



Local Government
and Public Service
Reform Initiative



Ex-ante policy impact assessment vis-à-vis
vulnerable groups in South Eastern Europe: Guide for Practitioners

Arkadi Toritsyn, Ph.D.

July 2009

Acknowledgements

The author of this *Guide* wishes to thank all those who have contributed to it. The author expresses his sincere gratitude to Dan Dionisie, Policy Specialist, Public Administration Reform and Anti-corruption, UNDP, Europe and the CIS Bratislava Regional Centre for his extensive advice and guidance.

The *Guide* was the end result of extensive consultations with the Steering Committee of the *Improving Policy Development in Eastern Europe and the Commonwealth of Independent States through Strengthening Capacities for Ex-ante Impact Assessment* project, an initiative developed in partnership by UNDP and the Local Government and Public Service Reform Initiative of the Open Society Institute. The author would like to acknowledge Arlett Stojanovic (UNDP Bosnia and Herzegovina), Lidija Japac (UNDP Croatia), Vasile Filatov (UNDP Moldova), Danilo Vukovic (UNDP Serbia) and Vladimir Mikhalev (UNDP Europe and the CIS Bratislava Regional Centre) for their generous help, advice and dedication to improving the *ex-ante* policy assessment capacities vis-à-vis vulnerable groups in South Eastern Europe (SEE). Special thanks are due to Viola Zentai (Open Society Institute, Hungary) for her valuable recommendations to incorporate the European Equality Policy Agenda to map the vulnerable groups in SEE and practical suggestions on how to embed equality perspective into *ex-ante* policy assessments.

A draft of the *Guide* was posted on the UNDP Virtual Resource Centre *Ex-Ante* Policy Impact Assessment (PIA) workspace for comments and feedback. The author is indebted to Marina Škrabalo (UNDP consultant, Croatia), Ana Malbaša and Erna Ćumurija (Expert assistants, Office for RIA, Croatia), Snježana Franković (Senior Advisor, MHSW, Croatia) and Onorica Banciu (Consultant, Government of Moldova) for their valuable and practical comments and suggestions and commitment to improve the capacities of public services in the region in the area of *ex-ante* policy assessment.

The author would like also to thank Attila Denes (UNDP, Europe and the CIS Bratislava Regional Centre) for his outstanding administrative support and help with the Policy Impact Assessment (PIA) web-site.

The views expressed here do not necessarily reflect those of the UNDP BRC. The author remains solely responsible for any errors that may remain in this paper.

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Abbreviations and acronyms

CO	Country Office
DFID	UK Department for International Development
EBRD	European Bank for Reconstruction and Development
EC	European Commission
EU	European Union
IDP	Internally Displaced Person
IMF	International Monetary Fund
IOM	International Organization for Migration
MDGs	Millennium Development Goals
NAP	National Action Plan
NDP	National Development Plan
NGO	Non-Government Organization
NSP	National Strategy Plan
OECD	Organization for Economic Co-operation and Development
OMC	Open Method of Coordination
PIA	Policy Impact Assessment
SC	Steering Committee
SEE	South Eastern Europe
SIDA	Swedish International Development Cooperation Agency
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
WB	World Bank

1. OVERVIEW OF THE PAPER

Often national policies in South Eastern Europe (SEE) fail to deliver expected results in the areas of human development and social inclusion that is partly due to poorly designed public policies that do not include a proper assessment of policies' potential impact. SEE countries have made substantial steps to address this limitation and enhanced their capacity in policy-making by incorporating elements of *ex-ante* policy assessments into their policy cycles. Some SEE states already require including fiscal and regulatory impact assessments as mandatory elements of Cabinet policy submissions.

The purpose of this Guide is to support SEE countries in institutionalization of *ex-ante* policy assessment with particular focus on the vulnerable groups.¹ The Guide has been designed to offer an overview of *ex-ante* policy assessment tools and data sources when read cover-to-cover. It can be used also as a reference tool for specific needs and can be consulted on an as needed basis.

The *Guide* is one of the components of the *Improving Policy Development in Eastern Europe and the Commonwealth of Independent States through Strengthening Capacities for Ex-ante Impact Assessment* project of the United Nations Development Programme (UNDP). More comprehensive manuals, training materials, and specialized tools that will be based on this *Guide* and will provide guidance on how specific *ex-ante* policy assessments tools and methodologies could be applied with regard to vulnerable groups will be developed later through the project.

