews with contributors):</b> - Arrangements at DG level used in individual IAs (Question 20) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units
	Level of co-ordination between central and DG level arrangements for the consistent implementation of the IA Guidelines and quality control of IAs.	Degree to which clear quality criteria exist and are understood by all involved.	<b>Information Request:</b> - Question related to criteria of Quality (Part II – E) <b>EC official's survey:</b> - Officials' understanding of quality criteria (Part IC – 2/ F-4).
		Degree to which DG and SecGen coordinate during ISSG and ISC.	<b>Case Studies (interviews with contributors):</b> - Co-ordination between central and DG level (question 20) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units
13. Are <b>adequate tools/arrangements</b> in place to ensure <b>institutional learning and knowledge transfer</b> (inter and intra DG), to build on the knowledge/ experiences gained when completing impact assessments?	Existence of provisions to improve the co-ordination and quality control for IAs.	Degree to which current and proposed mechanisms address systemic QA problems.	<b>Information Request:</b> - Question Part II – D and E) IA BOARD <b>Case Studies (interviews with contributors and users):</b> - Suggestions for improving existing arrangements (question 20) - EP/Council suggestions (question 8) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units
	Tools/arrangements currently in place to ensure institutional learning and knowledge transfer (inter and intra DG).	Ways in which IA-related information and best practices are identified and passed on (incorporated into training, guidelines of Commission/ DGs).	<b>Information Request:</b> - Tools/arrangements in place (SG and DGs) (Part I – C 5-7)
	Extent to which current tools / arrangements facilitate building on the knowledge / experiences of completed IAs.	Views and experiences of Commission officials' regarding lessons learned.	<b>Case Studies (interviews with contributors):</b> - Tools/arrangements used in individual IAs (Question 21) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
		Degree to which current mechanisms contribute to institutional learning (use of all tools, training, ex-post, ex-ante, study etc.)	<b>Case Studies (interviews with contributors):</b> - Usefulness of tools / arrangements used in individual IAs (Question 21) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units
14. Is the <b>allocation of financial and human resources</b> both at Commission level (e.g. as determined by the Strategic Policy Planning cycle and Activity-Based Budgeting) and at DG level for implementing the impact assessment system <b>adequate in relation to its objectives?</b>	Extent to which financial and human resources at the Commission level are adequate to meet the IA system objectives.	Level of financial and human resources allocated to SecGen for IA activities (methodological development training, ISSG follow up).	<b>Information Request:</b> - Staffing and Budgetary figures for IA/evaluation/ monitoring services at Commission (Part I – E) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units and senior managers
		Commission officials' opinions of the ability of the SecGen to fulfil its role related to IA with the current resource allocation.	<b>EC officials' survey:</b> - Questions B-1 / B-4 <b>Case studies (interviews with contributors):</b> - Satisfaction with support, QA etc. offered by SecGen (questions 19-20) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units and senior managers
	Extent to which financial and human resources at the DG level are adequate to meet the IA system objectives.	Level of financial and human resources allocated by DGs to for IA activities (producing IAs, support and training).	<b>Information Request:</b> - Staffing and Budgetary figures for IA/ evaluation/ monitoring services at DG level (Part I – E) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units and senior managers
		Ability of DGs to fulfil their roles related to IA with the current resource allocation.	<b>EC officials' survey:</b> - Questions B-2 / B-3 <b>Case studies (interviews with contributors):</b> - Contributors' views of resources available for IA work within DG (question 22) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units and senior managers
15. What <b>monitoring tools and/or provisions for ex-post assessment</b> exist, which would allow for a verification of how well impact assessments assessed the impacts they anticipated? What	Existing monitoring tools / provisions for comparing real impacts and anticipated impacts.	Type and number of monitoring tools for ex-post assessment used after completion of individual IAs.	<b>IA Quality Assessments:</b> - Tools / provisions used (criterion 14)
		Commission officials' views and experiences regarding monitoring and follow up.	<b>Case Studies (interviews with contributors):</b> - Tools/provisions used in individual IAs (question 21)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
provisions can be identified for facilitating institutional learning in this respect and what role can evaluations play in this context?	Tools and provisions (including evaluations) that could facilitate institutional learning with a view to the accuracy of anticipated impacts.	Degree to which evaluations can be used for verification and ex-post assessment of impacts.	<b>Information Request:</b> - Monitoring tools/provisions (Part I – D5) <b>IA Quality Assessments:</b> - Use of evaluation results in individual IAs to date (criterion 18)
		Existence of other practices within the Commission or other jurisdictions that facilitate verification and ex-post assessment of impacts.	<b>Case Studies (interviews with contributors)</b> - Suggestions for tools / provisions to be created (question 21) <b>EU Interview Programme II</b> - Views of Commission officials in IA units (question XX) <b>Document Review</b> - Monitoring study, indicators study etc.
<b>2. Outputs</b>			
16. To what extent do <b>impact assessments comply with the Commission's Impact Assessment Guidelines</b> ? What decentralised and central <b>quality control mechanisms</b> were used in recent impact assessments and were quality criteria applied in a consistent and effective way?	Level of compliance of individual IAs with the Guidelines' procedural rules.	Compliance of individual IA roadmaps and content with Guidelines'.	<b>IA Quality Assessments:</b> - Timeliness and content of roadmaps (criterion 16) <b>Case Studies (interviews with contributors):</b> - Difficulties in complying with IA Guidelines in individual IAs (question 13) (for all indicators)
		Number and set up of ISSGs and the compliance of individual IAs with Guidelines' rules on ISSGs.	<b>IA Screening:</b> - Number of IAs that had an ISSG (criterion 8) <b>IA Quality Assessments:</b> - ISSG set-up (criterion 20)
		Number of IAs which undertook stakeholder consultation and compliance with Guidelines' rules on stakeholder consultation.	<b>IA Screening:</b> - Number of IAs that had a stakeholder consultation (criterion 10) <b>IA Quality Assessments (interviews):</b> - Stakeholder consultation carried out? (criterion 19)
		Length and format of IAs and compliance with Guidelines' rules on presenting the findings.	<b>IA Screening:</b> - Individual IA reports' length (criteria 11-12) - Number of IA reports with exec. summary (criterion 15) <b>IA Quality Assessments (document review):</b> - Structure and clarity of the report (criterion 15)
		Number of IAs which examine problem and objectives in accordance with the Guidelines.	<b>IA Screening:</b> - Number of IAs that examined problem and objectives (criteria 16, 17) <b>IA Quality Assessments:</b> - Compliance of individual IAs with provisions on problem and objectives analysis (criteria 1 & 2) <b>Case Studies (interviews with contributors):</b> - Difficulties in complying with IA Guidelines in individual IAs (question 13) (for all indicators)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
		Number of IAs which examined various alternative options in accordance with the Guidelines.	<b>IA Screening:</b> - Number of IAs that examined several options (criteria 18-22) <b>IA Quality Assessments:</b> - Compliance of individual IAs with provisions on selection and comparison of options (criteria 3, 13)
		Number of IAs which analyse impacts in the 3 pillars in accordance with the Guidelines.	<b>IA Screening:</b> - Number of IAs that analysed impacts in the 3 pillars (criteria 23, 25, 27) <b>IA Quality Assessments:</b> - Compliance of individual IAs with provisions on assessment of impacts (criteria 5-8)
		Number of IAs outlining monitoring and evaluation arrangements in accordance with the Guidelines.	<b>IA Screening:</b> - Number of IAs that outlined monitoring & evaluation (34-35) <b>IA Quality Assessments (document review):</b> - Compliance of individual IAs with provisions on monitoring and evaluation (criterion 15)
	Effectiveness of existing <u>central</u> quality control mechanisms.	Extent to which quality assessment by Sec-Gen ensures quality (incl. frequency with which SecGen issues unfavourable opinions or suspends IAs during ISC, and effect of this on the adoption of proposals).	<b>Information Request:</b> - Review of quality assessments undertaken by SecGen - Review of CLWP circular and ISC reports - Question on implementation/coordination (Part II – D) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units
		Extent to which other central measures (incl. ISSGs, measures by other services) ensure quality of IAs.	<b>IA Quality Assessments &amp; Case Studies:</b> - Role of ISSGs in individual IAs (QA criterion 20) - Other relevant support and QA activities in individual IAs <b>Commission Staff Survey:</b> - Role of ISSGs in individual IAs (question set E) <b>EU Interview Programme II:</b> Views of Commission officials in IA units
	Effectiveness of existing <u>decentralised</u> quality control mechanisms and level of consistency of quality criteria	Degree to which QA criteria differ across the Commission (SecGen and different DGs).	<b>Information Request:</b> - Review of quality assessments undertaken by DGs (Part I – D) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
	across decentralised levels.	Degree to which existing quality assessment practices and criteria are in line with the broad objectives of the IA system.	<b>Information Request:</b> - Review of quality assessments undertaken by SecGen and DGs (Part II – D) <b>Document Review:</b> - Monitoring study, indicators study etc. <b>EU Interview Programme II</b> - Views of Commission officials in IA units
17. What is the <b>typical duration</b> of an impact assessment and what are the <b>factors affecting that duration</b> ?	Average duration of IA process and indication of variances for different types (clusters) of IAs.	Number of months from the start of the IA work to the finalisation of the IA report and the adoption of the proposal.	<b>IA Quality Assessments:</b> - Duration of individual IAs (criterion 17) - Timing of submission for and Appearance in APS and CLWP
	Extent to which certain factors (procedural factors as well as the depth of analysis) affect the duration of IAs.	Existence of a correlation between duration of IA work and quantification of impacts, use of external expertise, set-up of ISSG, etc.	<b>IA Quality Assessments:</b> - Relation between duration (criterion 17) and different factors (e.g. criteria 3, 8-10, 18-20)
		Views and experiences of respondents regarding the duration/timing of IAs and factors affecting it.	<b>Case Studies (interviews with contributors):</b> - Factors that affected the duration of individual IAs (question 2) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units
18. Are <b>stakeholder consultations</b> carried out in an appropriate manner to <b>ensure relevant and useful input</b> into impact assessments? How and to what extent are the main stakeholders affected by the proposal identified and consulted, both within and, e.g. when (different groups of) developing countries and/or major external trade partners are concerned, outside the EU?	Types and frequency of tools and mechanisms used to identify and consult relevant stakeholders.	Number and type of tools / channels used in individual IAs to consult relevant stakeholders (targeted, open, etc.).	<b>IA Screening:</b> - Number of IAs that had stakeholder consultations and type (criterion 10) <b>IA Quality Assessments:</b> - Types of consultation mechanisms used (criterion 19) <b>Case Studies (interviews with contributors):</b> - Tools used to consult relevant stakeholders in individual IAs (question 10)
		Mechanisms and timing used in individual IAs to identify and involve relevant stakeholders.	<b>IA Quality Assessments:</b> - Timing of stakeholder involvement (criterion 19) <b>Case Studies (interviews with contributors &amp; stakeholders):</b> - Mechanisms and timing used to identify relevant stakeholders in individual IAs (question 10) - Stakeholders' satisfaction with way affected parties were identified (question 6)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
	Extent to which stakeholder consultations yield relevant and useful input.	Quality and relevance of stakeholder input into IA report.	<b>EC officials' survey:</b> - Officials' views of usefulness of inputs (Part I - D – 6,7) <b>IA Quality Assessments:</b> - Quality / quantity of responses (criterion 19) <b>Case Studies (interviews with contributors):</b> - Relevance and usefulness of stakeholders input in individual IAs (question 10)
	Level of satisfaction of relevant stakeholders with the consultation process.	Stakeholders' views, experiences and level of agreement with questions that relate to whether input was sought at appropriate points of time, and that enough time and opportunities were provided.	<b>Stakeholder Consultation:</b> - Responses to questions 1-2 <b>IA Quality Assessments:</b> - Timing of stakeholder involvement (criterion 19) <b>Case Studies (interviews with ext. stakeholders):</b> - Satisfaction with timing of consultations in individual IAs (question 7)
		Stakeholders' views, experiences and level of agreement with questions regarding whether input from stakeholders was sought through appropriate channels, and in a clear manner.	<b>Stakeholder Consultation:</b> - Responses to questions 3-4 <b>IA Quality Assessments:</b> - Review of channels used to allow stakeholder involvement (criterion 19) <b>Case Studies (interviews with ext. stakeholders):</b> - Satisfaction with methods of consultations in individual IAs (question 7)
		Stakeholders' views, experiences and level of agreement related to questions acknowledgment and summary of stakeholder contributions.	<b>Stakeholder Consultation:</b> - Responses to question 5 <b>IA Quality Assessments:</b> - Review of consultation summaries in IA reports. (criterion 19) <b>Case Studies (interviews with ext. stakeholders):</b> - Stakeholders perception of use of consultation results in individual IA reports (question 8)
19. To what extent has the <b>availability or lack of data</b> been an issue <b>affecting the quality and/or timing</b> of impact assessments? Has proper use	Appropriateness of the use of data in IAs, and of efforts made to bridge data gaps.	Type and number of available data sources used in individual IAs (e.g. studies, evaluations, Eurostat, external work etc.)	<b>IA Quality Assessments:</b> - Data needs announced in individual roadmaps (criterion 16) and data actually used (criterion 18) <b>EC Official's Survey:</b> - Question regarding source of data (Part I - D 6)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
been made of existing information, taking into account the issue of data quality (transparent, reproducible data)? What efforts have been made to bridge identified data gaps and what other proportionate efforts for improving the data situation could be suggested?		Level of transparency and reproducibility of data used in individual IAs (and extent to which limitations and caveats were made explicit).	<b>IA Quality Assessments:</b> - Quality of data underlying quantification / monetisation of impacts (criteria 8-9) <b>Case Studies (interviews with stakeholders and users):</b> - Stakeholders' views of transparency and reproducibility of data in individual IAs (question 13) - EP/Council views of transparency and reproducibility of data in individual IAs (question 6) <b>Stakeholder Consultation</b> - Responses to question 8
		Effectiveness and relevance of efforts made to bridge data gaps for individual IAs.	<b>Case Studies (interviews with contributors):</b> - Data sources used in individual IAs and efforts to bridge gaps (question 11)
	Extent to which the lack or availability of data has affected the quality and/or timing of IAs.	Level of impact of availability or lack of data on the quality of IAs.	<b>IA Quality Assessments:</b> - Lack / availability of data (criterion 18) <b>Case Studies (interviews with contributors):</b> - Effect of lack of data on quality of individual IAs (question 11)
		Level of impact of availability or lack of data on the timing of IAs.	<b>IA Quality Assessments:</b> - Lack / availability of data (criterion 18) <b>Information Request:</b> - Questions related to Data & Quality (Part II – E) <b>EC officials' survey:</b> - Officials' views of effect of lack of data (Part I - D – 3-5)
	Existence of mechanisms or tools to improve the data situation.	(Potential) effectiveness of existing or new measures to bridge data gaps.	<b>Case Studies (interviews with contributors, stakeholders &amp; users):</b> - EC officials' suggestions for improving data situation (question 11) - EP/Council suggestions of data sources for individual IAs (question 6) - Stakeholders' suggestions of data sources for individual IAs (question 13) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
20. To which extent is the <b>comprehensive and balanced approach</b> , taking into account impacts across the economic, social and environmental dimensions both in the short and long term <b>applied in individual impact assessments</b> ? Is there evidence that this approach facilitated <b>identifying possible synergies and trade-offs</b> between Community policies?	Extent to which individual IAs took into account impacts across the economic, social and environmental dimensions.	Level of analysis of impacts in all three dimensions in individual IAs.	<b>Document Review:</b> - Review of external studies (Italian study on social impacts, Renda study etc.) <b>IA Screening:</b> - Number of IAs that analysed / quantified impacts in the three pillars (criteria 23-28) <b>IA Quality Assessments:</b> - Depth & scope of the analysis of impacts (criteria 4-6, 11)
		Commission officials', stakeholders' and EP/Council level of agreement, views and experiences regarding whether IAs paid appropriate attention to impacts in all 3 pillars.	<b>Case Studies (interviews with contributors, stakeholders &amp; users):</b> - EC officials' views of balanced approach (question 14) - Stakeholders' views of balanced approach (question 10) - EP/Council views of balanced approach (question 3) <b>Stakeholder Consultation:</b> - Responses to question 9
	Extent to which individual IAs took into account significant short and long-term impacts.	Degree of quality, depth and proportionality of analysis of short/long-term effects.	<b>IA Quality Assessments:</b> - Examination of short / long-term impacts (criteria 4-6, 11)
		Commission officials', stakeholders' and EP/Council level of agreement, views and experiences regarding whether IAs paid appropriate attention to short and long-term impacts.	<b>Case Studies (interviews with contributors, stakeholders &amp; users):</b> - EC officials' views of balanced approach (question 14) - Stakeholders' views of balanced approach (question 10) - EP/Council views of balanced approach (question 3)
	Extent to which possible synergies and trade-offs were identified as a result of the identification of short and long-term impacts in all 3 dimensions.	Degree to which IA reports made reference to other Community policies and outlined synergies and trade-offs.	<b>IA Quality Assessments:</b> - Synergies and trade-offs identified in individual IAs (criterion 13) <b>EC officials' survey:</b> - Officials' views of IA system contribution to comprehensive analysis of impacts (Part I – E1-1-4/E2-5-6) <b>Information Request:</b> - IA unit views on synergies/ trade-offs identified. (Part II – E)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
21. How well did impact assessments <b>identify the problem</b> that the proposed action intends to address <b>and the objectives</b> of the envisaged intervention? To which extent were results of ex-post evaluations of Community policies and/or programmes used for this purpose and/or for the assessment of the options?	Quality and depth of the problem and objectives analysis.	Degree to which the quality, depth and proportionality of the problem/objectives analysis meets Guidelines' objectives (relevant background, different levels of problems / objectives and their linkages, etc.).	<b>IA Screening:</b> - Number of IAs that included a problem assessment and setting of objectives (criteria 16-17) <b>IA Quality Assessments:</b> - Quality, depth and proportionality of problem and objectives analysis in individual IAs (criteria 1-2)
	Extent to which relevant evaluations results were used for IAs.	Degree to which past evaluation results are reflected in the problem, objectives and options assessment outlined in the IA.	<b>IA Quality Assessments:</b> - Data used in individual IAs (criterion 18) <b>Case Studies (interviews with contributors):</b> - Use of evaluation results in individual IAs (question 12)
22. To which extent did the impact assessments <b>examine relevant options in a proportionate manner</b> , including the options of 'no EU policy', 'no policy change' and alternative instruments? To which extent does the range of possible options focus on the substance of the proposals (e.g. changing intervention parameters) versus the type of instrument (form of the intervention)?	Extent to which IAs examined relevant options.	Proportion of IAs which examined various options (no EU policy, no policy changes etc.), and depth and scope of the analysis.	<b>IA Screening:</b> - Number of options presented and analysed in individual IAs (criteria 18, 22) - Number of IAs that included 'no EU policy' and/or 'no policy change' among the options (criteria 19-20) <b>IA Quality Assessments:</b> - Quality and depth of examination of options in individual IAs (criterion 3)
		Proportion of IAs which explicitly compared and/or ranked options based on their likely impacts.	<b>IA Screening:</b> - Number of IAs that compared options explicitly, and/or identified a preferred option (criteria 32-33) <b>IA Quality Assessments:</b> - Quality and depth of ranking/comparison of options in individual IAs (criterion 13)
		Commission officials', stakeholders' and EP / Council level of agreement, views and experiences regarding whether IAs examined the most relevant options in an appropriate level of detail.	<b>Stakeholder Consultation:</b> - Responses to question 7 <b>Case Studies (interviews with contributors, stakeholders &amp; users):</b> - EC officials' views of selection and examination of options in individual IAs (question 16) - Stakeholders' views of examination of options in individual IAs (question 11) - EP/Council views of examination of options in individual IAs (question 4)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
	Extent to which IAs focused on options relating to the substance of the proposals vs. the type of instrument.	Number of IAs which present 'instrument options' vs. 'substance' options, depth and scope of the analysis.	<b>IA Screening:</b> - Number IAs that examined "substance" / "instrument" options (criterion 21) <b>IA Quality Assessments:</b> - Focus on "substance" / "instrument" options in individual IAs (criterion 3)
	Justification (or lack thereof) for the level of detail of the examination of relevant options relating to the type of instrument and to the substance of the proposals.	Degree to which objectives and problem analysis examine/explain the choice or dismissal of options/type of options.	<b>IA Quality Assessments:</b> - Proportionality of the examination of options in individual IAs (criterion 3)
		EC officials' views and experiences to questions related to the justification and appropriateness of options.	<b>Case Studies (interviews with contributors):</b> - EC officials' rationale for selection and scope/depth of examination of options in individual IAs (Question 16)
23. To what extent have impact assessments attempted to <b>quantify/monetise potential impacts</b> ? Where relevant impacts have not been quantified, why has this not been the case? Where impacts have been quantified or monetised, have data been used in an appropriate and transparent manner? Were the results of the quantification/ monetisation used for identifying trade-offs between options and/or ranking the options?	Level of quantification / monetisation of impacts (and differences between the 3 dimensions and between different types of IAs).	Number / percentage of IAs that undertook no / minimal / extensive quantification / monetisation of impacts (per pillar and type of IA).	<b>IA Screening:</b> - Number of IAs that included some degree of quantification (by clusters) (criteria 24, 26, 28, 30) - Number of IAs that monetised some impacts (criterion 31)
		Depth and scope of quantification / monetisation of impacts in individual IAs.	<b>IA Quality Assessments:</b> - Type and level of quantification / monetisation of impacts (criteria 8-9)
		Stakeholders' level of agreement that IAs should make a greater effort to quantify / monetise impacts.	<b>Stakeholder Consultation:</b> - Responses to questions 22, 23
	Quality and transparency of the analysis underlying the quantification / monetisation.	Proportionality of quantification / monetisation of impacts in individual IAs.	<b>IA Quality Assessments:</b> - Proportionality of quantification / monetisation of impacts (criteria 8-9) <b>Case Studies (interviews with contributors, stakeholders, users)</b> - EC officials' reasons for quality / transparency of analysis in individual IAs (question 17) - Stakeholders' views of appropriateness of analysis in individual IAs (question 12) - EP/Council views of appropriateness of analysis in individual IAs (question 5)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
		Degree to which the methodology and data used for quantifying / monetising impacts (and any caveats or limitations) are made explicit in individual IAs.	<b>IA Quality Assessments:</b> - Type and level of quantification / monetisation of impacts (criteria 8-9)
	Soundness of the reasoning and justification for not quantifying / monetising impacts.	Degree to which lack of quantification / monetisation in individual IAs is justified by the type of proposal, nature of impacts and/or available data.	<b>IA Quality Assessments:</b> - Proportionality of quantification / monetisation of impacts (criteria 8-9) <b>Case Studies (interviews with contributors, ext. stakeholders, users)</b> - Justifications for level of quantification / monetisation of impacts in individual IAs (question 17) - Stakeholders' views of appropriateness of analysis in individual IAs (question 12) - EP/Council views of appropriateness of analysis in individual IAs (question 5)
	Extent to which quantitative results were used for comparing / ranking the options.	Level of use of quantified / monetised impacts in individual IAs for identifying trade-offs and / or comparing options.	<b>IA Quality Assessments:</b> - Use of quantitative results for ranking (criterion 13) <b>Case Studies (interviews with contributors)</b> - Use made of quantification / monetisation of impacts in individual IAs (question 17)
24. To what extent has a <b>quantification of administrative costs</b> for complying with information obligations resulting from the proposed EU legislation been attempted and what methodologies have been used in such cases? Were such efforts proportionate and what was their level of precision?	Level and types of quantification of administrative costs.	Number of individual IAs that quantified administrative costs, depth and scope of the analysis.	<b>EU Document Review:</b> - IA Guidelines (Annex 10) <b>IA Quality Assessments:</b> - Depth and scope of the quantification of administrative costs, and methodologies used (criterion 10)
	Extent to which the methodologies for quantification of administrative costs are proportionate and produce precise results.	Level of precision and relevance of quantification of administrative costs in individual IAs.	<b>IA Quality Assessments:</b> - Likely precision of quantification in individual IAs (criterion 10) <b>Case Studies (interviews with contributors)</b> - Reasons for choice of methodology in individual IAs and views regarding precision (Question 18) <b>Case Studies (interviews with ext. stakeholders):</b> - Stakeholders' views of appropriateness of quantification in individual IAs (question 12) <b>Case Studies (interviews with users):</b> - EP/Council views of appropriateness of quantification in individual IAs (question 5)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
		Cost of quantification of administrative costs in individual IAs in terms of time, human and financial resources required.	<b>Case Studies</b> ( <i>interviews with contributors</i> ) - Effort and proportionality in individual IAs (Question 18)
25. To what extent are <b>mitigation measures proposed</b> in impact assessments when negative impacts are identified?	Extent to which IA reports propose measures to mitigate or limit any negative impacts that were identified during the IA process.	Number and relevance of mitigation measures proposed in individual IAs.	<b>IA Quality Assessments:</b> - Mitigation measures proposed in individual IAs (criterion 12)
26. To what extent are impact assessment <b>reports clearly written, well structured</b> and of a <b>reasonable length</b> ?	Extent to which IA reports are reader-friendly, particularly for non-specialist audience.	Evaluators' assessment of the structure and clarity of individual IA reports.	<b>IA Screening:</b> - Number of IAs that included a table of contents and/or an executive summary (criteria 14 & 15) <b>IA Quality Assessments:</b> - Structure and clarity of individual IAs (criterion 15)
		Stakeholders' and IA users' level of agreement that IA reports are well-structured, clear and easy to read and understand.	<b>Stakeholder Consultation:</b> - Responses to question 10 <b>Case Studies</b> ( <i>interviews with stakeholders</i> ): - Stakeholders' views of clarity and structure of IA reports (question 14) <b>Case Studies</b> ( <i>interviews with users</i> ): - EP/Council views of clarity and structure of IA reports (question 7) <b>EU Interview Programme II:</b> - Views of Commission senior managers, EP and Council
	Extent to which IA reports are of a reasonable length.	Level of compliance of IA reports with the IA Guidelines (normally no more than 30 pages excl. annexes).	<b>IA Screening:</b> - Length of IA reports and annexes (criteria 12 & 13)
		Degree to which especially long or short IA reports are justified by the nature of the proposal and its likely impacts.	<b>IA Quality Assessments:</b> - Length of IA reports and justifications (criterion 15)
		Stakeholders' and IA users' level of agreement that IA reports are of a reasonable length (neither too long nor too short).	<b>Stakeholder Consultation:</b> - Responses to question 11 <b>Case Studies</b> ( <i>interviews with ext. stakeholders</i> ): - Stakeholders' views of length of individual IA reports (question 14) <b>Case Studies</b> ( <i>interviews with users</i> ): - EP/Council views of length of individual IA reports (question 7)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
<b>3. Impact</b>			
27. How was the concrete <b>interaction between impact assessment</b> work and work on the <b>drafting of the legal or policy proposal</b> organised? To what extent did the scope and duration of the impact assessment work have an <b>impact on the length of time</b> it took to prepare and adopt the Commission proposal? How could impact assessments better contribute to the preparation of Commission proposals, while keeping that work at a proportionate level?	Organisation of the concrete interaction between IA work and the drafting of proposals.	Degree to which IA work was carried out before, during or after the drafting of the proposal and interaction of IA work and proposal.	<b>IA Quality Assessments:</b> - Timing of individual IAs (criterion 17) <b>Case Studies (interviews with contributors):</b> - Timing of individual IAs and proposal drafting (question 5)
		Degree to which officials responsible for the IA work were involved in drafting the proposal.	<b>IA Quality Assessments:</b> - Interaction with drafting of proposals (criterion 17) <b>Case Studies (interviews with contributors):</b> - Staff arrangement for interaction with drafting of proposals (question 5)
	Extent to which IA work affected the length of time needed for the preparation and / or adoption of the proposal.	Commission officials' views and perceptions of the impact of IA work on the time needed to prepare and adopt proposals.	<b>EC officials' survey:</b> - Officials' views of impact of IAs on time and resources (Part I - D – 1-5) <b>IA Quality Assessments:</b> - Interaction between IA and proposal preparation in individual IAs (criterion 17) <b>Case Studies (interviews with contributors):</b> - Effect of IA work on time to prepare / adopt proposal (question 5)
	Existence of ways in which IAs can better contribute to the preparation of Commission proposals.	Pros and cons of different approaches to the interaction between IA work and proposal drafting with a view to better contributing to the preparation of Commission proposals (while keeping that work at a proportionate level).	<b>Case Studies (interviews with contributors):</b> - Suggestions for better contribution of IA work to preparation of proposals (question 5) <b>EU Interview Programme II:</b> - Views of Commission officials in IA units and senior managers <b>Evaluators' assessment of different options</b>
28. To what extent are the <b>results</b> of the impact assessment <b>reflected in</b> the content and structure of the <b>Commission's</b>	Extent to which the content / results of IAs are reflected in Commission proposals.	Direct or indirect references to the IA in individual proposals and the explanatory memoranda.	<b>IA Quality Assessments:</b> - Direct / indirect references in proposal and/or explanatory memoranda (criterion 21) - Extent to which IA content is reflected in proposal (criterion 21)

