

Making the railway system  
work better for society.

## Annex 2 : Impact Assessment Template

Choose here the type of IA

<Title>

[The below tables have to be deleted in case the Impact Assessment accompanies another document, e.g. recommendation, opinion.]

[The Executive Director's signature on the recommendation/opinion suffices for the full package of documents, however, the accompanying routing slip has to be signed by all required actors to reflect the validation of the document.]

	<i>Elaborated by</i>	<i>Validated by</i>	<i>Approved by</i>
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<i>Signature</i>			

### *Document History*

<i>Version</i>	<i>Date</i>	<i>Comments</i>
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**1. Context and problem definition**

<p><b>1.1. Problem and problem drivers</b></p>	<p>&lt;What is the main <b>problem</b> which this initiative will address?&gt; &lt;What are the underlying <b>problem drivers /causes</b>?&gt;</p>						
<p><b>1.2. Main assumptions</b></p>	<p>&lt;State here any remarks or assumptions that are relevant for clearly delimiting the scope of the problem.&gt;</p>						
<p><b>1.3. Stakeholders affected</b></p>	<p>&lt;Who is affected by the problem? Please refer to the relevant <b>stakeholders</b>, as appropriate, from <a href="#">this list</a>.&gt;</p> <p>&lt;Rank the relevance of the problem for each of the categories selected from 1-low to 5-very high. The Agency itself can be considered in the list.&gt;</p> <table border="1" data-bbox="564 943 1426 1104"> <thead> <tr> <th data-bbox="564 943 911 992"><i>Category of stakeholder</i></th> <th data-bbox="911 943 1426 992"><i>Importance of the problem</i></th> </tr> </thead> <tbody> <tr> <td data-bbox="564 992 911 1043"></td> <td data-bbox="911 992 1426 1043"></td> </tr> <tr> <td data-bbox="564 1043 911 1104"></td> <td data-bbox="911 1043 1426 1104"></td> </tr> </tbody> </table>	<i>Category of stakeholder</i>	<i>Importance of the problem</i>				
<i>Category of stakeholder</i>	<i>Importance of the problem</i>						
<p><b>1.4. Evidence and magnitude of the problem</b></p>	<p>&lt;What is the <b>evidence and magnitude</b> of the problem and problem drivers?&gt; &lt;If available, make reference to results of evaluation reports, e.g. ex-post evaluations, early impact assessments etc.&gt;</p>						
<p><b>1.5. Baseline scenario</b></p>	<p>&lt;What is the likelihood that the problem would persist if no action is taken?&gt; &lt;How will the problem evolve in the absence of additional action?&gt;</p>						
<p><b>1.6. Subsidiarity and proportionality</b></p>	<p>&lt;Why can the problem not be addressed properly by Member States?&gt; &lt;Why can the problem not be addressed properly self-regulation?&gt; &lt;Can the problem be better addressed by EU action?&gt; &lt;Is the Agency the best doctor to address this problem?&gt; &lt;Is the expected effort justified to solve this problem?&gt;</p>						

## 2. Objectives

<p><b>2.1. Strategic and specific objectives</b></p>	<p>&lt;Mark, as appropriate, <b>the strategic objective(s) of the Agency</b> with which this initiative is coherent.&gt;</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Europe becoming the world leader in railway safety</li> <li><input type="checkbox"/> Promoting rail transport to enhance its market share</li> <li><input type="checkbox"/> Improving the efficiency and coherence of the railway legal framework</li> <li><input type="checkbox"/> Optimising the Agency’s capabilities</li> <li><input type="checkbox"/> Transparency, monitoring and evaluation</li> <li><input type="checkbox"/> Improve economic efficiency and societal benefits in railways</li> <li><input type="checkbox"/> Fostering the Agency’s reputation in the world</li> </ul> <p>&lt;What are the <b>specific objectives</b> of this initiative? (The objectives should be as S.M.A.R.T. as possible.)&gt;</p>
<p><b>2.2. Link with Railway Indicators</b></p>	<p>&lt;Identify the related <a href="#">RIs</a> (if the case).&gt;</p>