In preparation of the *Guide*, the author conducted extensive review of relevant publications to identify vulnerable groups and tools of *ex-ante* policy assessment applicable to the South Eastern European context. The *Guide's* target audience include policy makers in SEE, civil society representatives, academia, and the donor community. It consists of three parts:

- Part 1 maps the vulnerable groups in four countries² involved in the project, in relation to the priority policy areas. As the vulnerability groups and challenges they face may change over time, it provides methodological recommendations on how to map the vulnerable groups in SEE.
- Part 2 provides an overview of data sources and tools that are suitable for *ex-ante* policy impact assessment with focus on the vulnerable groups. A separate guidance and suggestions are provided on how to conduct *ex-ante* assessment of projects targeting the vulnerable groups.
- Part 3 presents a summary master matrix that matches policy areas with vulnerable groups and *ex-ante* policy assessment tools. The matrix is based on the information presented in

¹ A comprehensive review of *ex-ante* policy impact assessment experiences in EU and SEE could be found in UNDP/BRC, *Mapping of ex-ante Policy Impact Assessment Experiences and Tools in Europe Based on a Literature Survey and Case Studies from Southeast Europe*, 2007.

² There are four countries participating in the *Improving Policy Development in Eastern Europe and the Commonwealth of Independent States through Strengthening Capacities for Ex-ante Impact Assessment* project: Bosnia-Herzegovina, Croatia, Moldova and Serbia.

Parts 1 and 2. It contains hyperlinks to respective sections of the Guide and could be used as a quick reference at the initial stages of *ex-ante* policy assessments to identify appropriate tools and methodologies that are appropriate to policy areas and vulnerable groups.

2. VULNERABLE GROUPS IN SOUTH EASTERN EUROPE

One of the biggest challenges and tasks that SEE countries face is to support social inclusion of vulnerable groups and ensure that they gain the opportunities and resources necessary to participate fully in economic, social and cultural life and to enjoy a standard of living and well-being that is considered normal in the society in which they live.³ Effective public policies and programs implemented by an efficient, responsive, transparent and accountable public administration is the basic means through which government strategies can be implemented so that social inclusion of all vulnerable groups can be achieved.

An *ex-ante* policy assessment vis-à-vis the vulnerable groups is a multi-dimensional systematic approach that identifies how proposed policy measures may influence the vulnerable groups and assess the impact and probability of these influences. It helps governments, or even donor organizations to understand and maximize the impact of their interventions, responding both to the need for accountability to the constituencies and the importance of transparent, evidence-based decision making supporting the vulnerable groups. It can guide and assist in modifying the design of interventions to improve the pro-poor impacts and help to identify key areas for monitoring and evaluation.

Public servants conducting *ex-ante* policy assessments in SEE face a number of challenges that include, but are not limited to:

- limited appreciation of the value of high-quality *ex-ante* policy assessments by decision-makers and public servants alike;
- lack or limited quantitative and qualitative data available to support *ex-ante* policy assessments;
- limited knowledge and skills of public servants in *ex-ante* policy assessment tools and methodologies;
- lack or limited training opportunities on the processes, methodologies and tools of *ex-ante* policy assessment provided by the Governments to public servants; and
- too formalistic *ex-ante* policy assessment templates and forms to do not encourage high-quality *ex-ante* policy assessments that may ignore such important areas as risk assessment and monitoring.

This *Guide* will walk you through main stages of *ex-ante* policy assessment vis-à-vis the vulnerable groups in SEE. The vulnerable groups in SEE were identified through extensive review of main relevant publications of the Council of Europe, United Nations Development Programme (UNDP), European Commission (EC), International Organization for Migration (IOM), World Bank (WB), European Bank for Reconstruction and Development (EBRD), UK Department for International Development (DFID), United States Agency for International Development (USAID), Swedish International Development Cooperation Agency (Sida) and others. In total, over 100 publications were reviewed.

³ A EU definition of social inclusion could be found in EC's *2004 Joint Report on Social Inclusion*, http://ec.europa.eu/employment_social/spsi/docs/social_inclusion/final_joint_inclusion_report_2003_en.pdf.

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On the basis of this review, separate comprehensive and verified data platforms using spreadsheet desktop technology capturing main vulnerable groups in selected SEE countries, in relation to the priority policy areas were developed for Bosnia-Herzegovina, Croatia, Moldova and Serbia.⁴ Core identified vulnerable groups, by country, include:

- **Bosnia and Herzegovina:** Roma, Persons with Disabilities, Displaced Persons, Low Income Groups, Frail Elderly, Unemployed, Refugees, Large Families, and Victims of Abuse.
- **Croatia:** Roma, Persons with Disabilities, Young People, Women Victims of Family Violence, Internally Displaced Persons (IDPs)/Returnees, Elderly, and Single Parents.
- **Moldova:** Victims of Trafficking, Poor Children (Child Poverty), Youth, Low Income Groups, People with Tuberculosis, Elderly, Rural Population, and Women.
- **Serbia:** Roma, IDPs, Refugees, Persons with Disabilities, Rural Population, Women, and Elderly.