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
<p><b>final policy or legislative proposal?</b> Are there examples where the impact assessment has significantly changed the approach, the nature of the legal instrument, or even led to the abandonment of a foreseen proposal? Where impact assessments have led to a refinement of the initially envisaged intervention, how did this effect come to bear on the drafting work for the proposal?</p>		Commission officials', stakeholders' and IA users' level of agreement, views and experiences as to whether the results of the IA is reflected in the final proposal (or policy option chosen).	<p><b>EC officials' survey:</b></p> <ul style="list-style-type: none"> <li>- Officials' views of IA results in proposals (Part I - G – 3,4)</li> </ul> <p><b>Stakeholder Consultation:</b></p> <ul style="list-style-type: none"> <li>- Responses to question 15</li> </ul> <p><b>Case Studies (interviews with contributors, stakeholders &amp; users):</b></p> <ul style="list-style-type: none"> <li>- EC officials' views of extent IA results are reflected in individual proposals (question 6)</li> <li>- Stakeholders' view of extent IA results are reflected in individual proposals (question 8)</li> <li>- EP/Council views of extent IA results are reflected in individual proposals (question 12)</li> </ul>
	Extent to which proposals were refined, significantly changed, or even abandoned, as a result of the IA work.	Level of influence (or lack thereof) of the IA work on the substance of Commission proposals.	<p><b>IA Quality Assessments:</b></p> <ul style="list-style-type: none"> <li>- Effect of IA work on proposed intervention (criterion 21)</li> </ul> <p><b>Case Studies (interviews with contributors):</b></p> <ul style="list-style-type: none"> <li>- Refinement of proposals as consequence of individual IAs (question 6)</li> </ul> <p><b>Stakeholder Consultation:</b></p> <ul style="list-style-type: none"> <li>- Responses to question 14</li> </ul>
		Examples of proposals that were significantly changed or abandoned as a result of the IA work.	<p><b>Information Request:</b></p> <ul style="list-style-type: none"> <li>- Questions to IA officials (Part I – G)</li> </ul> <p><b>Case Studies (interviews with contributors):</b></p> <ul style="list-style-type: none"> <li>- Significant changes to proposals as consequence of individual IAs (question 6)</li> </ul>
<p>29. In what way have the impact assessments been <b>taken into account</b> in the policy discussion and legislative process <b>in the other Institutions</b> (i.e. following adoption by the Commission)? Have they been used in the manner foreseen under the inter-institutional common approach to impact assessments? Is there evidence that they had an <b>impact on the adoption of the proposal</b>? If yes, what sort of impact?</p>	Extent to which the Council and Parliament considered the IA alongside the Commission's proposal.	EP and Council members' accounts of how individual IAs were considered alongside the Commission's proposal.	<p><b>Case Studies (interviews with users):</b></p> <ul style="list-style-type: none"> <li>- EP/Council consideration of individual proposals (question 13)</li> <li>- Any available documentation (hearing records, official responses to proposals etc.)</li> </ul> <p><b>EU Interview Programme II:</b></p> <ul style="list-style-type: none"> <li>- Views of EP and Council</li> </ul>
		Commission officials' impressions of how individual IAs were considered in the policy / legislative process.	<p><b>IA Quality Assessments:</b></p> <ul style="list-style-type: none"> <li>- Indication of EP / Council reaction? (criterion 21)</li> </ul> <p><b>Case studies (interviews with contributors):</b></p> <ul style="list-style-type: none"> <li>- EC officials' impressions of IA impact (question 7)</li> </ul>
	Level of usefulness of the IAs for members of the Council and Parliament as an aid to their decision-making.	EP and Council members' views and experiences regarding the value of IAs as an aid to their decision-making.	<p><b>Case Studies (interviews with users):</b></p> <ul style="list-style-type: none"> <li>- EP/Council views of usefulness of individual IAs (question 14)</li> </ul> <p><b>EU Interview Programme II:</b></p> <ul style="list-style-type: none"> <li>- Views of EP and Council</li> </ul>

Evaluation Question	Judgment Criteria	Indicators	Data collection tools
	Existence of examples where the IA played a role in the EP's / Council's decision to adopt / reject / amend certain proposals.	Examples of IAs cited by Commission officials, EP and Council members.	<b>Case studies (interviews with users):</b> - Reported impact of individual IAs (question 14) <b>EU Interview Programme II:</b> - Views of Commission senior managers (Cabinet), EP and Council
30. Does the <b>current language regime</b> have an impact on the role of impact assessments in the policy/legislative process after adoption of the Commission proposal? If yes, which?	Extent to which the current language regime enables European Parliament and Council members and stakeholders to duly consider the IA report alongside the Commission's proposal.	Stakeholders', Council and Parliament members' ability to understand and take account of IA reports in EN or FR.	<b>IA Screening:</b> - Number of IA reports written in EN and FR (criterion 11) <b>Case Studies (interviews with stakeholders &amp; users):</b> - Stakeholders' view on language regime (question 15) - EP/Council views on language regime (question 15) <b>EU Interview Programme II:</b> - Views of EP and Council <b>Stakeholder Consultation:</b> - Responses to question 12
		Degree to which the obligation to translate the executive summary into all EU languages is followed in practice, and if so, mitigates problems with EN or FR IA reports.	<b>IA Screening:</b> - Number of IA reports that have an executive summary (criterion 15) <b>Case Studies (interviews with stakeholders &amp; users):</b> - Stakeholders' view on language regime (question 15) - EP/Council views on language regime (question 15) <b>EU Interview Programme II:</b> - Views of EP and Council
31. To what extent can a <b>quality difference</b> be noted between <b>Commission proposals</b> based on an impact assessment and <b>related proposals by Member States</b> (without impact assessments) in areas where the right of initiative is shared?	Extent to which Commission proposals in the areas of intergovernmental cooperation are of a higher quality than "competing" Member State proposals.	Commission, EP and Council views and experiences regarding the quality of Commission and Member State proposals.	<b>Case Studies (interviews with users):</b> - EP/Council views of quality of individual Commission / Member State proposals (question 16) - Specific EP/Council comments on Commission/MS proposals <b>EU Interview Programme II:</b> - Views of Commission officials in DGs JLS and RELEX - Views of EP and Council
		Degrees to which MS proposals fail to recognise / take into account one or more likely impacts of an initiative that were identified in the Commission's IA or vice versa.	<b>Document Review:</b> - Review of documents from other international organisations/countries as well as research institutions <b>Information Request / Document Review:</b> - Screening of 3 sets of "competing" EC+MS proposals in the area of JLS

## 2 RESULTS OF THE IA SCREENING

For the evaluation of the 158 Impact Assessments, the evaluation team screened each IA according to the following 35 criteria.