### 3. Options

<p><b>3.1. List of options</b></p>	<p>&lt;List the <b>options</b> proposed, including the baseline (Option 0).&gt;</p> <p>Note: <i>In the case of <b>opinions with a very narrow technical focus (e. g. clarification of legal texts)</b>, where multiple options cannot be identified, fill in Chapters 3 and 4 only with one option, demonstrating that no alternative options could be analysed. Do not fill in Chapter 5.</i></p>
<p><b>3.2. Description of options</b></p>	<p>&lt;Describe each of the options, including the main changes that their implementation would generate.&gt;</p>
<p><b>3.3. Uncertainties/risks</b></p>	<p>&lt;What are the main uncertainties (risks) of each of the options?&gt;</p> <p>&lt;Which aspects may require more evidence?&gt;</p> <p>&lt;Which stakeholders may not support (some of) the options?&gt;</p>

4. Impacts of the options

<p><b>4.1. Impacts of the options (qualitative analysis)</b></p>	<p>&lt;Describe <b>qualitatively</b> all different categories of impacts for each of the analyzed options. Consider, where appropriate, all the economic, social and environmental impacts of the options. Highlight any impacts which are linked specifically to SMEs and potential impacts on competitiveness. Distinguish the impacts between positive and negative, as well as per category of stakeholder.&gt;</p> <table border="1" data-bbox="564 602 1426 1014"> <thead> <tr> <th><i>Category of stakeholder</i></th> <th></th> <th><i>Option ...*</i></th> </tr> </thead> <tbody> <tr> <td rowspan="2"></td> <td>Positive impacts</td> <td></td> </tr> <tr> <td>Negative impacts</td> <td></td> </tr> <tr> <td rowspan="2"></td> <td>Positive impacts</td> <td></td> </tr> <tr> <td>Negative impacts</td> <td></td> </tr> <tr> <td rowspan="2"><b>Overall assessment</b> <i>(input for section 5.1)</i></td> <td>Positive impacts</td> <td></td> </tr> <tr> <td>Negative impacts</td> <td></td> </tr> </tbody> </table> <p>* repeat the table, as appropriate, for each of the options analyzed</p>	<i>Category of stakeholder</i>		<i>Option ...*</i>		Positive impacts		Negative impacts			Positive impacts		Negative impacts		<b>Overall assessment</b> <i>(input for section 5.1)</i>	Positive impacts		Negative impacts																											
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<p><b>4.2. Impacts of the options (quantitative analysis)</b></p>	<p>&lt;If possible, and especially in the case of a FIA, <b>quantify</b> the benefits and costs for each of the analyzed options per category of stakeholder and overall. Feel free to include in an annex all the relevant parameters, assumptions and calculations taken into consideration in the quantitative estimates. Clearly specify the data sources used in the quantification.&gt;</p> <table border="1" data-bbox="564 1335 1426 1724"> <thead> <tr> <th><i>Category of stakeholder</i></th> <th></th> <th><i>Option 0 (baseline)</i></th> <th><i>Option 1</i></th> <th><i>Option ...</i></th> </tr> </thead> <tbody> <tr> <td rowspan="2"></td> <td>Benefits (euro)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Costs (euro)</td> <td></td> <td></td> <td></td> </tr> <tr> <td rowspan="2"></td> <td>Benefits (euro)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Costs (euro)</td> <td></td> <td></td> <td></td> </tr> <tr> <td rowspan="2"><b>Overall</b></td> <td>Benefits (euro)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Costs (euro)</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>&lt;Based on the quantification above, calculate the <b>Net Present Value (NPV)</b> and the <b>Benefit/Cost (B/C) ratio</b> for a 20 year forecast. Feel free to add the detailed calculations in an annex.&gt;</p> <table border="1" data-bbox="564 1901 1426 2072"> <thead> <tr> <th></th> <th><i>Option 0 (baseline)</i></th> <th><i>Option 1</i></th> <th><i>Option ...</i></th> </tr> </thead> <tbody> <tr> <td><b>NPV</b> <i>(input for section 5.2)</i></td> <td></td> <td></td> <td></td> </tr> <tr> <td><b>B/C ratio</b> <i>(input for section 5.2)</i></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	<i>Category of stakeholder</i>		<i>Option 0 (baseline)</i>	<i>Option 1</i>	<i>Option ...</i>		Benefits (euro)				Costs (euro)					Benefits (euro)				Costs (euro)				<b>Overall</b>	Benefits (euro)				Costs (euro)					<i>Option 0 (baseline)</i>	<i>Option 1</i>	<i>Option ...</i>	<b>NPV</b> <i>(input for section 5.2)</i>				<b>B/C ratio</b> <i>(input for section 5.2)</i>			
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## 5. Comparison of options and preferred option