As extensive discussions with the Steering Committee of this project⁵ and members of the UNDP Virtual Resource Centre *Ex-Ante* Policy Impact Assessment (PIA) web-site workspace have confirmed, some vulnerable groups identified through the literature review are overemphasized while some others are underemphasized. To a large extent this could be attributed to effects of the world economic crisis as the risks of poverty and social exclusion of the vulnerable groups have become increasingly linked to unemployment. There are some challenges that make problematic accurate and timely identification of vulnerable groups in SEE. Some of the main challenges include:

- lack of universally accepted methodology to identify vulnerable groups in SEE and EU states alike;
- limited number of analytical documents defining and comparing all the vulnerable groups at the national level in SEE countries;
- tendency to identify as many vulnerable groups as possible without prioritizing them; and
- lack of real-time data on the vulnerable groups that does not allow evaluating in particular the effects of the worldwide economic crisis.

Core vulnerable groups identified by the Steering and through the on-line discussion, by country, include:

⁴ To accomplish this task an individual number was assigned to every publication that was reviewed and if a vulnerable group was mentioned in a publication in relation to the policy area, it was entered in a corresponding cell of the data platform. Even if the vulnerable group was mentioned in a publication in relation to the policy area more than once, it was recorded only one time.

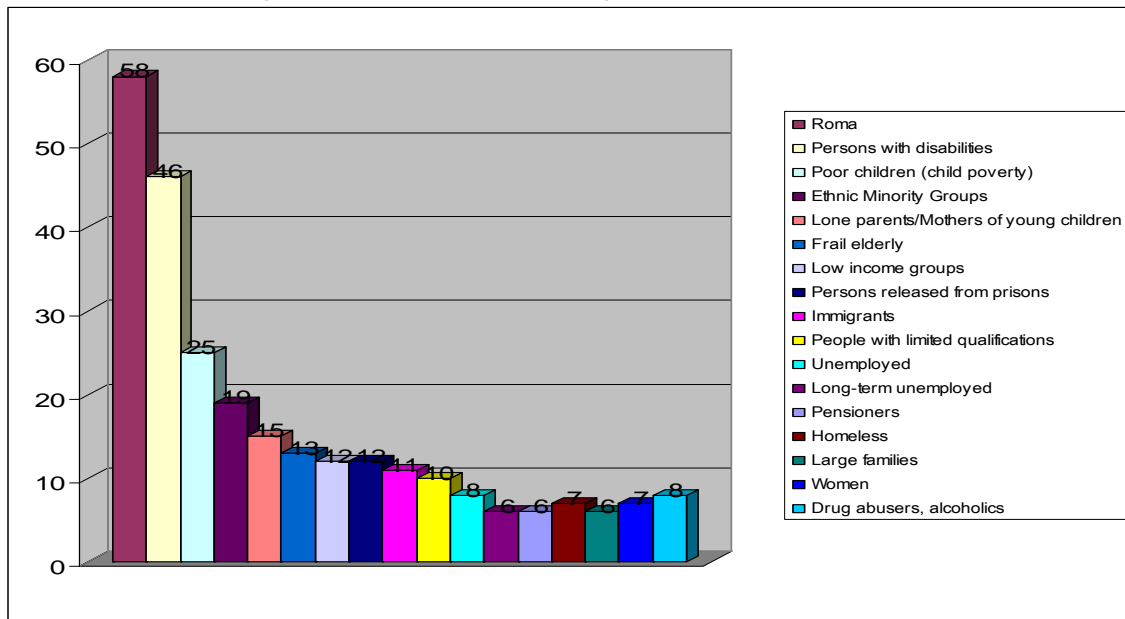
⁵ Project *Improving Policy Development in Eastern Europe and the Commonwealth of Independent States Through Strengthening Capacities for Ex-ante Impact Assessment*.

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- Bosnia and Herzegovina: Elderly, Youth (children under 15, youth between 15-25 years), People with Disability, Displaced Persons, and Roma.⁶
- Croatia: Unemployed, Roma, Persons with Disabilities, Young People, Women Victims of Family Violence, Internally Displaced Persons (IDPs)/Returnees, Elderly, and Single Parents.
- Moldova: Victims of Trafficking, Poor Children, Youth, Low Income Groups, People with Tuberculosis, Elderly, and Women.
- Serbia: Unemployed, Roma, Large Families, Old Single Households, Children under 14, Persons with Disabilities, Rural Population, Women, and Elderly, IDPs and Refugees.

For comparative purposes the vulnerable groups were identified for selected relevant new EU members states⁷ on the basis of their recent National Strategy Reports submitted to EC in 2008 and some other relevant publications. Chart 1 below provides a summary picture of the vulnerable groups in new EU states where the numbers indicate how frequently specific groups were mentioned in publications reviewed.