### 2.1 IA SCREENING MATRIX – LIST OF CRITERIA AND INSTRUCTIONS

Area	#	Criterion	Description	Data format
<b>General</b>	1	Title	The title of the IA, as it appears on the EC's IA website	Title
	2	Reference of IA	The reference number of the IA	SEC(YYYY) XXXX
	3	Reference of proposal	The reference number of the proposal that the IA accompanies	COM(YYYY) XXXX
	4	Type of proposal	The type of instrument proposed (e.g. a Directive, Communication, etc.). Some IAs accompany more than one proposal, e.g. in the case of "Thematic Strategies" where a Communication is lumped together with legislative action. In these cases, use "Multiple instruments".	Regulation / Directive / Decision / Communication / Multiple instruments /...
	5	Category of proposal	Is the instrument proposed of a legislative (i.e. Regulation, Directive or Decision) or non-legislative nature (i.e. Communication, White Paper, Action Plan, Strategy etc.)? In cases where legislative and non-legislative measures are lumped together (e.g. under a Thematic Strategy or a General Programme), use "Both".	Legislative / Non-legislative / Both
	6	Date of adoption	The date the proposal was adopted by the Commission, as it appears on the IA report	DD/MM/YYYY
<b>Actors</b>	7	Responsible DG	The lead DG that carried out the IA, as it appears on the EC's IA website	DG XXX
	8	Inter-service Steering Group	Was an inter-service steering group set up for the IA? Where this is not apparent from the IA report, use "N/A". If the IA report explicitly mentions the participation of one or more other DGs, even if not explicitly in the context of an ISSG, use "Y".	Y / N
	9	External expertise used	Was external expertise used for all or parts of the IA? This includes only cases where some of the actual work was outsourced; an "external expert group" or similar set up as part of the Stakeholder Consultation does not constitute the use of external expertise. Where it is not apparent from the IA report whether external expertise was used, use "N/A".	Y / N

Area	#	Criterion	Description	Data format
	10	Stakeholder Consultation	Were relevant external stakeholders consulted as part of the IA work (this may include the use of results of earlier consultations carried out in the context of related initiatives)? Was the Stakeholder Consultation "open" (i.e. open to any interested parties or individuals), "targeted" (e.g. invitational events such as conferences, committee meetings, workshops, etc.), or both? Where it is not apparent from the IA report whether stakeholders were consulted, use "N/A".	Open / Targeted / Both / No Consultation / N/A
<b>Format</b>	11	Language of IA report	In what language is the IA report written?	EN/FR/DE
	12	Length of IA report	How many pages long is the main body of the IA report (excluding annexes)?	No. of pages
	13	Length of annexes	How many pages long are the annexes to the IA report? If no annex, use "0"	No. of pages
	14	Table of Contents	Does the IA report contain a table of contents?	Y / N
	15	Executive Summary	Does the IA report contain an executive summary?	Y / N
<b>Problem, Objectives &amp; Options</b>	16	Problem identified	Does the IA report contain a separate section (or sub-section) dedicated to the identification and/or description of the problem(s) the proposal is intended to tackle? (This is sometimes referred to as "the issue" rather than "the problem".)	Y / N
	17	Objectives defined	Does the IA report contain a separate section (or sub-section) dedicated to the setting of the objectives the proposal is intended to achieve?	Y / N
	18	Total number of options presented	How many overall policy options are presented? (The type of options may differ – see criterion 21 – only count here the overall options listed in the IA as separate options, not sub-options.)	No. of options
	19	"No EU policy" option	Is "no EU policy" (i.e. no-introduction of any EU measures and/or abolition of existing one) included among the options presented (i.e. among the options counted under criterion 18)?	Y / N
	20	"No policy change" option	Is "no policy change" (i.e. maintaining the "status quo" in terms of existing EU measures) included among the options presented (i.e. among the options counted under criterion 18)?	Y / N

Area	#	Criterion	Description	Data format
	21	"Instrument" vs. "substance" options	Do the options that are presented focus on the type of instrument (i.e. the form of the intervention, e.g. regulation, self-regulation, market-based approach, etc.), or on the substance of the proposals (e.g. changing the scope or the parameters of the intervention)?	Instrument / Substance / Both
	22	Total no. of options analysed	For how many of the options presented (see criterion 18) are impacts examined in at least some degree of detail? In other words, how many of these options are not discarded immediately? By definition, this number can never be higher than that for criterion 18.	No. of options
<i>Impacts</i>	23	Economic impacts assessed	Were the economic impacts of at least one relevant option explicitly assessed (independently of the level of detail)?	Y / N
	24	Economic impacts quantified	Were some or all of the economic impacts of at least one relevant option quantified? This might include quantification in absolute, relative, monetary or other terms. If impacts are quantified, please judge whether the level of quantification is "minimal" (i.e. limited to the presentation of a few broad figures that are relatively easily quantifiable) or "extensive" (i.e. includes more detailed calculations/estimates of impacts).	Minimal / Extensive / N
	25	Environmental impacts assessed	Were the environmental impacts of at least one relevant option explicitly assessed (independently of the level of detail)?	Y / N
	26	Environmental impacts quantified	Were some or all of the environmental impacts of at least one relevant option quantified? This might include quantification in absolute, relative, monetary or other terms. If impacts are quantified, please judge whether the level of quantification is "minimal" or "extensive" (see criterion 24 above).	Minimal / Extensive / N
	27	Social impacts assessed	Were the social impacts of at least one relevant option explicitly assessed (independently of the level of detail)?	Y / N
	28	Social impacts quantified	Were some or all of the social impacts of at least one relevant option quantified? This might include quantification in absolute, relative, monetary or other terms, independently of the level of detail. If impacts are quantified, please judge whether the level of quantification is "minimal" or "extensive" (see criterion 24 above).	Minimal / Extensive / N
	29	External impacts assessed	Were the external or international impacts (i.e. impacts on countries outside of the EU) of at least one relevant option explicitly assessed (independently of the level of detail)?	Y / N

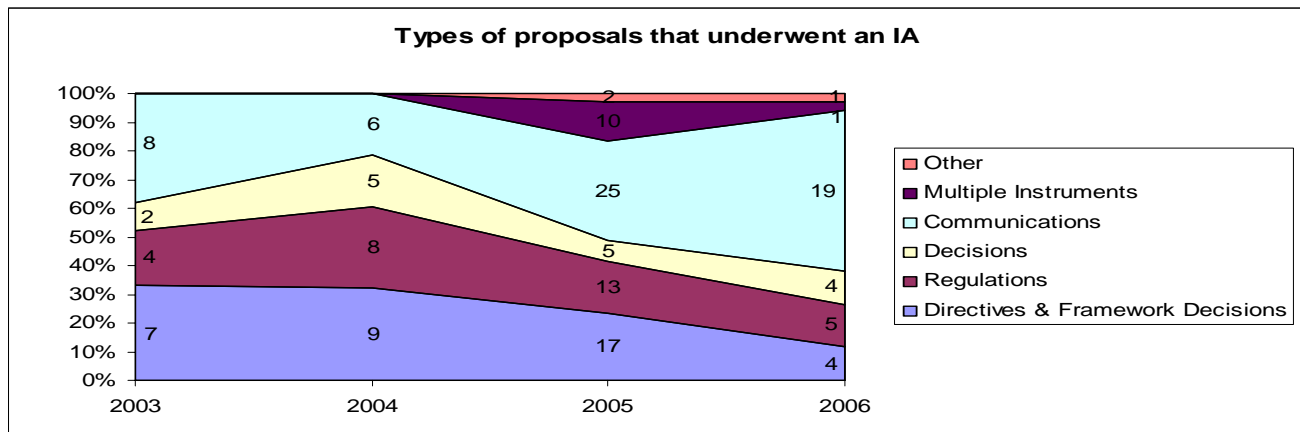
Area	#	Criterion	Description	Data format
	30	External impacts quantified	Were some or all of the external impacts of at least one relevant option quantified? This might include quantification in absolute, relative, monetary or other terms, independently of the level of detail. If impacts are quantified, please judge whether the level of quantification is "minimal" or "extensive" (see criterion 24 above).	Minimal / Extensive / N
	31	Impacts monetised	Was monetisation (i.e. expressing impacts in monetary terms) attempted for any of the kinds of impacts listed under criteria 23-30? Monetisation is defined as "estimating / calculating the equivalent financial costs or benefits (or parts thereof) of a measure"; e.g. the mere estimate of a change in prices is not considered monetisation.	Y / N
	32	Options compared explicitly	After the discussion of individual impacts, does the IA report summarise the different positive and negative impacts of the different options explicitly and in a clear and easy-to-use format (e.g. in a table or in a list) so as to facilitate the comparison of the impacts of each option?	Y / N
	33	Preferred option made explicit	Does the IA report clearly state which of the options discussed is the preferred option in light of the anticipated impacts? Where only one option is analysed (cp. criteria 18-22), the answer to this question will normally be "Y".	Y / N
<i>Monitoring</i>	34	Monitoring and evaluation outlined	Does the IA report contain a separate section (or sub-section) that provides an outline of future policy monitoring and evaluation?	Y / N
	35	Concrete indicators proposed	Does the IA report define any core indicators for the monitoring and/or evaluation of the key policy objectives pursued?	Y / N
	36	Observations	Any relevant observations or comments regarding the IA that are not covered in any of the above.	Comments

## 2.2 SCREENING RESULTS

The tables and graphs below show the screening results for each Impact Assessment according to the criteria stated above.

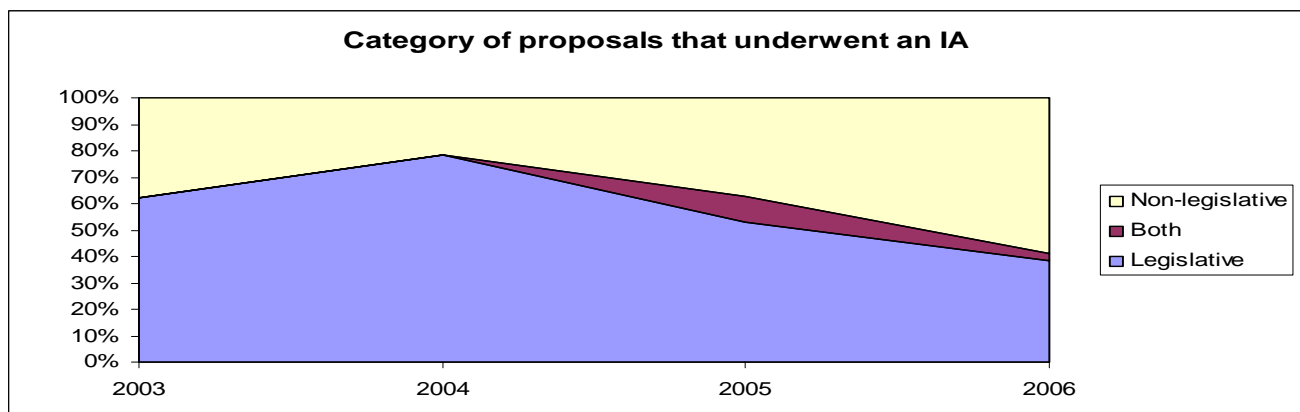
Criterion 4: Type of proposal					
	Overall	2003	2004	2005	2006
Communication	58	8	6	25	19
Directive	34	7	8	15	4
Decision	16	2	5	5	4
Regulation	30	4	8	13	5

Framework Decision	3	0	1	2	0
Multiple Instruments	11	0	0	10	1
Other	2	0	0	1	1
Consultation Document	1	0	0	1	0
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>



**Criterion 5: Category of proposal**

	Overall	2003	2004	2005	2006
Legislative	86	13	22	38	13
Both	8	0	0	7	1
Non-legislative	61	8	6	27	20
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>



**Criterion 7: Responsible DG by year**

	Overall	2003	2004	2005	2006
AGRI	7	2	1	2	2
COMP	2	0	0	2	0
DEV	10	0	3	4	3
DEV/RELEX	1	0	0	1	0
EAC	7	0	4	3	0
ECFIN	1	1	0	0	0

ELARG	3	0	0	2	1
EMPL	8	2	3	2	1
ENTR	9	1	2	5	1
ENV	21	4	4	8	5
FISH	5	2	2	1	0
INFSO	11	2	2	3	4
JAI	3	1	2	0	0
JLS	19	0	1	12	6
MARKT	11	1	4	3	3
REGIO	3	0	1	1	1
RELEX	3	1	0	2	0
RTD	1	0	0	1	0
SANCO	7	1	0	4	2
TAXUD	7	0	0	4	3
TRADE	1	0	0	1	0
TREN	18	3	1	12	2
<b>TOTAL</b>	<b>158</b>	<b>21</b>	<b>30</b>	<b>73</b>	<b>34</b>

<b>Criterion 7: Responsible DG by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
AGRI	7	3	4	0
COMP	2	1	1	0
DEV	10	2	8	0
DEV / RELEX	1	0	1	0
EAC	7	6	1	0
ECFIN	1	0	1	0
ELARG	3	0	3	0
EMPL	8	4	4	0
ENTR	9	6	3	0
ENV	21	8	9	4
FISH	5	5	0	0
INFSO	11	2	9	0
JAI	3	2	1	0
JLS	19	12	4	3
MARKT	11	8	3	0
REGIO	3	3	0	0
RELEX	3	1	2	0
RTD	1	1	0	0
SANCO	7	5	1	1
TAXUD	7	4	3	0
TRADE	1	0	1	0
TREN	18	13	5	0
<b>TOTAL</b>	<b>158</b>	<b>86</b>	<b>64</b>	<b>8</b>

<b>Criterion 8: Inter-service Steering Group by year</b>					
	Overall	2003	2004	2005	2006
Yes	38	7	3	11	17
No	2	0	0	0	2
N/A	115	14	25	61	15
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

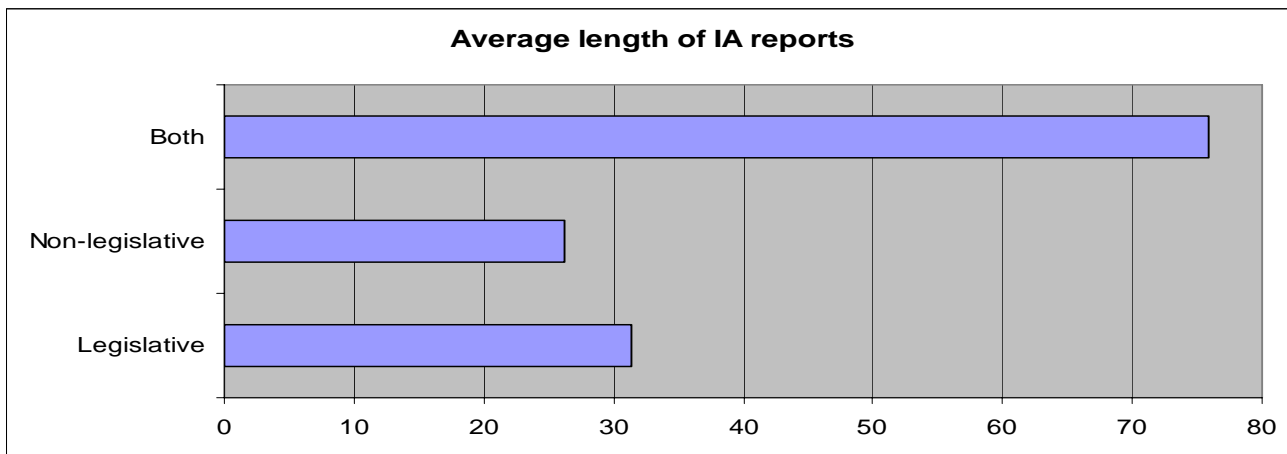
<b>Criterion 9: External expertise used by year</b>					
	Overall	2003	2004	2005	2006
Yes	49	5	12	21	11
No	11	1	2	5	3
N/A	95	15	14	46	20
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