<p><b>5.1. Effectiveness criterion (options' response to specific objectives)</b></p>	<p>&lt;Based on the findings from section 4.1, assess the extent to which the various options respond to the specific objectives, from 1-very low response to 5-very high response and calculate the average score (effectiveness).&gt;</p> <table border="1" data-bbox="564 533 1426 857"> <thead> <tr> <th></th> <th><i>Option 0 (baseline)</i></th> <th><i>Option 1</i></th> <th><i>Option ...</i></th> </tr> </thead> <tbody> <tr> <td>&lt;Specific Objective 1&gt;</td> <td></td> <td></td> <td></td> </tr> <tr> <td>&lt;Specific Objective ...&gt;</td> <td></td> <td></td> <td></td> </tr> <tr> <td><b>Overall score</b></td> <td></td> <td></td> <td></td> </tr> <tr> <td><b>Effectiveness (average score)</b></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		<i>Option 0 (baseline)</i>	<i>Option 1</i>	<i>Option ...</i>	<Specific Objective 1>				<Specific Objective ...>				<b>Overall score</b>				<b>Effectiveness (average score)</b>			
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<p><b>5.2. Efficiency (NPV and B/C ratio) criterion</b></p>	<p>&lt;Based on the findings from section 4.2, rate the <b>overall efficiency</b> of the various options as follows:</p> <ul style="list-style-type: none"> <li>› 1 if B/C ratio &lt;1 or NPV ≤0</li> <li>› 5 if B/C ratio &gt;1 and NPV &gt;0</li> </ul> <table border="1" data-bbox="564 1106 1426 1249"> <thead> <tr> <th></th> <th><i>Option 0 (baseline)</i></th> <th><i>Option 1</i></th> <th><i>Option ...</i></th> </tr> </thead> <tbody> <tr> <td><b>Efficiency</b></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		<i>Option 0 (baseline)</i>	<i>Option 1</i>	<i>Option ...</i>	<b>Efficiency</b>															
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<p><b>5.3. Summary of the comparison</b></p>	<p>&lt;Use the next table to summarize the outcomes of sections 5.1 and 5.2.&gt;</p> <table border="1" data-bbox="564 1375 1426 1630"> <thead> <tr> <th></th> <th><i>Option 0 (baseline)</i></th> <th><i>Option 1</i></th> <th><i>Option ...</i></th> </tr> </thead> <tbody> <tr> <td><i>Effectiveness</i></td> <td></td> <td></td> <td></td> </tr> <tr> <td><i>Efficiency</i></td> <td></td> <td></td> <td></td> </tr> <tr> <td><b>Overall rating</b></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		<i>Option 0 (baseline)</i>	<i>Option 1</i>	<i>Option ...</i>	<i>Effectiveness</i>				<i>Efficiency</i>				<b>Overall rating</b>							
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<p><b>5.4. Preferred option(s)</b></p>	<p>&lt;Based on the overall rating, indicate if possible the preferred option. If no quantification of impacts was possible, conclusions may be drawn based on the effectiveness criterion.&gt;</p> <p>&lt;If no preferred option, indicate the remaining options to be considered further and the discarded options.&gt;</p>																				
<p><b>5.5. Further work required</b></p>	<p>&lt;Indicate further work and consultation which could impact the conclusion. Are there uncertainties related to the preferred option(s)?&gt;</p>																				

## 6. Monitoring and evaluation

<b>6.1. Monitoring indicators</b>	<What are the possible indicators to monitor the implementation of the selected option? Make reference to the railway indicators and any other relevant indicators.> <What is the frequency for the measurement and what are the possible data sources?>
<b>6.2. Future evaluations</b>	<Are future ex post evaluations of this initiative envisaged?> <When and under which trigger?>