Graph 1. Main Vulnerable Groups in New EU states, 2008



In 2000 at the Lisbon meeting, European Union leaders reached the agreement to establish the Social Inclusion Process to make a decisive impact on the eradication of poverty by 2010. The Lisbon meeting emphasized that economic performance of EU states and social cohesion are not mutually exclusive but rather should be mutually reinforcing. It was agreed that all Member States would co-ordinate their policies for combating poverty and social exclusion and prepare National

⁶ UNDP Bosnia and Herzegovina, National Human Development Report, *Social Inclusion in Bosnia and Herzegovina*, 2007.

⁷ Analysis of new EU members covered Bulgaria, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Romania, Slovak Republic, and Republic of Slovenia.

Action Plans (NAP) against poverty and social exclusion. It was also agreed that the Member States would apply the Open Method of Coordination (OMC), a method of following common guidelines rather than laws and regulations to social exclusion.

EU member states have developed their capacities in identification of vulnerable groups and *ex-ante* policy assessment with regard to the vulnerable groups in response to a requirement to develop National Action Plans (NAPs) on a regular basis and subject them to peer review and evaluation by the EU. In some EU countries social impact assessment constitutes a part of a more integrated impact assessment system that also looks at other impacts (on the economy, the environment etc.)⁸. The European Commission emphasizes the importance of *ex-ante* policy assessment component of the analytical frameworks and recommends strengthening them, especially to monitor social impacts of the worldwide recession.⁹

A vast majority of EU Member States have set measurable aims at national level, notably in the context of the European Year of Combating Poverty in 2010. These objectives are focusing at the entire population concerned or its specific sub-sections (e.g. children, the working poor). Such areas as income poverty, long-term unemployment, health and lifelong learning and others are being monitored. These indicators serve as a basis for the EU and each individual Member State to assess objectively progress of social inclusion. The EU also established a mechanism to monitor members' progress and assess the effectiveness of policy efforts to achieve social inclusion.

In light of these findings, it is advisable to establish systems to identify and monitor the status of vulnerable groups in SEE countries that meet the following criteria:

- **Definitions of vulnerability are broad and country-specific** and go beyond traditional areas of poverty and unemployment and include such areas as access to Government programs and services, basic competencies, social and community networks as well as ability to effectively influence decision making processes.
- **EU's social inclusion agenda**, which is developed to ensure that those at risk of poverty and social exclusion gain the opportunities and resources necessary to participate fully in economic, social and cultural life and to enjoy a standard of living and well-being that is considered normal in the society in which they live, is one of two pillars of such systems.¹⁰
- **European equality policy agenda**, which contains a strong enforcement mechanism in contrast to the social inclusion agenda and conveys a lot more sophistication in understanding and policy mainstreaming, is a second pillar of such systems. In particular, the EU states have committed in Amsterdam in 1997 to adopt measures to act against discrimination based on sex, racial or ethnic origin, religion, disability, age or sexual orientation (Amsterdam Treaty, Article 13, Title II).
- **The process of identifying the vulnerable groups is inclusive and involves the vulnerable groups themselves.** A mechanism for public discussions to identify vulnerable

⁸ European Commission, *Commission Staff Working Document, Joint Report on Social Protection and Social Inclusion accompanying document to the Proposal for the Joint Report on Social Protection and Social Inclusion 2009*, Supporting document, 2009.

⁹ European Commission, *Joint Report on Social Protection and Social Inclusion*, 2009.

¹⁰ European Commission, *Joint Report on Social Inclusion*, 2004.

groups that will involve public servants, academia, vulnerable groups and other stakeholders is critically important to success of such systems.¹¹

- The system of identification and monitoring of the status of vulnerable groups constitutes an integral part of a set of Government sectoral and cross-sectoral policies promoting social inclusion and European equality policy agenda. These systems will be valuable only if they inform the decision-making processes affecting the vulnerable groups.

Box 1. Identification of the vulnerable groups in Croatia

Croatia applied for European Union membership in 2003, and the European Commission recommended making it an official candidate in early 2004. Candidate country status was granted to Croatia by the European Council in mid-2004. Once the candidate status was granted, Croatia received an invitation to draft a Joint Inclusion Memorandum (JIM) with the European Commission (EC). The Memorandum outlines the principal challenges in relation to tackling poverty and social exclusion, presents the major policy measures taken by Croatia in the light of the agreement to start translating the EU's common objectives into national policies and identifies the key policy issues for future monitoring and policy review. The JIM contains a list of groups facing an increased risk of poverty and social exclusion that are identified by line ministries in collaboration with the centre of the Government with support of European Commission, Directorate-General for Employment, Social Affairs and Equal Opportunities. The vulnerable groups are identified as individuals with low incomes (the unemployed, the elderly with no pensions, single-parent families, families with more than two children, single mothers and older women), IDPs and refugees, vulnerable ethnic minorities (the Roma), persons with special needs (people with disabilities, persons with mental problems, sick persons) and other groups that are not so numerous but are faced with the challenges of extreme poverty (the homeless, former addicts).