<b>Criterion 10: Stakeholder Consultation by year</b>					
	Overall	2003	2004	2005	2006
Open	9	1	1	7	0
Targeted	60	14	8	28	10
Both	70	6	18	27	19
No consultation	2	0	0	1	1
N/A	14	0	1	9	4
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

<b>Criterion 11: Language of IA report by year</b>					
	Overall	2003	2004	2005	2006
English	136	21	24	60	31
French	17	0	4	10	3
English and French	2	0	0	2	0
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

<b>Criterion 12: Length of Report by year</b>					
	Overall	2003	2004	2005	2006
Page average	31.63	31.33	33.14	29.85	34.32
>30 pages	71	11	16	29	15
=/<30 pages	84	10	12	43	19
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

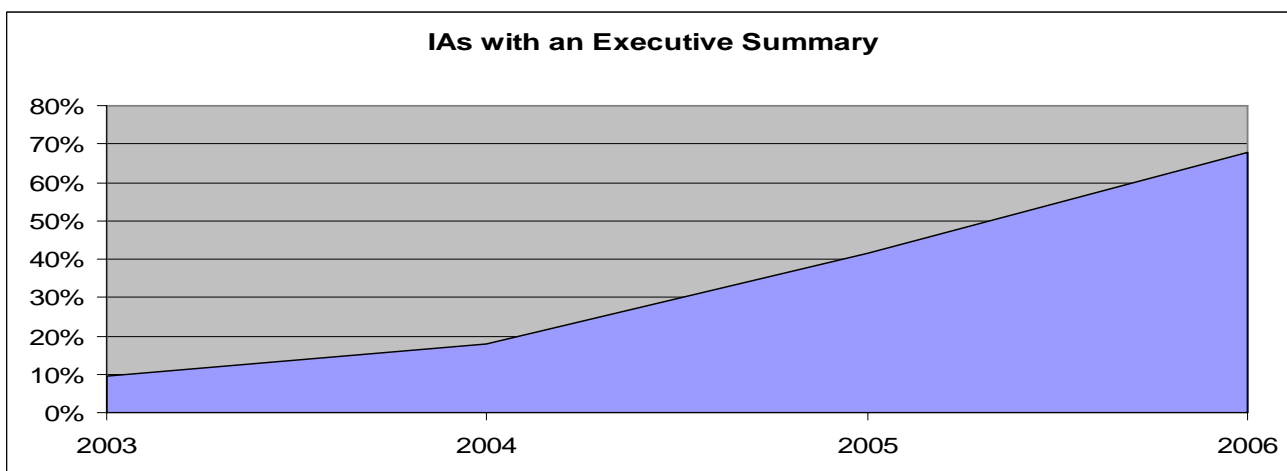
<b>Criterion 12: Length of Report by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
Page average	31.63	31.38	26.16	75.88
>30 pages	71	41	24	6
=/<30 pages	84	45	37	2
<b>Total</b>	<b>155</b>	<b>86</b>	<b>61</b>	<b>8</b>



Criterion 13: Length of Annexes	
	Overall
Have Annex	86
Annex >30 pages	8

Criterion 14: Table of contents by year					
	Overall	2003	2004	2005	2006
Yes	101	11	21	45	24
No	54	10	7	27	10
Total	155	21	28	72	34

Criterion 15: Executive Summary by year					
	Overall	2003	2004	2005	2006
Yes	60	2	5	30	23
No	95	19	23	42	11
Total	155	21	28	72	34

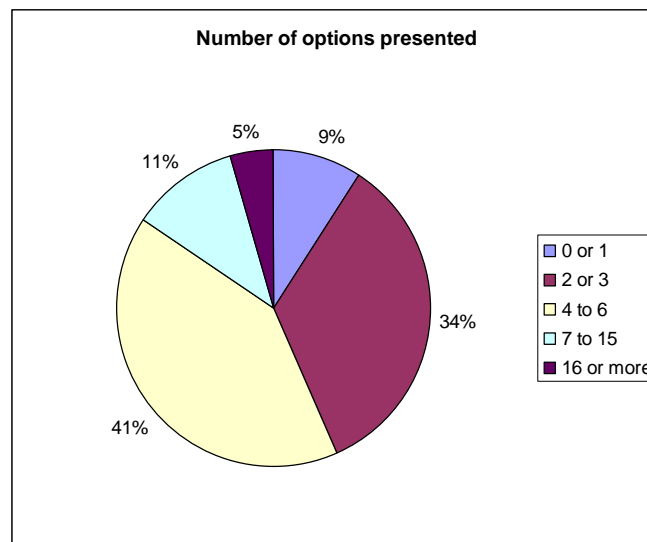


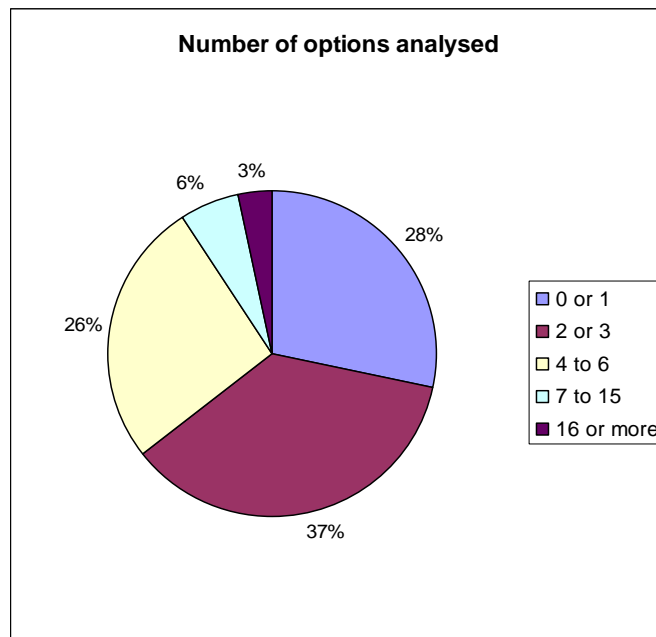
Criterion 16: Problem identified by year					
	Overall	2003	2004	2005	2006
Yes	149	18	28	70	33
No	6	3	0	2	1
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

Criterion 17: Objectives defined	
	Overall
Yes	153
No	2
<b>Total</b>	<b>155</b>

Criterion 18: Total number of options presented by year					
	Overall	2003	2004	2005	2006
Average	4.28	4.95	4.75	4.09	3.83
0 or 1 options	14	1	2	9	2
2 or 3 options	53	8	9	22	14
4 to 6 options	64	8	13	32	11
7 to 15 options	17	4	4	7	2
16 or more options	7	0	0	2	5
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

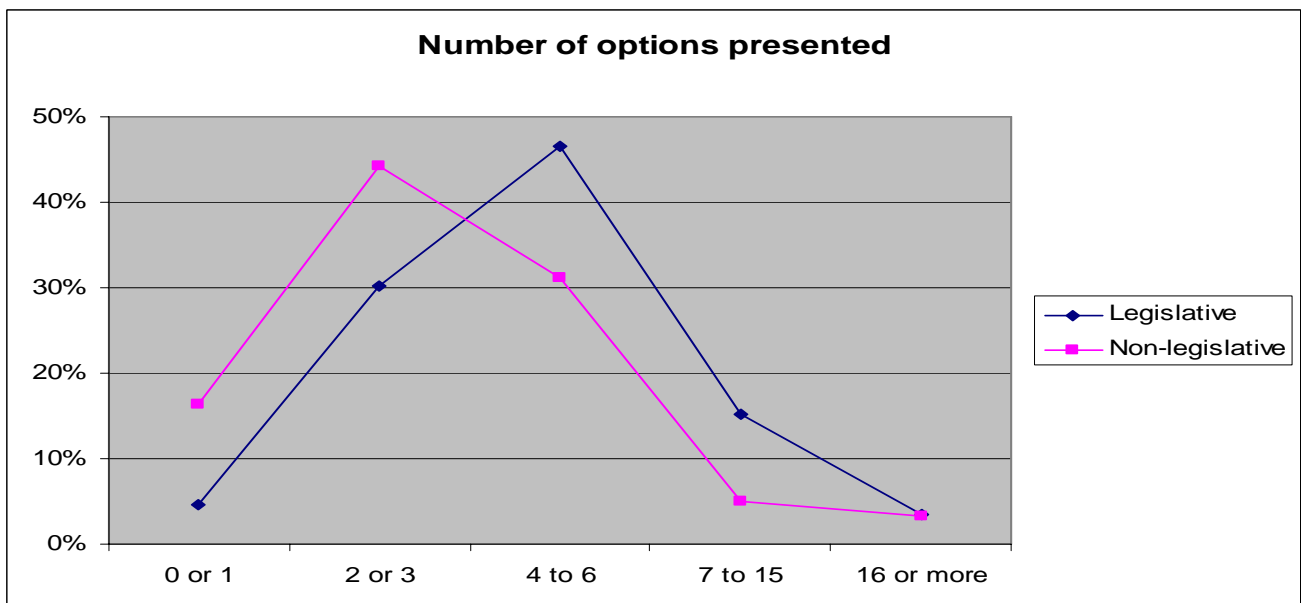
(does not include "16 or more")





Criterion 18: Total number of options presented by category of proposal				
	Overall	Legislative	Non-legislative	Both
Average	4.28	4.78	3.47	5.33
0 or 1 options	14	4	10	0
2 or 3 options	53	26	27	0
4 to 6 options	64	40	19	5
7 to 15 options	17	13	3	1
16 or more options	7	3	2	2
Total	155	86	61	8

(does not include "16 or more")



<b>Criterion 19: "No EU policy option"</b>	
	Overall
Yes	51
No	104
<b>Total</b>	<b>155</b>

<b>Criterion 20: "No policy change" option</b>	
	Overall
Yes	98
No	57
<b>Total</b>	<b>155</b>

<b>Criterion 19 and/or 20: Either "no EU policy" and/or "no policy change" option by year</b>					
	Overall	2003	2004	2005	2006
Yes	129	18	23	57	31
No	26	3	5	15	3
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

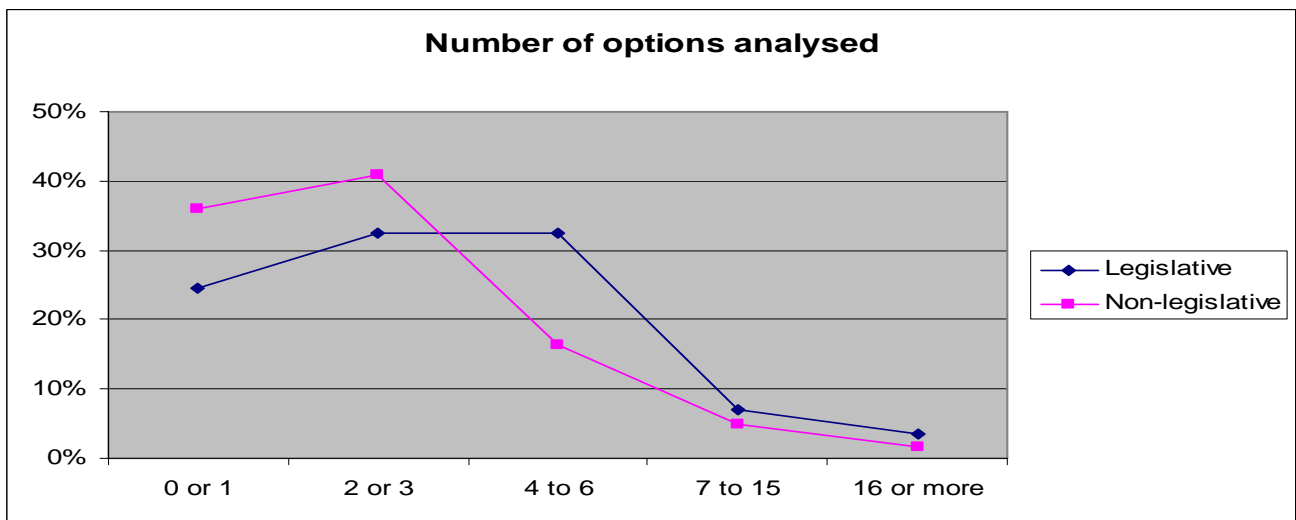
<b>Criterion 21: Instrument vs. substance options by year</b>					
	Overall	2003	2004	2005	2006
Instrument	53	8	8	26	11
Substance	51	7	13	21	10
Both	45	6	7	20	12
N/A	6	0	0	5	1
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

<b>Criterion 21: Instrument vs. substance options by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
Instrument	53	29	21	3
Substance	51	25	23	3
Both	45	31	12	2
N/A	6	1	5	0
<b>Total</b>	<b>155</b>	<b>86</b>	<b>61</b>	<b>8</b>

<b>Criterion 22: Total no. of options analysed by year</b>					
	Overall	2003	2004	2005	2006
Average	3.14	3.10	3.54	2.79	3.63
or 1 options	44	5	6	27	6
2 or 3 options	56	9	13	21	13
4-6 options	41	5	7	20	9
7-15 options	9	2	2	3	2
16 or more options	5	0	0	1	4
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

(does not include "16 or more")

<b>Criterion 22: Total no. of options analysed by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
Average (does not include "16 or more")	3.14	3.41	2.73	3.43
0 or 1 options	44	21	22	1
2 or 3 options	56	28	25	3
4-6 options	41	28	10	3
7-15 options	9	6	3	0
16 or more options	5	3	1	1
<b>Total</b>	<b>155</b>	<b>86</b>	<b>61</b>	<b>8</b>



<b>Criterion 23: Economic impacts assessed by year</b>					
	Overall	2003	2004	2005	2006
Yes	133	20	27	59	27
No	22	1	1	13	7
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

<b>Criterion 23: Economic impacts assessed by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
Yes	133	79	46	8
No	22	7	15	0
<b>Total</b>	<b>155</b>	<b>86</b>	<b>61</b>	<b>8</b>

<b>Criterion 23: Economic impacts assessed by type of proposal and year - Directives and Regulations</b>				
	2003	2004	2005	2006
Yes	9	17	25	9
No	1	0	3	0
<b>Total</b>	<b>10</b>	<b>17</b>	<b>28</b>	<b>9</b>

<b>Criterion 23: Economic impacts assessed by type of proposal and year - Communications</b>				
	2003	2004	2005	2006
Yes	8	5	16	15
No	0	1	9	4
<b>Total</b>	8	6	25	19

<b>Criterion 23: Economic impacts assessed by type of proposal and year - Decisions</b>				
	2003	2004	2005	2006
Yes	2	5	4	2
No	0	0	1	2
<b>Total</b>	2	5	5	4

<b>Criterion 24: Economic impacts quantified by year</b>					
	Overall	2003	2004	2005	2006
Extensive	51	9	17	18	7
Minimal	32	5	2	16	9
No	72	7	9	38	18
<b>Total</b>	155	21	28	72	34

<b>Criterion 24: Economic impacts quantified by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
Extensive	51	35	12	4
Minimal	32	22	9	1
No	72	29	40	3
<b>Total</b>	155	86	61	8

<b>Criterion 25: Environmental impacts assessed by year</b>					
	Overall	2003	2004	2005	2006
Yes	85	18	17	36	14
No	70	3	11	36	20
<b>Total</b>	155	21	28	72	34

<b>Criterion 25: Environmental impacts assessed by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
Yes	85	46	33	6
No	70	40	28	2
<b>Total</b>	155	86	61	8

<b>Criterion 25: Environmental impacts assessed by type of proposal and year - Directives and Regulations</b>				
	2003	2004	2005	2006
Yes	8	12	15	2
No	2	5	13	7
<b>Total</b>	10	17	28	9

<b>Criterion 25: Environmental impacts identified by type of proposal and year - Communications</b>				
	2003	2004	2005	2006
Yes	7	3	11	11
No	1	3	14	8
<b>Total</b>	<b>8</b>	<b>6</b>	<b>25</b>	<b>19</b>

<b>Criterion 25: Environmental impacts identified by type of proposal and year - Decisions</b>				
	2003	2004	2005	2006
Yes	2	3	2	0
No	0	2	3	4
<b>Total</b>	<b>2</b>	<b>5</b>	<b>5</b>	<b>4</b>

<b>Criterion 26: Environmental impacts quantified by year</b>					
	Overall	2003	2004	2005	2006
Extensive	17	3	3	7	4
Minimal	19	4	5	8	2
No	119	14	20	57	28
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

<b>Criterion 26: Environmental impacts quantified by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
Extensive	17	6	8	3
Minimal	19	15	3	1
No	119	65	50	4
<b>Total</b>	<b>155</b>	<b>86</b>	<b>61</b>	<b>8</b>

<b>Criterion 27: Social impacts assessed by year</b>					
	Overall	2003	2004	2005	2006
Yes	135	21	26	59	29
No	20	0	2	13	5
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

<b>Criterion 27: Social impacts assessed by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
Yes	135	78	49	8
No	20	8	12	0
<b>Total</b>	<b>155</b>	<b>86</b>	<b>61</b>	<b>8</b>

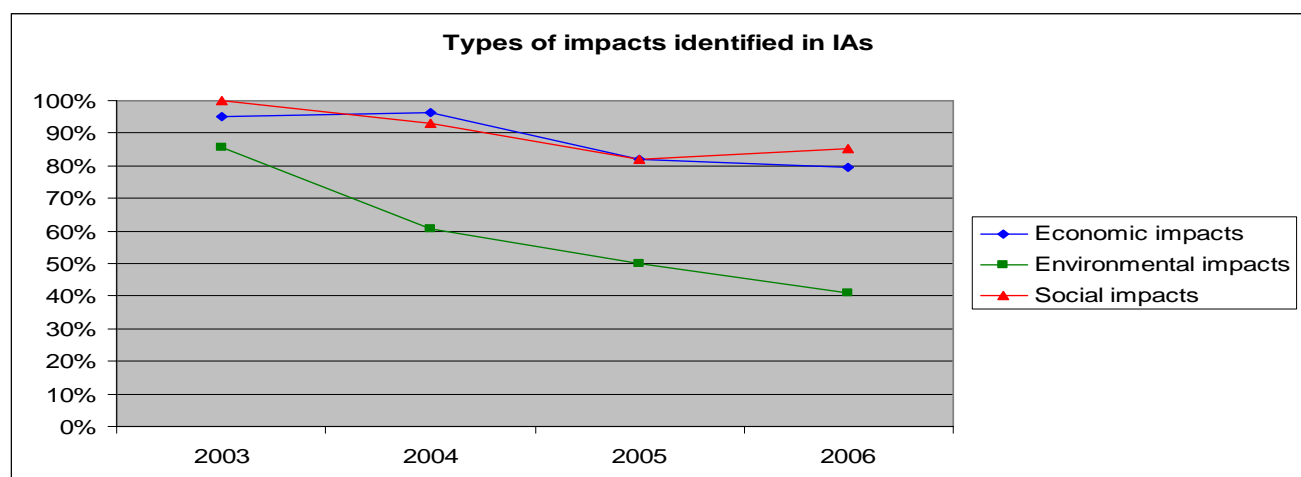
<b>Criterion 27: Social impacts assessed by type of proposal and year - Directives and Regulations</b>				
	2003	2004	2005	2006
Yes	10	17	24	8
No	0	0	4	1
<b>Total</b>	<b>10</b>	<b>17</b>	<b>28</b>	<b>9</b>

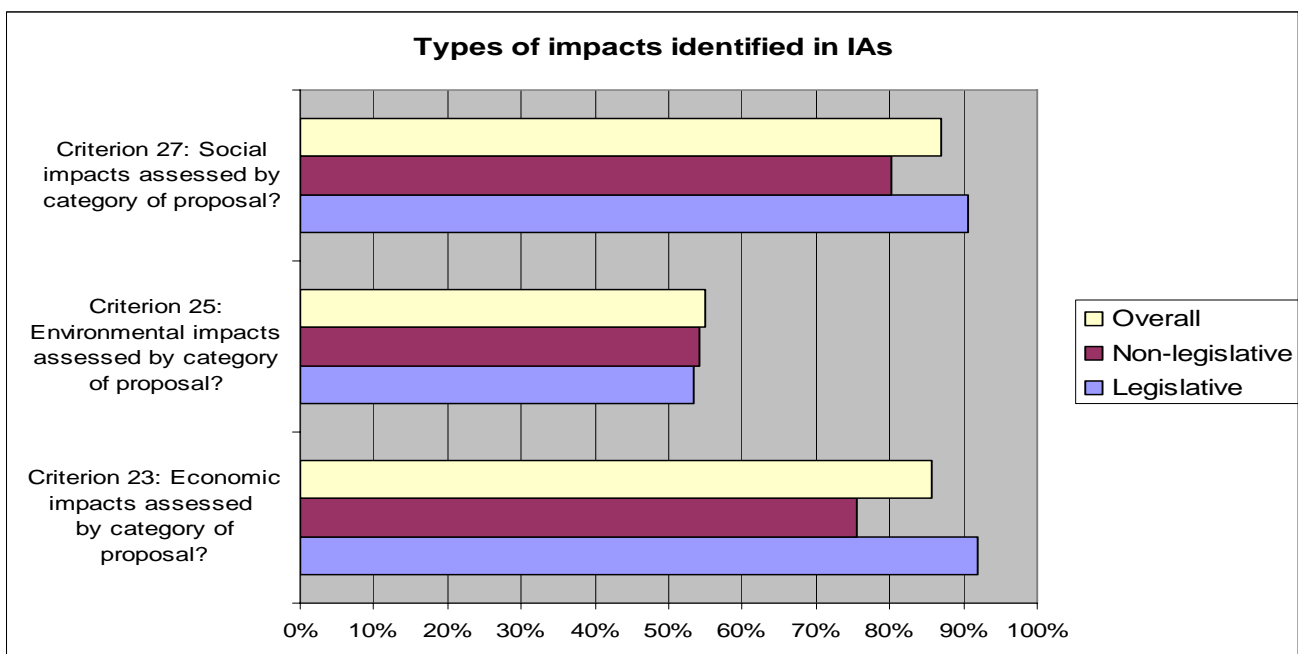
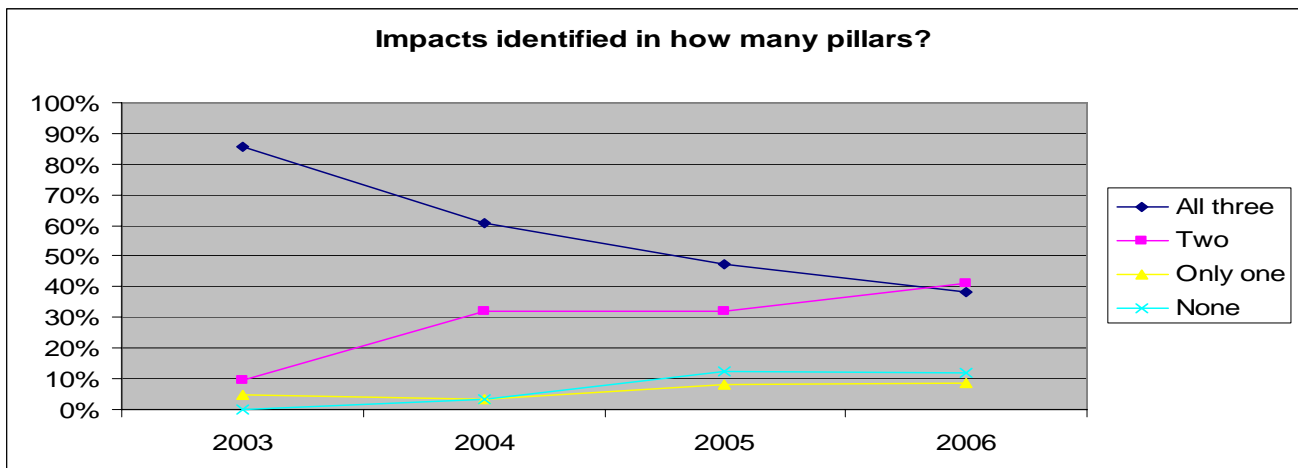
<b>Criterion 27: Social impacts identified by type of proposal and year - Communications</b>				
	2003	2004	2005	2006
Yes	8	5	17	17
No	0	1	8	2
<b>Total</b>	<b>8</b>	<b>6</b>	<b>25</b>	<b>19</b>

<b>Criterion 27: Social impacts identified by type of proposal and year - Decisions</b>				
	2003	2004	2005	2006
Yes	2	4	4	3
No	0	1	1	1
<b>Total</b>	<b>2</b>	<b>5</b>	<b>5</b>	<b>4</b>

<b>Criterion 23, 25 &amp; 27: Impacts identified in how many dimensions/pillars by year</b>					
	Overall	2003	2004	2005	2006
All three	82	18	17	34	13
Two	48	2	9	23	14
Only one	11	1	1	6	3
None	14	0	1	9	4
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

<b>Criterion 23, 25 &amp; 27: Impacts identified in how many dimensions/pillars by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
All three	82	44	32	6
Two	48	32	14	2
Only one	11	7	4	0
None	14	3	11	0
<b>Total</b>	<b>155</b>	<b>86</b>	<b>61</b>	<b>8</b>



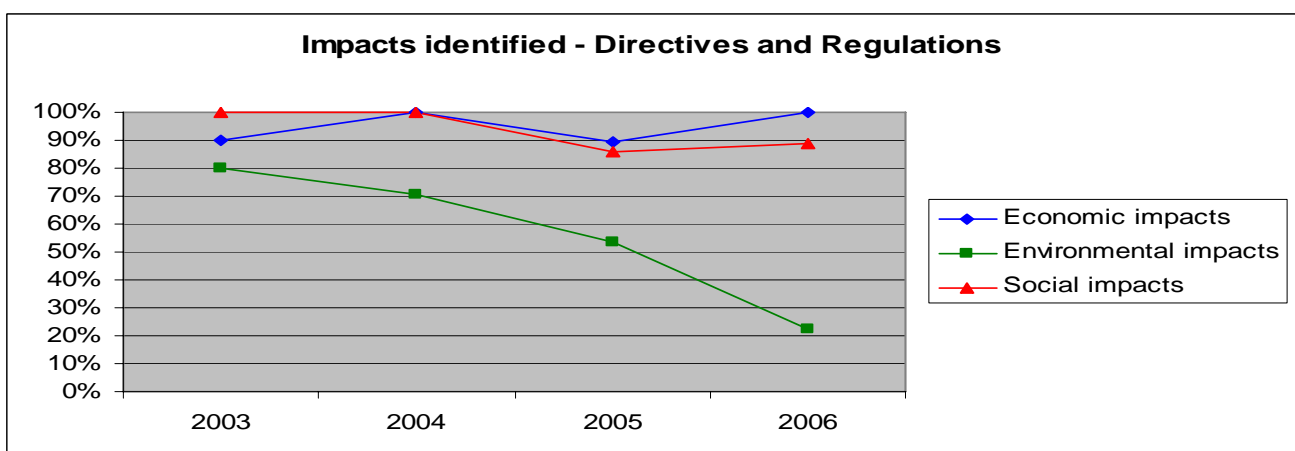
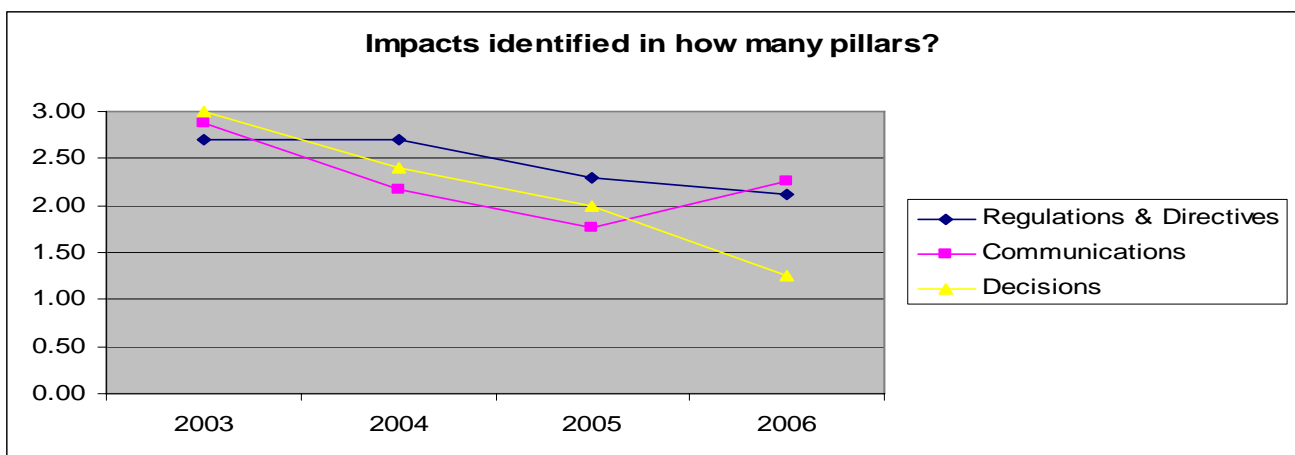


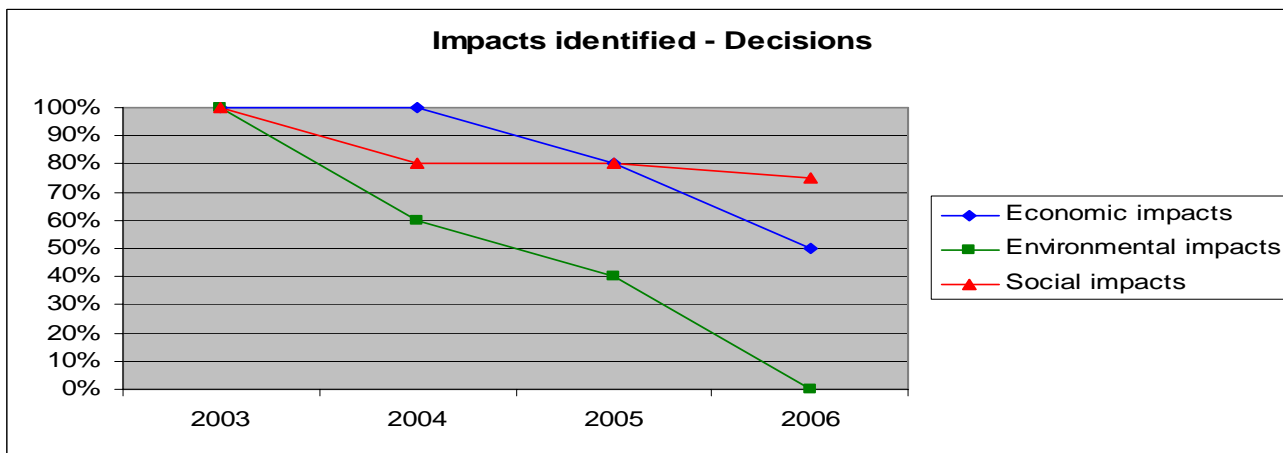
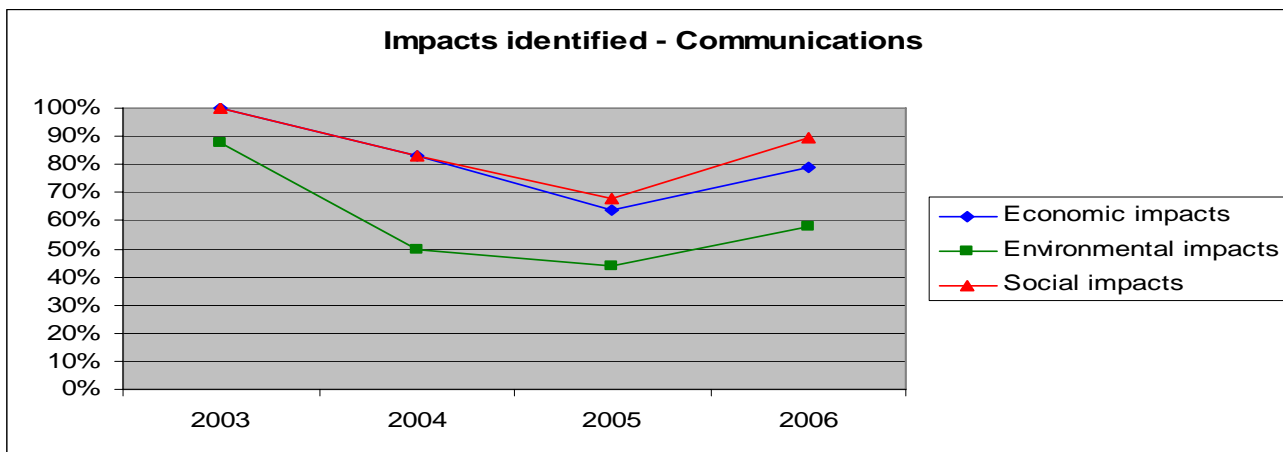
**Criterion 23, 25 & 27: Impacts assessed in how many dimensions/pillars by type of proposal and year**