Source: *Joint Memorandum on Social Inclusion of the Republic of Croatia, 2007.*

To establish such systems for identification and monitoring of the status of vulnerable groups in SEE countries that meet the principles outlined above, the following measures could be undertaken:

- **launch wide intra and inter-ministerial consultations** involving stakeholders to validate a list of vulnerable groups identified in this Guide, record the findings of consultations and revise a list;
- **promote the EU's social inclusion process and European equality policy agendas** among politicians and public services in SEE;
- **prioritize vulnerable groups** (e.g., not all children are vulnerable, but children from large and/or poor families) to improve targeting and effectiveness of policy and programs;
- **establish benchmarks** by conducting in-depth comparative analysis of the vulnerable groups (i.e., booster groups assessment with focus on such common areas as income, employment, access to education, health and social service);
- **review status of vulnerable groups on a regular basis** through extensive public consultations, involving vulnerable groups themselves (annually or bi-annually);
- **separate analysis of groups that are vulnerable in many domains and hence require interventions and policy/programmatic support of all or almost all ministries** (e.g., Roma, persons with disabilities, unemployed) and **groups that are vulnerable in a few areas and need policy interventions of one or a few ministries** (e.g., people with limited qualifications, people without citizenship). It will streamline policy interventions and enhance horizontal inter-ministerial cooperation.

¹¹ See 6.8 section of *Ex-ante Policy Assessment vis-à-vis Vulnerable Groups: Tools* chapter of this Guide for some ideas on how consultations with stakeholders could be organized.

3. EX-ANTE POLICY ASSESSMENT VIS-À-VIS VULNERABLE GROUPS: KEY STEPS

Policy-making is a process of reconciling conflicting priorities and risks through analysis to identify the most effective option and to determine the management required to implement and maintain policies over the longer term so that sustainable outcomes can be achieved.¹² Policies may deal with any level of decision or action from high-level strategic directions to task-specific administrative procedures. Strategic policies, often entrenched in legislation, direct the ministry or the Government over an extended period. Program policies focus on a specific program area and provide direction regarding resource management on how to achieve program goals. Both strategic and program policies are usually preceded by *ex-ante* policy assessments. Operational and administrative policies that are not usually subjected to *ex-ante* policy assessments direct ministry staff in their day-to-day work and provide specific guidance to support quality, consistency and accountability of ministry programs and services. Policies are approved at the appropriate level so that they have legitimacy. Some policies have the force of law while some provide non-legally binding guidance.

There is a range of policy instruments such as legislation, regulations, policy statements, strategies, directives, procedures, guidelines, standards, and information campaigns.¹³ A policy instrument gives authority for taking action in specific circumstances and describes the processes.

Box 2. The process of assessment of social impact in the Slovak Republic

In Slovakia, the guideline for preparation and submission of documents for the discussion of the Government requires all these draft documents to contain the so-called Clause on the financial, economic, environmental, employment and business environment impact (with the exception of the documents having none of the mentioned impacts). The impact assessment should identify and quantify the estimated costs, benefits and side effects which may occur in connection with the approval of the submitted document. The impact assessment process has two phases: the quick test and a more detailed evaluation. The quick test has to be performed for each document intended for the submission for the comment procedure. The quick test means a brief identification of the problem, specification of various alternatives of the problem solution, indication of the expected impacts and the assessment of their significance. In the event it shows that the planned document will have an impact, it is required to perform a more detailed evaluation – impact analysis. With regard to social impact, the analysis looks at:

- the economy of households (income and expenses).
- the access to rights, goods and services, in particular for vulnerable groups (i.e. on their social inclusion).
- equal opportunities and gender equality.
- the employment.

Source: *Evaluation of social impact of policies in the Slovak Republic*

The final decisions about policies are made by politicians. Traditional policy lifecycle includes twelve essential steps. It is initiated by a political decision (the President, the Prime Minister, the Government, individual ministers, the Office of the President, the Office of the Prime Minister, central and line ministries). The need for policy development may come from the ground up from

¹² UK, National Audit Office, *Modern Policy-Making: Ensuring Policies Deliver Value for Money*, 2001, p.5.

¹³ For more on policy instruments, see Bardach, Eugene, *A Practical Guide for Policy Analysis*, 2000.

public servants and stakeholders. It could be also a response to EU requirements. The decision to develop new policy or change the existing one is followed by detailed policy development, producing options for the policy instrument to be subsequently applied. Once chosen, the policy instrument is assessed and policy is developed further. Core steps of the policy cycle include:¹⁴

Table 1: Core Steps of the Policy Cycle

Political Agenda Setting	1. defining the government's priorities; 2. annual policy and legislative planning;
Policy Development	3. preparation of policy proposals (including policy analysis, impact assessment, consultations with civil society); 4. preparation of legal drafts ¹⁵ ; 5. inter-ministerial consultations; 6. submission of items to the government office; 7. review by the government office; 8. review by ministerial committees;
Legitimization	9. decision by the government (Council of Ministers); 10. parliamentary process and passage;
Implementation and evaluation	11. implementation; and 12. monitoring and evaluation