Regulations & Directives					
	Overall	2003	2004	2005	2006
All three	35	8	12	13	2
Two	23	1	5	11	6
Only one	5	1	0	3	1
None	1	0	0	1	0
<b>Total</b>	<b>64</b>	<b>10</b>	<b>17</b>	<b>28</b>	<b>9</b>
Avg. no of dimensions:	2.44	2.70	2.71	2.29	2.11

<b>Decisions</b>					
	Overall	2003	2004	2005	2006
All three	7	2	3	2	0
Two	5	0	1	2	2
Only one	2	0	1	0	1
None	2	0	0	1	1
<b>Total</b>	<b>16</b>	<b>2</b>	<b>5</b>	<b>5</b>	<b>4</b>
Avg. no of dimensions:	2.06	3.00	2.40	2.00	1.25

<b>Communications</b>					
	Overall	2003	2004	2005	2006
All three	31	7	3	11	10
Two	13	1	2	4	6
Only one	4	0	0	3	1
None	10	0	1	7	2
<b>Total</b>	<b>58</b>	<b>8</b>	<b>6</b>	<b>25</b>	<b>19</b>
Avg. no of dimensions:	2.12	2.88	2.17	1.76	2.26





**Criterion 28: Social impacts quantified by year**

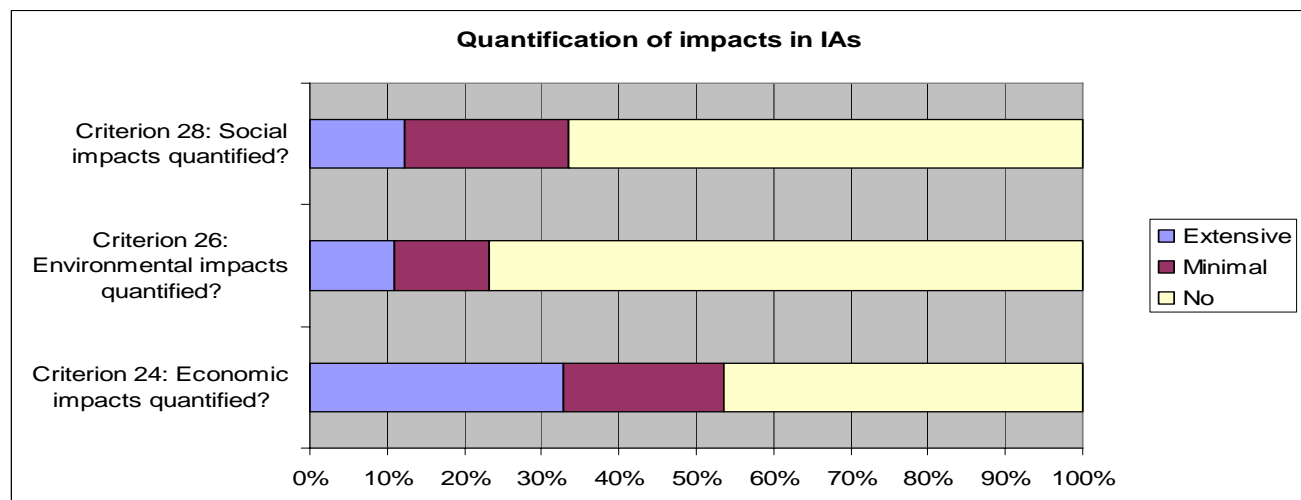
	Overall	2003	2004	2005	2006
Extensive	19	5	4	6	4
Minimal	33	4	9	12	8
No	103	12	15	54	22
<b>Total</b>	155	21	28	72	34

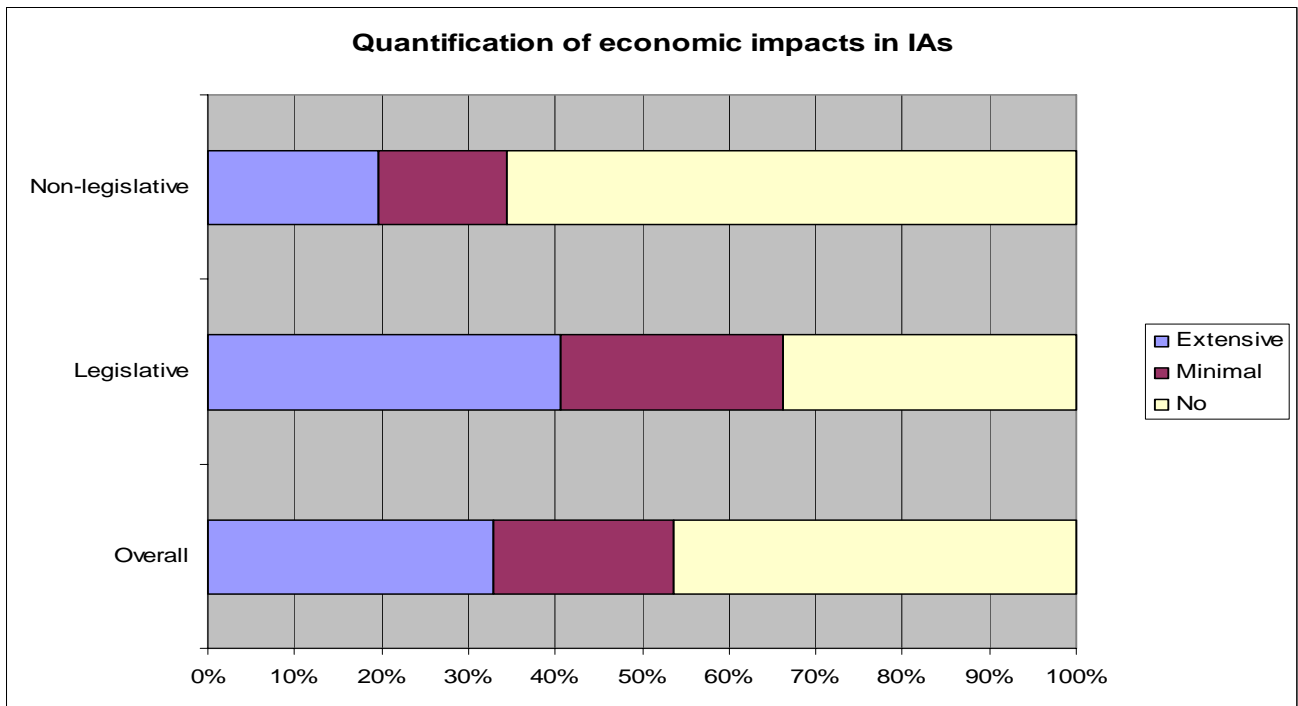
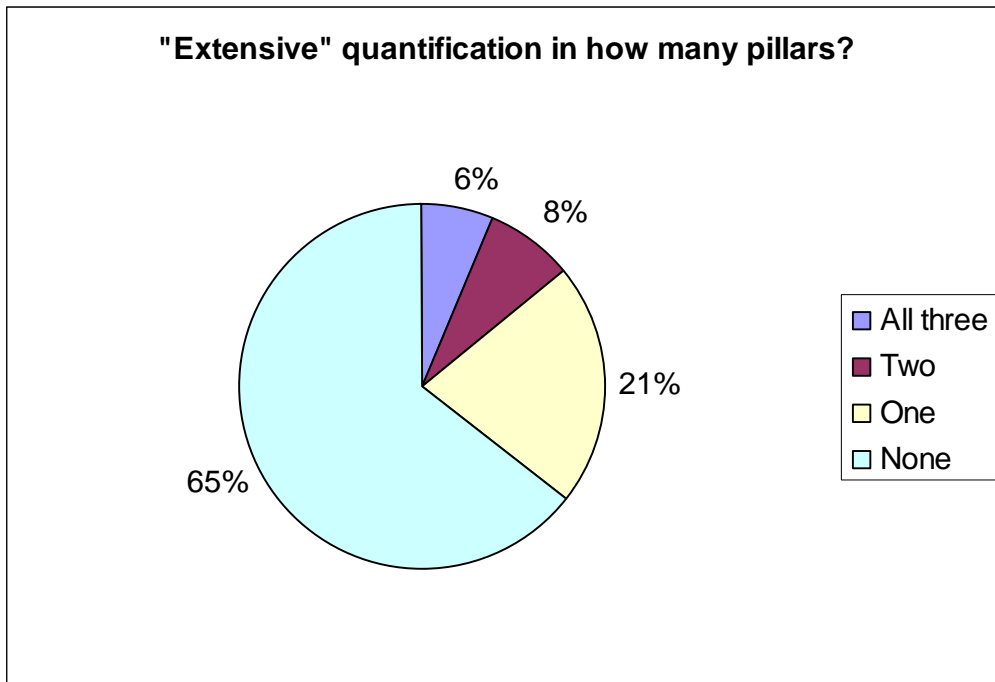
**Criterion 28: Social impacts quantified by category of proposal**

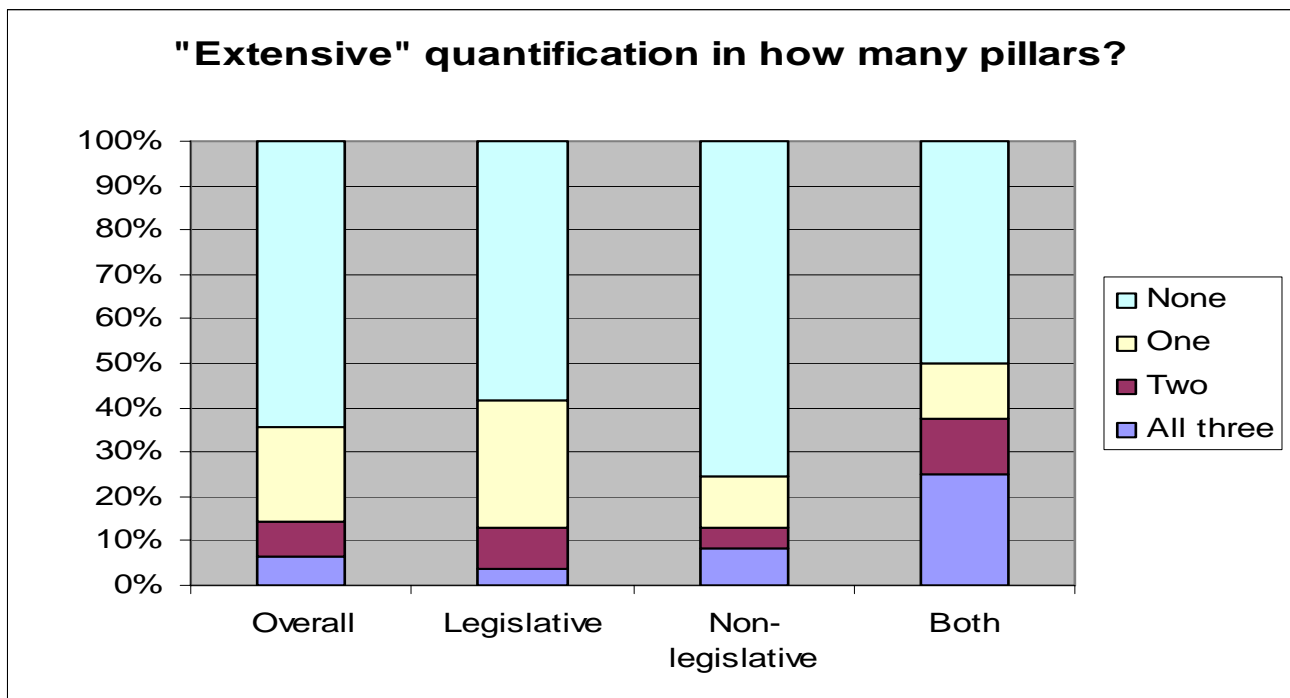
	Overall	Legislative	Non-legislative	Both
Extensive	19	9	8	2
Minimal	33	21	9	3
No	103	56	44	3
<b>Total</b>	155	86	61	8

Criterion 24, 26 & 28: Extensive quantification in how many pillars by year					
	Overall	2003	2004	2005	2006
All three	10	3	1	3	3
Two	12	1	5	5	1
One	33	6	11	12	4
None	100	11	11	52	26
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

Criterion 24, 26 & 28: Extensive quantification in how many pillars by category of proposal				
	Overall	Legislative	Non-legislative	Both
All three	10	3	5	2
Two	12	8	3	1
One	33	25	7	1
None	100	50	46	4
<b>Total</b>	<b>155</b>	<b>86</b>	<b>61</b>	<b>8</b>







Criterion 29: External impacts assessed by year					
	Overall	2003	2004	2005	2006
Yes	58	12	10	25	11
No	97	9	18	47	23
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

Criterion 30: External impacts quantified by year					
	Overall	2003	2004	2005	2006
Extensive	2	0	0	1	1
Minimal	15	3	5	5	2
No	138	18	23	66	31
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

Criterion 31: Impacts monetised by year					
	Overall	2003	2004	2005	2006
Yes	72	12	16	32	12
No	83	9	12	40	22
<b>Total</b>	<b>155</b>	<b>21</b>	<b>28</b>	<b>72</b>	<b>34</b>

Criterion 31: Any impacts monetised by category of proposal				
	Overall	Legislative	Non-legislative	Both
Yes	72	48	19	5
No	83	38	42	3
<b>Total</b>	<b>155</b>	<b>86</b>	<b>61</b>	<b>8</b>

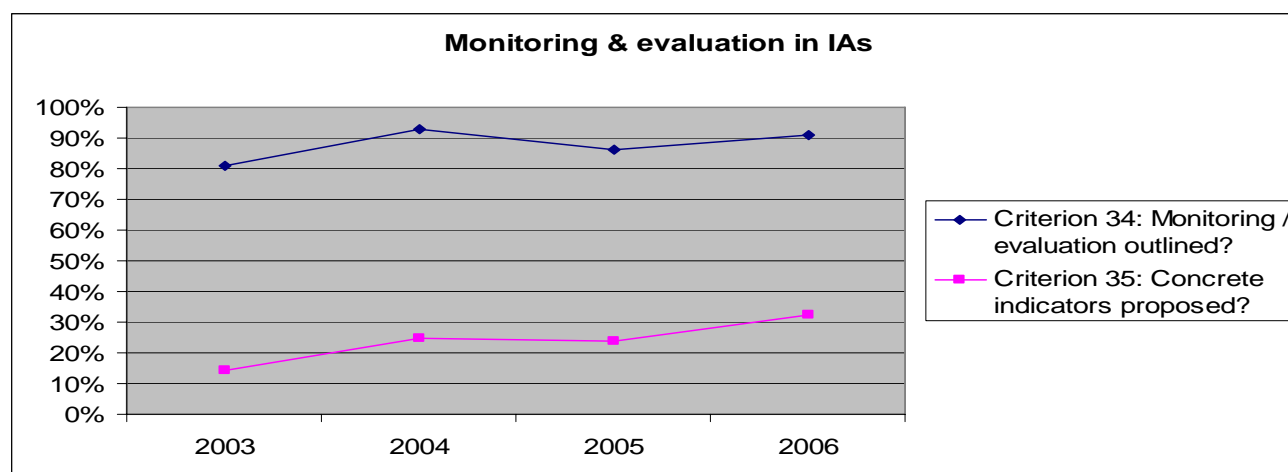
<b>Criterion 32: Options compared explicitly by year</b>					
	Overall	2003	2004	2005	2006
Yes	73	8	10	33	22
No	82	13	18	39	12
<b>Total</b>	155	21	28	72	34

<b>Criterion 32: Options compared explicitly by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
Yes	73	46	23	4
No	82	40	38	4
<b>Total</b>	155	86	61	8

<b>Criterion 33: Preferred option made explicit by year</b>					
	Overall	2003	2004	2005	2006
Yes	137	18	26	62	31
No	18	3	2	10	3
<b>Total</b>	155	21	28	72	34

<b>Criterion 33: Preferred option made explicit by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
Yes	137	79	50	8
No	18	7	11	0
<b>Total</b>	155	86	61	8

<b>Criterion 34: Monitoring / evaluation outlined by year</b>					
	Overall	2003	2004	2005	2006
Yes	136	17	26	62	31
No	19	4	2	10	3
<b>Total</b>	155	21	28	72	34



<b>Criterion 34: Monitoring / evaluation outlined by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
Yes	136	78	51	7
No	19	8	10	1
<b>Total</b>	155	86	61	8

<b>Criterion 35: Concrete indicators proposed by year</b>					
	Overall	2003	2004	2005	2006
Yes	38	3	7	17	11
No	117	18	21	55	23
<b>Total</b>	155	21	28	72	34

<b>Criterion 35: Concrete indicators proposed by category of proposal</b>				
	Overall	Legislative	Non-legislative	Both
Yes	38	26	9	3
No	117	60	52	5
<b>Total</b>	155	86	61	8

### 3 RESULTS OF THE EC OFFICIAL'S SURVEY

The following section shows the results of the EC official's survey. A total of 89 responses were received. However, not all respondents answered all questions. The percentages presented below were calculated in relation to the number of responses received to the particular question (except for questions which allowed for multiple answers, where the total number of respondents to the survey was used).

#### 3.1 PART I: THE COMMISSION'S IMPACT ASSESSMENT SYSTEM

##### 3.1.1 A. GUIDELINES

<b>I am familiar with the Commission's revised Impact Assessment Guidelines that were adopted in June 2005.</b>		
	Number of responses	% responses
Strongly Agree	28	32.18%
Agree	40	45.98%
Neutral	10	11.49%
Disagree	4	4.60%
Strongly Disagree	2	2.30%

<b>The content of the Commission's revised Impact Assessment Guidelines is helpful for officials involved in Impact Assessments.</b>		
	Number of responses	% responses
Strongly Agree	15	17.65%
Agree	48	56.47%
Neutral	10	11.76%
Disagree	5	5.88%
Strongly Disagree	2	2.35%
Don't know	5	5.88%

<b>The presentation of the Commission's revised Impact Assessment Guidelines meets the needs of officials (i.e. is clear and easy to use/operational).</b>		
	Number of responses	% responses
Strongly Agree	8	9%
Agree	31	36%
Neutral	27	32%
Disagree	9	11%
Strongly Disagree	4	5%
Don't know	6	7%

<b>The approach for IAs as foreseen in the Guidelines is balanced across the economic, social and environmental pillars.</b>		
	Number of responses	% responses
Strongly Agree	9	10.59%
Agree	25	29.41%

Neutral	29	34.12%
Disagree	12	14.12%
Strongly Disagree	1	1.18%
Don't know	9	10.59%

<b>Appropriate tools are in place to assess the economic impacts of proposals.</b>		
	Number of responses	% responses
Strongly Agree	1	1.18%
Agree	19	22.35%
Neutral	28	32.94%
Disagree	24	28.24%
Strongly Disagree	7	8.24%
Don't know	6	7.06%

<b>Appropriate tools are in place to assess the social impacts of proposals.</b>		
	Number of responses	% responses
Strongly Agree	0	0.00%
Agree	7	8.14%
Neutral	29	33.72%
Disagree	28	32.56%
Strongly Disagree	13	15.12%
Don't know	9	10.47%

<b>Appropriate tools are in place to assess the environmental impacts of proposals.</b>		
	Number of responses	% responses
Strongly Agree	0	0%
Agree	10	12%
Neutral	29	34%
Disagree	24	28%
Strongly Disagree	10	12%
Don't know	12	14%

### 3.1.2 B. TRAINING

<b>The training for Impact Assessments currently offered at central level (through the general Commission training programme) is sufficient.</b>		
	Number of responses	% responses
Strongly Agree	1	1.16%
Agree	18	20.93%
Neutral	28	32.56%
Disagree	18	20.93%
Strongly Disagree	4	4.65%
Don't know	17	19.77%
Did not answer	3	1.16%

<b>(If your DG provides training.) The training for Impact Assessments currently offered at DG level is sufficient.</b>		
	Number of responses	% responses
Strongly Agree	3	4.17%
Agree	24	33.33%
Neutral	17	23.61%
Disagree	9	12.50%
Strongly Disagree	2	2.78%
Don't know	17	23.61%

<b>The support that is provided by my DG to officials working on Impact Assessments is sufficient (procedural/operational support).</b>		
	Number of responses	% responses
Strongly Agree	6	7.23%
Agree	35	42.17%
Neutral	17	20.48%
Disagree	14	16.87%
Strongly Disagree	2	2.41%
Don't know	9	10.84%

<b>When needed, the support that is provided by the Secretariat-General to officials working on Impact Assessments is sufficient (procedural/operational support).</b>		
	Number of responses	% responses
Strongly Agree	3	3.57%
Agree	16	19.05%
Neutral	27	32.14%
Disagree	12	14.29%
Strongly Disagree	9	10.71%
Don't know	17	20.24%

### 3.1.3 C. APPLICATION AND PROPORTIONALITY

<b>In my policy field those Commission proposals with the most significant likely impacts are accompanied by an Impact Assessment.</b>		
	Number of responses	% responses
Strongly Agree	26	30.23%
Agree	37	43.02%
Neutral	8	9.30%
Disagree	8	9.30%
Strongly Disagree	4	4.65%
Don't Know	3	3.49%

<b>The quality criteria that impact assessments have to fulfil in order to be judged acceptable are sufficiently clear.</b>		
	Number of responses	% responses
Strongly Agree	3	3.45%
Agree	24	27.59%
Neutral	22	25.29%
Disagree	26	29.89%

Strongly Disagree	8	9.20%
Don't Know	4	4.60%

**It is sufficiently clear how the principle of "proportionate analysis" is to be interpreted and applied for concrete Impact Assessment work.**

	Number of responses	% responses
Strongly Agree	2	2.33%
Agree	15	17.44%
Neutral	17	19.77%
Disagree	40	46.51%
Strongly Disagree	8	9.30%
Don't Know	4	4.65%

**Impact Assessments and ex-ante evaluations are two instruments for the preparation of Commission proposals. It is sufficiently clear where they are overlapping/complementary to each other, and where the demarcation line between the two is.**

	Number of responses	% responses
Strongly Agree	2	2.33%
Agree	11	12.79%
Neutral	22	25.58%
Disagree	36	41.86%
Strongly Disagree	9	10.47%
Don't Know	6	6.98%

### 3.1.4 D. TIMING AND DATA

**The timing of Roadmaps and the Impact Assessment process allows for sufficient inter-service contact and consultation.**

	Number of responses	% responses
Strongly Agree	0	0%
Agree	32	36%
Neutral	30	34%
Disagree	17	19%
Strongly Disagree	3	3%
Don't know	7	8%

**The timing of Impact Assessments allows serious examination of alternative options (i.e. other policy instruments that could potentially achieve the same objectives).**

	Number of responses	% responses
Strongly Agree	1	1.16%
Agree	20	23.26%
Neutral	21	24.42%
Disagree	32	37.21%
Strongly Disagree	9	10.47%
Don't know	3	3.49%

<b>In the Impact Assessment work I was involved in, there was a lack of data/data was inappropriate (e.g. was not comparable over EU 25).</b>		
	Number of responses	% responses
Strongly Agree	20	23.26%
Agree	30	34.88%
Neutral	20	23.26%
Disagree	11	12.79%
Strongly Disagree	1	1.16%
Don't know	4	4.65%

<b>Where data were lacking/inappropriate, it had a significant effect on the time taken to carry out the Impact Assessment.</b>		
	Number of responses	% responses
Strongly Agree	4	4.88%
Agree	31	37.80%
Neutral	27	32.93%
Disagree	14	17.07%
Strongly Disagree	2	2.44%
Don't know	4	4.88%

<b>Where data were lacking/inappropriate, it had a significant effect on the quality of the Impact Assessment.</b>		
	Number of responses	% responses
Strongly Agree	13	15.85%
Agree	44	53.66%
Neutral	13	15.85%
Disagree	8	9.76%
Strongly Disagree	0	0.00%
Don't know	4	4.88%

<b>How did you collect data for the IA(s) that you were involved in? (Multiple answers possible)</b>		
	Number of responses	% responses
Stakeholder Consultation	63	70.80%
External Consultancy Report	55	61.80%
Literature Review	55	61.80%
Other DGs	48	53.90%
Workshops/seminars, conference	43	48.30%
Through Member States	38	42.70%
Working Groups	35	39.30%
Mid-term/Ex-post Evaluations	19	21.30%

### 3.1.5 E. INTER-SERVICE STEERING GROUP

<b>Do you have any experience with Inter-Service Steering Groups (ISSGs) in the context of Impact Assessments?</b>		
	Number of responses	% responses
Yes, I was the chair	18	20.45%
Yes, I participated	47	53.41%

No	23	26.14%
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## ISSG CHAIRS

The ISSG has allowed us to integrate views, evidence and/or data into the IA work that we had not known/had before.

	Number of responses	% responses
Strongly Agree	4	25.00%
Agree	11	68.75%
Neutral	0	0.00%
Disagree	1	6.25%
Strongly Disagree	0	0.00%
Don't know	0	0.00%

The ISSG has provided us with an early warning about potential criticism with regard to our proposal.

	Number of responses	% responses
Strongly Agree	7	43.75%
Agree	6	37.50%
Neutral	2	12.50%
Disagree	1	6.25%
Strongly Disagree	0	0.00%
Don't know	0	0.00%

The work of the ISSG contributed to clarifying and/or reaching agreement on controversial issues.

	Number of responses	% responses
Strongly Agree	4	25.00%
Agree	5	31.25%
Neutral	5	31.25%
Disagree	2	12.50%
Strongly Disagree	0	0.00%
Don't know	0	0.00%

The work of the ISSG assisted in identifying and assessing different technical options.

	Number of responses	% responses
Strongly Agree	2	12.50%
Agree	6	37.50%
Neutral	4	25.00%
Disagree	4	25.00%
Strongly Disagree	0	0.00%
Don't know	0	0.00%

## ISSG PARTICIPANTS

The ISSG was set up and convened sufficiently early in the IA process to have an effect on the examination of relevant options and their likely impacts.

	Number of responses	% responses
Strongly Agree	3	7.14%
Agree	15	35.71%
Neutral	13	30.95%
Disagree	8	19.05%
Strongly Disagree	3	7.14%
Don't know	0	0.00%

The lead DG organised the work of the ISSG in a transparent and open manner, including the timely provision of meeting documents.

	Number of responses	% responses
Strongly Agree	4	9.76%
Agree	15	36.59%
Neutral	11	26.83%
Disagree	10	24.39%
Strongly Disagree	1	2.44%
Don't know	0	0.00%

The work of the ISSG has allowed different DGs to give direct input into the IA work.

	Number of responses	% responses
Strongly Agree	5	12.20%
Agree	26	63.41%
Neutral	8	19.51%
Disagree	1	2.44%
Strongly Disagree	1	2.44%
Don't know	0	0.00%

The work of the ISSG assisted in identifying and assessing different technical options.

	Number of responses	% responses
Strongly Agree	2	5.00%
Agree	13	32.50%
Neutral	15	37.50%
Disagree	8	20.00%
Strongly Disagree	2	5.00%
Don't know	0	0%

The lead DG made an effort to take on board the comments made by other DGs.

	Number of responses	% responses
Strongly Agree	4	10.00%
Agree	16	40.00%
Neutral	16	40.00%
Disagree	4	10.00%

Strongly Disagree	0	0.00%
Don't know	0	0.00%

### 3.1.6 F. OUTPUTS

<b>The Impact Assessment system (in particular the preparation of roadmaps) has enhanced the ability of Commission services and officials to find out about, follow and, where appropriate, influence other DGs' proposals.</b>		
	Number of responses	% responses
Strongly Agree	8	9%
Agree	31	36%
Neutral	30	34%
Disagree	8	9%
Strongly Disagree	5	6%
Don't know	5	6%

<b>Impact Assessments are useful in explaining and defending policy decisions internally (inside the Commission).</b>		
	Number of responses	% responses
Strongly Agree	15	17.05%
Agree	42	47.73%
Neutral	12	13.64%
Disagree	9	10.23%
Strongly Disagree	8	9.09%
Don't know	2	2.27%

<b>The Impact Assessment system helps to explain to those outside the Commission why an action is necessary and that the proposed response is an appropriate choice.</b>		
	Number of responses	% responses
Strongly Agree	19	21.59%
Agree	38	43.18%
Neutral	15	17.05%
Disagree	9	10.23%
Strongly Disagree	6	6.82%
Don't know	1	1.14%

<b>Overall, the introduction of integrated Impact Assessments has contributed to improving the quality of Commission policy and legislative proposals by maximising their positive and minimising their negative impacts</b>		
	Number of responses	% responses
Strongly Agree	9	10.34%
Agree	22	25.29%
Neutral	24	27.59%
Disagree	15	17.24%
Strongly Disagree	11	12.64%
Don't know	6	6.90%

<b>By requiring examination of economic, environmental and social impacts in an integrated way, the Impact Assessment system contributes to achieving the EU's objective of "sustainable development" (i.e. economic development that does not undermine the incomes, resources, or environment of future generations.).</b>		
	Number of responses	% responses
Strongly Agree	3	3.45%
Agree	28	32.18%
Neutral	25	28.74%
Disagree	12	13.79%
Strongly Disagree	11	12.64%
Don't know	8	9.20%

<b>By examining the administrative costs and contrasting them with the overall benefits of EU proposals, Impact Assessments contribute to achieving the EU's objective of enhancing competitiveness, fostering economic growth and creating more and better jobs.</b>		
	Number of responses	% responses
Strongly Agree	2	2.30%
Agree	24	27.59%
Neutral	32	36.78%
Disagree	8	9.20%
Strongly Disagree	15	17.24%
Don't know	6	6.90%

### 3.1.7 G. IMPACTS

<b>Carrying out Impact Assessments means it takes significantly more time and resources to prepare and adopt Commission proposals.</b>		
	Number of responses	% responses
Strongly Agree	36	40.91%
Agree	37	42.05%
Neutral	12	13.64%
Disagree	2	2.27%
Strongly Disagree	0	0.00%
Don't know	1	1.14%

<b>Carrying out Impact Assessments means it takes significantly less time to reach agreement on proposals during inter-service consultations and/or during the inter-institutional decision-making process.</b>		
	Number of responses	% responses
Strongly Agree	0	0%
Agree	29	34%
Neutral	28	33%
Disagree	18	21%
Strongly Disagree	7	8%
Don't know	4	5%

<b>In a significant number of cases, Impact Assessments lead to Commission proposals being significantly changed, modified or even withdrawn.</b>		
	Number of responses	% responses
Strongly Agree	3	3.45%
Agree	9	10.34%

Neutral	26	29.89%
Disagree	20	22.99%
Strongly Disagree	10	11.49%
Don't know	19	21.84%

**Most Impact Assessments are carried out in order to justify a policy choice that had already been made at the beginning of the process.**

	Number of responses	% responses
Strongly Agree	27	31.40%
Agree	31	36.05%
Neutral	18	20.93%
Disagree	8	9.30%
Strongly Disagree	0	0.00%
Don't know	2	2.33%

### 3.2 PART II: YOUR PROFILE

Which DG do you work for? (Please mark one of the following)

	Number of responses	% responses
Internal Market and Services	12	13.50%
Transport and Energy	12	13.50%
Justice, Freedom and Security	8	9%
Enterprise and Industry	7	7.90%
Health and Consumer Protection	6	6.70%
Secretariat General	6	6.70%
Agriculture and Rural Development	5	5.60%
Economic and Financial Affairs	5	5.60%
Information Society and Media	4	4.50%
Competition	3	3.40%
Environment	3	3.40%
Taxation and Customs Union	3	3.40%
Fisheries and Maritime Affairs	2	2.20%
Research	2	2.20%
Development	2	2.20%
Education and Culture	1	1.10%
External Relations	1	1.10%
Employment, Social Affairs and Equal Opportunities	0	0%
Joint Research Centre	0	0%
Regional Policy	0	0%
Enlargement	0	0%
EuropeAid - Co-operation Office	0	0%
Humanitarian Aid	0	0%
Trade	0	0%
Communication	0	0%
European Anti-Fraud Office	0	0%
Eurostat	0	0%
Publications Office	0	0%
Budget	0	0%

Bureau of European Policy Advisers	0	0%
Informatics	0	0%
Internal Audit Service	0	0%
Legal Service	0	0%
Personnel and Administration	0	0%
Translation	0	0%
Other	0	0%

<b>What is your age group?</b>		
	Number of responses	% responses
30 – 39 years old	41	50.00%
40 – 49 years old	26	31.71%
50 – 59 years old	9	10.98%
up to 29 years old	4	4.88%
Over 60 years old	2	2.44%

<b>How many Impact Assessments have you worked on directly?</b>		
	Number of responses	% responses
1	30	46.15%
2	17	26.15%
3	4	6.15%
4	5	7.69%
5	3	4.62%
6	1	1.54%
7	0	0.00%
8	0	0.00%
9	1	1.54%
10+	4	6.15%

<b>How many Impact Assessments have you worked on indirectly (e.g. by participating in an ISSG)?</b>		
	Number of responses	% responses
1	11	18.64%
2	16	27.12%
3	8	13.56%
4	7	11.86%
5	4	6.78%
6	3	5.08%
7	1	1.69%
8	0	0.00%
9	1	1.69%
10+	8	13.56%

<b>Have you undergone any formal training on Impact Assessment?</b>		
	Number of responses	% responses
Yes, training organised by the Secretariat General	35	40.70%
Yes, training organised by my DG	28	32.56%
No formal training	23	26.74%

## 4 RESULTS OF THE STAKEHOLDER CONSULTATION

The section below shows the results of the stakeholder consultation. A total of 114 responses were received. However, not all respondents answered all questions. The percentages presented below were calculated in relation to the number of responses received to the particular question (except for questions which allowed for multiple answers, where the total number of respondents to the survey was used).