In those instances when a policy decision does not require a Cabinet/Council of Ministers' approval, the process of policy development can include only 5-7 main steps and exclude legal drafting and parliamentary passage stages. The *ex-ante* policy assessment is an integral part of stage 3 of the

Box 3. Ex-ante Social Impact Analysis of the Draft Gender Law in Serbia

In Serbia, UNDP supported the *ex-ante* social impact analysis of the draft Gender Law. The assessment covered the nature of the draft law, identified the beneficiaries, examined if the adoption of the Gender Law will affect men and women differently with regard to their participation in the labour market, decision-making, family activities, resources (e.g., income, time, or skills for male or female target beneficiaries), norms and values and rights and examined other relevant areas as well. The *ex-ante* social impact assessment concluded that the adoption of the Gender Law will have positive social impacts on factual economic empowerment of women, particularly of multi-discriminated women categories and will establish a legal foundation for elimination of stereotypes and strengthening of anti-discriminatory values in the society.

Source: Prof. Dr Gordana Gasmi, UNDP consultant, Belgrade, *Ex-ante Social Impact Analysis of the Draft Gender Law in Serbia*, 2008.

policy lifecycle that informs decisions regarding policy instruments and supports development of final policies.

An *ex-ante* policy assessment vis-à-vis the vulnerable groups is a multi-dimensional systematic approach that identifies how proposed policy measures may influence the vulnerable groups and assesses the impact and probability of these influences. The *ex-ante* policy assessment provides the evidence (e.g., distributional effects of policy reforms on the well-being or welfare of the vulnerable groups) to make informed decisions to choose the most effective

¹⁴ Sigma, *The Role of Ministries in the Policy System: Policy Development, Monitoring and Evaluation*, Sigma Paper no. 39.

¹⁵ Some SEE countries require public consultations on the legal drafts.

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policies supporting the vulnerable groups.¹⁶ The main benefits of the *ex-ante* policy assessment are numerous as it:

- allows choosing an effective policy supporting the vulnerable groups over other policy options;
- promotes a culture of questioning, assessing real-world impacts and exploring assumptions in policy development and establishes minimum standards for public service;
- strengthens skills and analytical techniques and capacity of public servants;
- promotes participatory approaches to policy assessment as it requires consultations with stakeholders;
- supports the accountability;
- promotes transparent evidence-based decision making processes and practices; and
- keeps the focus of decision-makers on the vulnerable groups.

The *ex-ante* policy assessment could identify the impact of the policy proposal on the vulnerable groups so that this can be taken into account in choosing the policy option. It is advisable to conduct *ex-ante* policy assessments for both policies specifically targeting the vulnerable groups and policies that may affect them. For policies with impact on numerous vulnerable groups, you may wish to use the format of the Table 2 below.

Table 2. Sample Summary of Policy Impacts on a Range of Vulnerable Groups

Vulnerable Groups (examples)	Potential impact on the vulnerable groups (e.g., poverty, employment, access to health services, education, housing)		
	Positive	Negative	Neutral
Long-term unemployed			
People with disabilities			
Roma			
Low Income Groups			
Victims of Trafficking			
Elderly			
Refugees			
Women			

Ex-ante policy assessments help to identify any possible negative policy impacts and develop measures to ameliorate them. If your *ex-ante* policy assessment determines that the policy option would have a negative effect (e.g., by increasing the numbers of specific vulnerable groups in poverty) explain how the negative effects occur and consider how to amend the policy option to prevent these negative effects or whether

TIP!

Familiarize yourself with the experiences of EU and especially new EU member states in the areas of social policies, social inclusion, monitoring and specific policies and programs targeting the vulnerable groups. Do not hesitate to contact your colleagues from other countries to obtain additional information. You may start by reviewing reports available at: http://ec.europa.eu/employment_social/spsi/joint_reports_en.htm

¹⁶ Impact assessment processes and tools are very well institutionalised in the area of regulatory impact assessment in OECD countries. Although the regulatory impact assessment (RIA) utilizes many tools presented in this paper, RIAs' primary focus is to minimize the administrative burdens. See, for instance, Organisation for Economic Co-Operation and Development, Nick Malyshev, *The Evolution of Regulatory Policy in OECD Countries*.

additional measures should be added to counteract the negative effects. The positive impacts could be also identified and enhanced through policy design, if possible.

As SEE countries move closer to become members of EU, they have to be able to design and implement effective policies targeting social inclusion of the vulnerable groups where the *ex-ante* policy assessment plays a critical role. The methods and tools listed below can help SEE countries in improving their policy processes so that the policies being developed will better address the needs of the vulnerable groups and be aligned with EU's social inclusion process and European equality policy standards and principles.