### 4.1 PART I: ON IMPACT ASSESSMENTS YOU HAVE CONTRIBUTED TO

#### INTRODUCTION

Have you participated in any stakeholder consultation processes related to Impact Assessments?		
	Number of responses	% responses
Yes, in one	20	19.2%
Yes, in two or three	24	23.1%
Yes, in four or more	29	27.9%
No, but I am familiar with Commission IAs.	31	29.8%

Which year(s) did you participate?		
	Number of responses	% responses
2006	56	49.1%
2005	56	49.1%
2004	36	31.6%
2003	23	20.2%

Related to which policy area(s)?		
	Number of responses	% responses
Economic affairs (including industrial, services, agricultural, financial and monetary, research and innovation policy)	47	41.2%
Environmental affairs (including aspects of energy, transport and other policies with a focus on the environment)	35	30.7%
Social affairs (including employment, culture and education, security and justice, health and consumer protection policy)	24	21.1%
EU institutional affairs (including governance, decision procedures)	15	13.2%
International affairs (including development, enlargement and trade policy)	12	10.5%
Any other policy area	8	7%

<b>In what way(s) did you contribute to this / these IA(s)?</b>		
	Number of responses	% responses
By responding to a paper / e-mail based consultation	53	46.5%
By attending a workshop / seminar, conference, or similar	49	43%
By responding to an online consultation	45	39.5%
By attending an open hearing	45	39.5%
By forming part of an especially established expert group or focus group	42	36.8%
By providing ad hoc input	41	36%
No active contribution	3	2.6%

<b>Input was sought at appropriate points of time during the IA process.</b>		
	Number of responses	% responses
Strongly Agree	3	3.9%
Agree	22	28.6%
Neutral	16	20.8%
Disagree	19	24.7%
Strongly Disagree	14	18.2%
Don't know	3	3.9%

<b>There was enough time and opportunities to provide input.</b>		
	Number of responses	% responses
Strongly Agree	3	3.8%
Agree	20	25.6%
Neutral	11	14.1%
Disagree	32	41.0%
Strongly Disagree	12	15.4%
Don't know	0	0.0%

<b>The input was sought through appropriate channels (e.g. internet consultations, conferences etc.).</b>		
	Number of responses	% responses
Strongly Agree	5	6.3%
Agree	42	53.2%
Neutral	12	15.2%
Disagree	15	19.0%
Strongly Disagree	4	5.1%
Don't know	1	1.3%

<b>It was clear what input was being sought (clear instructions / problem-oriented questions).</b>		
	Number of responses	% responses
Strongly Agree	3	3.8%
Agree	27	34.6%
Neutral	24	30.8%
Disagree	18	23.1%
Strongly Disagree	6	7.7%
Don't know	0	0.0%

<b>The contribution was acknowledged and a summary of stakeholder contributions presented in the IA report.</b>		
	Number of responses	% responses
Strongly Agree	2	2.6%
Agree	23	29.9%
Neutral	24	31.2%
Disagree	21	27.3%
Strongly Disagree	5	6.5%
Don't know	2	2.6%

<b>Sufficient effort was put into identifying who is affected by the problem (including those outside the EU) and in what way.</b>		
	Number of responses	% responses
Strongly Agree	3	3.3%
Agree	30	33.0%
Neutral	19	20.9%
Disagree	25	27.5%
Disagree Strongly	11	12.1%
Don't Know	3	3.3%

<b>The IA examined the most relevant policy options in an appropriate level of detail.</b>		
	Number of responses	% responses
Strongly Agree	5	5.2%
Agree	18	18.8%
Neutral	19	19.8%
Disagree	30	31.3%
Disagree Strongly	23	24.0%
Don't Know	1	1.0%

<b>The analysis of impacts was based on solid, transparent and reproducible data.</b>		
	Number of responses	% responses
Strongly Agree	2	2.1%
Agree	13	13.5%
Neutral	19	19.8%
Disagree	43	44.8%
Disagree Strongly	17	17.7%
Don't Know	2	2.1%

<b>The analysis of impacts paid an appropriate amount of attention to economic, environmental and social impacts.</b>		
	Number of responses	% responses
Strongly Agree	2	2.1%
Agree	23	24.2%
Neutral	20	21.1%
Disagree	34	35.8%
Disagree Strongly	16	16.8%
Don't Know	0	0.0%

<b>The IA report was well-structured, clear and easy to read and understand.</b>		
	Number of responses	% responses
Strongly Agree	5	5.2%
Agree	32	33.3%
Neutral	32	33.3%
Disagree	19	19.8%
Disagree Strongly	8	8.3%
Don't Know	0	0.0%

<b>The IA report was neither too long nor too short.</b>		
	Number of responses	% responses
Strongly Agree	1	1.1%
Agree	27	28.7%
Neutral	42	44.7%
Disagree	19	20.2%
Disagree Strongly	5	5.3%
Don't Know	0	0.0%

<b>The language in which IA reports are published (normally English or French) is easy for me to understand and does not limit their usefulness.</b>		
	Number of responses	% responses
Strongly Agree	18	18.9%
Agree	44	46.3%
Neutral	14	14.7%
Disagree	9	9.5%
Disagree Strongly	9	9.5%
Don't Know	1	1.1%

<b>The IA report helps to explain why the proposed action is necessary and that the proposed response is an appropriate choice.</b>		
	Number of responses	% responses
Strongly Agree	2	2.1%
Agree	30	31.9%
Neutral	17	18.1%
Disagree	30	31.9%
Disagree Strongly	15	16.0%
Don't Know	0	0.0%

<b>The choice of the preferred option was/is sufficiently justified by the analysis of likely impacts.</b>		
	Number of responses	% responses
Strongly Agree	2	2.2%
Agree	11	11.8%
Neutral	15	16.1%
Disagree	44	47.3%
Disagree Strongly	20	21.5%
Don't Know	1	1.1%

<b>The evidence presented in the IA report is reflected in the final legislative or policy proposal adopted by the Commission.</b>		
	Number of responses	% responses
Strongly Agree	4	4.4%
Agree	22	24.2%
Neutral	25	27.5%
Disagree	21	23.1%
Disagree Strongly	12	13.2%
Don't Know	7	7.7%

## **4.2 PART II: ON THE COMMISSION'S IMPACT ASSESSMENT SYSTEM IN GENERAL**

<b>The IA system (i.e. why, when and how IAs are undertaken) is easy to follow and understand.</b>		
	Number of responses	% responses
Agree Strongly	2	2.0%
Agree	36	36.7%
Neutral	26	26.5%
Disagree	30	30.6%
Disagree Strongly	4	4.1%
Don't know	0	0.0%

<b>The IA process provides interested parties adequate opportunities to provide relevant opinions and information.</b>		
	Number of responses	% responses
Agree Strongly	3	3.1%
Agree	40	41.2%
Neutral	19	19.6%
Disagree	26	26.8%
Disagree Strongly	9	9.3%
Don't know	0	0.0%

<b>The Commission's approach to IAs (as outlined in the Guidelines) is balanced, i.e. it places an adequate amount of importance on the analysis of economic, environmental and social impacts.</b>		
	Number of responses	% responses
Agree Strongly	6	6.2%
Agree	26	26.8%
Neutral	24	24.7%
Disagree	33	34.0%
Disagree Strongly	8	8.2%
Don't know	0	0.0%

<b>The approach should be refined to facilitate a more in-depth analysis of the economic impacts(e.g. impacts on competitiveness, trade and investment; administrative burden; the budgets of public authorities; etc.).</b>		
	Number of responses	% responses
Agree Strongly	42	42.0%
Agree	30	30.0%
Neutral	15	15.0%
Disagree	9	9.0%
Disagree Strongly	3	3.0%
Don't know	1	1.0%

<b>The approach should be refined to facilitate a more in-depth analysis of the environmental impacts (e.g. impacts on air, water and soil quality; biodiversity; the climate; animal and plant health; etc.).</b>		
	Number of responses	% responses
Agree Strongly	18	18.0%
Agree	23	23.0%
Neutral	35	35.0%
Disagree	21	21.0%
Disagree Strongly	3	3.0%
Don't know	0	0.0%

<b>The approach should be refined to facilitate a more in-depth analysis of the social impacts (e.g. impacts on employment; social inclusion and equality; public health &amp; safety; etc.).</b>		
	Number of responses	% responses
Agree Strongly	24	24.5%
Agree	36	36.7%
Neutral	24	24.5%
Disagree	13	13.3%
Disagree Strongly	1	1.0%
Don't know	0	0.0%

<b>IAs should make a greater effort to quantify the likely impacts of Commission proposals.</b>		
	Number of responses	% responses
Agree Strongly	38	38.0%
Agree	40	40.0%
Neutral	16	16.0%
Disagree	5	5.0%
Disagree Strongly	1	1.0%
Don't know	0	0.0%

<b>IAs should make a greater effort to express impacts in monetary terms.</b>		
	Number of responses	% responses
Agree Strongly	26	26.3%
Agree	32	32.3%
Neutral	30	30.3%
Disagree	10	10.1%
Disagree Strongly	1	1.0%
Don't know	0	0.0%

<b>The quality of IAs produced by the Commission has improved in the period since the introduction of integrated IAs in 2003.</b>		
	Number of responses	% responses
Agree Strongly	7	7.6%
Agree	31	33.7%
Neutral	28	30.4%
Disagree	9	9.8%
Disagree Strongly	4	4.3%
Don't know	13	14.1%

<b>Overall, the introduction of integrated IAs has contributed to improving the quality of Commission policy and legislative proposals by maximising the positive and minimising the negative impacts.</b>		
	Number of responses	% responses
Agree Strongly	7	7.4%
Agree	20	21.1%
Neutral	22	23.2%
Disagree	28	29.5%
Disagree Strongly	10	10.5%
Don't know	8	8.4%

<b>By requiring examination of economic, environmental and social impacts in an integrated way, Impact Assessments contribute to achieving the EU's objective of "sustainable development" (i.e. economic development that does not undermine the incomes, resources, or environment of future generations.).</b>		
	Number of responses	% responses
Agree Strongly	9	9.1%
Agree	42	42.4%
Neutral	29	29.3%
Disagree	7	7.1%
Disagree Strongly	6	6.1%
Don't know	6	6.1%

<b>By examining the cost of EU proposals for businesses, IAs contribute to achieving the EU's objective of enhancing competitiveness, fostering economic growth and creating more and better jobs.</b>		
	Number of responses	% responses
Agree Strongly	10	10.1%
Agree	30	30.3%
Neutral	31	31.3%
Disagree	13	13.1%
Disagree Strongly	7	7.1%
Don't know	8	8.1%

### 4.3 PART III: RESPONDENT PROFILE

<b>Are you responding to this consultation as an individual or on behalf of an organisation?</b>		
	Number of responses	% responses
Organisation	76	71.7%
Individual	30	28.3%

<b>What type of organisation are you representing/or do you work for?</b>		
	Number of responses	% responses
Industry (Association or Company)	57	55.9%
NGO	15	14.7%
Member State authority	13	12.7%
Think Tank / Research Institution / Academic Institution	6	5.9%
Trade Union / Employee Federation	1	1.0%
No organisation	7	6.9%
Other	3	2.9%

<b>What Policy Area best describes your / your organisation's field of operation / interest?</b>		
	Number of responses	% responses
Economic affairs	46	44.7%
Environmental affairs	22	21.4%
Social affairs	14	13.6%
International affairs	10	9.7%
EU institutional affairs	6	5.8%
Any other policy area	5	4.9%

<b>Where are you / is your organisation based?</b>		
	Number of responses	% responses
Belgium	29	29.6%
Germany	13	13.3%
United Kingdom	13	13.3%
EU-wide	10	10.2%
Austria	5	5.1%
France	5	5.1%
Italy	4	4.1%
Netherlands	3	3.1%
Non-EU country	3	3.1%
Finland	2	2.0%
Ireland	2	2.0%
Portugal	2	2.0%
Slovakia	2	2.0%
Greece	1	1.0%
Hungary	1	1.0%
Luxembourg	1	1.0%
Poland	1	1.0%
Sweden	1	1.0%

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Cyprus	0	0.0%
Czech Republic	0	0.0%
Denmark	0	0.0%
Estonia	0	0.0%
Latvia	0	0.0%
Lithuania	0	0.0%
Malta	0	0.0%
Slovenia	0	0.0%
Spain	0	0.0%

## 5 RESULTS OF THE INFORMATION REQUEST TO IA SUPPORT FUNCTIONS

The following are the results of the survey (closed questions) part of the information request. Responses to the questions asking for detailed information about individual DGs' practices, approaches, materials, resources etc. cannot be presented in aggregated form.

A total of 21 DGs and services responded to the information request. However, one DG provided multiple answers to the closed questions, reflecting the views of different units within the DG. These are not included in the figures presented below.

<b>The timing of roadmaps and the Impact Assessment process facilitates sufficient inter-service contact and consultation.</b>		
	Number of responses	% of responses
Strongly Agree	2	10%
Agree	8	40%
Neutral	8	40%
Disagree	2	10%
Strongly Disagree	0	0%
Don't know	0	0%

<b>The timing Impact Assessments allows serious examination of relevant options (i.e. other policy instruments that could potentially achieve the same objectives).</b>		
	Number of responses	% of responses
Strongly Agree	0	0%
Agree	10	50%
Neutral	7	35%
Disagree	2	10%
Strongly Disagree	1	5%
Don't know	0	0%

<b>Impact Assessments should be carried out before the proposal ever appears in the CLWP (i.e. earlier than currently foreseen in the SPP cycle and IA guidelines).</b>		
	Number of responses	% of responses
Strongly Agree	4	20%
Agree	4	20%
Neutral	4	20%
Disagree	5	25%
Strongly Disagree	3	15%
Don't know	0	0%

<b>The Impact Assessment system, in particular the roadmaps, increase transparency and facilitate better planning within the Commission.</b>		
	Number of responses	% of responses
Strongly Agree	4	20%
Agree	15	75%
Neutral	1	5%

Disagree	0	0%
Strongly Disagree	0	0%
Don't know	0	0%

**Inter-Service Steering Groups have contributed to balanced and integrated Impact Assessments of adequate quality.**

	Number of responses	% of responses
Strongly Agree	2	10.5%
Agree	10	52.6%
Neutral	4	21.1%
Disagree	1	5.3%
Strongly Disagree	0	0%
Don't know	2	10.5%

**External work has generally added value / complemented individual IAs.**

	Number of responses	% of responses
Strongly Agree	2	10%
Agree	12	60%
Neutral	4	20%
Disagree	0	0%
Strongly Disagree	0	0%
Don't know	2	10%

**There are adequate arrangements at central level (SG) to ensure the consistent implementation of the IA Guidelines and quality control of IAs.**

	Number of responses	% of responses
Strongly Agree	0	0%
Agree	9.5*	47.5%
Neutral	3	15%
Disagree	5	25%
Strongly Disagree	1.5*	7.5%
Don't know	1	5%

\* One DG responded "Agree for the guidelines - Disagree strongly for quality"

**The level of coordination between SecGen and DGs is adequate to ensure consistent implementation of the IA Guidelines and quality Control of IAs.**

	Number of responses	% of responses
Strongly Agree	0	0%
Agree	8.5*	42.5%
Neutral	4	20%
Disagree	6	30%
Strongly Disagree	1.5*	7.5%
Don't know	0	0%

\* One DG responded "Agree for the guidelines - Disagree strongly for quality"

**The quality criteria that impact assessments have to fulfill in order to be judged acceptable are sufficiently clear.**

	Number of responses	% of responses
Strongly Agree	0	0%
Agree	10	50%
Neutral	3	15%
Disagree	6	30%
Strongly Disagree	1	5%
Don't know	0	0%

**It is sufficiently clear how the principle of "proportionate analysis" is to be interpreted and applied for concrete Impact Assessment work.**

	Number of responses	% of responses
Strongly Agree	0	0%
Agree	4	20%
Neutral	6	30%
Disagree	7	35%
Strongly Disagree	3	15%
Don't know	0	0%

**In the Impact Assessment work I was involved in, there was a lack of data/data was inappropriate (e.g. was not comparable over EU 25).**

	Number of responses	% of responses
Strongly Agree	0	0%
Agree	12	60%
Neutral	6	30%
Disagree	1	5%
Strongly Disagree	0	0%
Don't know	1	5%

**Where data were lacking / inappropriate, it had a significant effect on the time taken to carry out the Impact Assessment.**

	Number of responses	% of responses
Strongly Agree	1	5%
Agree	10	50%
Neutral	7	35%
Disagree	1	5%
Strongly Disagree	0	0%
Don't know	1	5%

**Where data were lacking / inappropriate, it has had a significant effect on the quality of the Impact Assessment.**

	Number of responses	% of responses
Strongly Agree	1	5%
Agree	10	50%
Neutral	7	35%
Disagree	1	5%
Strongly Disagree	0	0%

Don't know	1	5%
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<b>Stakeholder consultations provide relevant and useful input into Impact Assessments.</b>		
	Number of responses	% of responses
Strongly Agree	2	10%
Agree	13	65%
Neutral	3	15%
Disagree	1	5%
Strongly Disagree	0	0%
Don't know	1	5%