4. EX-ANTE POLICY ASSESSMENT VIS-À-VIS VULNERABLE GROUPS: PRINCIPLES AND PROCESSES

The following principles of sound *ex-ante* policy assessment should guide your work. *Ex-ante* policy assessments:

- contribute to policy integration that takes into account social, economic, political, short and long term considerations and encourage cross-ministerial cooperation;
- are proportionate to the nature of the policy proposal where major policies are supported through comprehensive assessments;
- provide in-depth evidence-based analysis combined with openness and participation;
- are transparent;
- are subjected to quality control of the Government office; and
- are conducted by competent and well trained professionals.¹⁷

Appropriate planning is critical to success of the *ex-ante* policy assessment. Try to develop a plan that will describe the purpose of the *ex-ante* policy assessment project, list the tasks to be accomplished, determine who will be assigned to the tasks, and establish the timeframes. The amount of planning and the nature of tools utilized should reflect the scale of the policy initiative. It is not practical to conduct extensive *ex-ante* policy assessment for such minor policy changes as updates of social benefits forms and minor revisions of social benefits eligibility criteria.

TIP!

The analytical effort to be put into each *ex-ante* policy assessment should be proportionate to the likely effects of the proposal being assessed.

*Mandelkern Group on Better Regulation
Final Report, 13 November 2001.*

It is advisable to start a preliminary *ex-ante* policy assessment from a short statement identifying an issue at stake, listing the policy options available, outlining the expected impact and providing an indication of whether an extended *ex-ante* policy assessment would be needed.¹⁸ If a senior management determines that an extended/full *ex-ante* policy assessment is required, the *ex-ante* team may proceed with a comprehensive study including detailed analysis of costs and benefits of policy options and employing other assessment tools presented in this paper. A major legislation

¹⁷ On principles of policy impact assessment see for instance European Environment and Sustainable Development Advisory Councils (EEAC), *Impact Assessment of European Commission Policies: Achievements And Prospects*, 2006.

¹⁸ For more on a two-stage approach to *ex-ante* policy assessment, see UNDP/BRC, *Mapping of ex-ante Policy Impact Assessment Experiences and Tools in Europe Based on a Literature Survey and Case Studies from Southeast Europe*, 2007.

change, a significant cross-sectoral policy with high levels of expenditure should be subjected to a full *ex-ante* policy assessment.

Ex-ante analysis should focus on inequality issues and assess how policies or programs under consideration will address structural inequalities. Because the causes of discriminatory practices based on sex, racial or ethnic origin, religion, disability, age or sexual orientation and inequality are deeply rooted and complex, elimination of inequalities is a long-term process and requires careful planning and analysis. Some examples of how to incorporate the equality perspective into your *ex-ante* policy assessments are provided below:

- Equality between women and men became an overarching objective of the Open Method of Coordination for Social Protection and Social Inclusion in March 2006. This objective raised the prominence of gender equality for the process as a whole.¹⁹ There are four important domains in which gender inequalities embodied: labour, private life, citizenship and knowledge. In conducting *ex-ante* policy assessment you may analyze the policy impact on promoting gender equality by following the seven steps outlined below:²⁰
 1. Identify the position of men and women prior to policy development with respect to participation, resources, norms and values, and rights. This serves as the baseline against which to measure anticipated change or lack of change.
 2. Assess the trends in men's and women's position independent of the proposed policies. In other words, if the policy is not implemented, what will the situation of men and women be, respectively?
 3. Determine the priority to be attached to promoting gender equality through this policy, according to an assessment of the current degree of inequality and the impact of the inequality on men and women's lives. In other words, how significant would the gender impact of this policy be?
 4. Assess the potential impact of the policy on the men and women who are its direct beneficiaries. You should pay attention not only to easily quantified results (for example, numbers employed), but also to less easily measurable results (for example, quality of jobs, job security, promotion prospects). Assess both short and long-term costs and benefits.
 5. Assess the potential impact of the policy on particular groups of women and men. For example: What will the impact be on ethnic minority groups, parents or non-parents, various age groups, educational groups, employed or unemployed, regional groups or urban/rural groups, etc.
 6. Assess the potential indirect affects of the proposed policies on families and children, elderly or ill dependents, or others who may be indirectly affected.
 7. If the *ex-ante* assessment of the policy predicts a negative affect on gender equality or retention of status quo inequality, then identify ways in which the policy could be redesigned or respecified to promote gender equality.
- The basic principles of the social approach to disability adopted by the United Nations places responsibility on society to provide an enabling environment by removing the physical

¹⁹ European Commission, *Manual for Gender Mainstreaming Social Inclusion and Social Protection Policies*, 2008.

²⁰ UNDP, *Gender Mainstreaming in Practice: A Toolkit*, 2007, and Government of Netherlands, *Guidelines for a Gender Impact Assessment in the Netherlands*.

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and social barriers to participation in everyday life in order for all people to exercise their rights. Persons with disabilities are not seen as an asset, as people with talent and creativity able to contribute to society. There is also a genuine and widespread lack of understanding that most persons with disabilities can in fact function effectively at work, school, and with society if given adequate support. While conducting *ex-ante* policy assessment in the education sector you may analyze policy impact on eliminating discrimination on the basis of disability by answering the following questions:

- Does the right to education is recognized in the Constitution or guaranteed in specific legislation? Do the rights of persons with disabilities are recognized in the Constitution or guaranteed in specific legislation?
- Do laws, policies and practices, through existing institutions, budgets and programs, ensure substantive equality in the enjoyment of the right to education by persons with disabilities?
- How citizens view the capabilities of children with disabilities?
- How citizens perceive students with disabilities in schools?
- What are the main barriers to empowerment of children with disabilities?
- What is the role of governments, non-governmental organizations, families, individuals, employers and others in removing barriers to empowerment of children with disabilities?
- Do policies and practices favour an “inclusive” education pattern or a specialized education one?
- Is a policy based on the assumption that “inclusive” education is a prerequisite for equal enjoyment by persons with disabilities of their right to education?
- What are specific measures and/or mechanisms that constitute a part of the policy under development that are aimed at ensuring equal access to education, including for children with disabilities?
- Does the policy envisage specific measures to ensure that children with disabilities who prefer to be included in the regular school system are provided with equal access and specialized support?
- Does the policy envisage financial assistance to be provided to families of children with disabilities to ensure that children with disabilities can access and complete their education?
- Does the policy include provisions for free school transportation services available for children with disabilities?
- Does the content of the education (curricula) aim to combat any existing stereotypes or on the contrary, does the curriculum contribute to maintaining those stereotypes?
- Does the policy promote the involvement of families, representatives of persons with disabilities and children with disabilities in the design of the education programme and curricula? Are there any measures guaranteeing such participation?

Usually the *ex-ante* policy assessments are conducted by interdisciplinary teams and require between 3 and 12 weeks depending on complexity of the policy being developed. As a rule, the *ex-ante* policy assessments are conducted by line ministry staff²¹ with the input of central agencies, if necessary. In rare circumstances, when in-house staff does not have all the required

²¹ The responsibility for *ex-ante* policy assessments may be assigned to special units in ministries (e.g., Ministry of Finance that has to evaluate major government investments may have a separate unit responsible for *ex-ante* policy assessments). Also all policy/programme units developing new policies/programs may be required to conduct *ex-ante* policy assessments with assistance of in-house experts in some *ex-ante* policy assessment tools.

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skills or expertise or the ministry would like to obtain impartial assessment of the proposed policy, you may consider an option of contracting the *ex-ante* policy assessment out.

Try to secure support of your senior management at the initial stages of the *ex-ante* policy assessment; otherwise you will face a risk that it will become a purely technical exercise. Senior management's commitment to the *ex-ante* assessment project will raise its profile, promote quality and ensure that Ministers take it into account in their decision-making. To ensure that, keep your senior management updated on your progress and regularly seek their guidance.

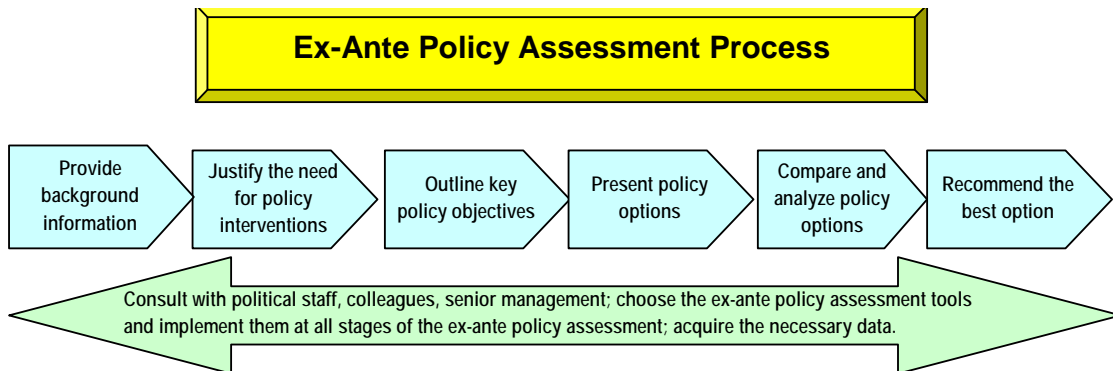
TIP!

Conduct extensive consultations with your Minister's office political staff, senior management and Government office staff to narrow down a scope of policy options, clarify timelines and expectations before starting working on the *ex-ante* policy assessment.

Political factors also influence the extent of *ex-ante* policy assessment projects. As Ministers are ultimately responsible for making policy decisions, some of them may request public servants to develop policy under tight deadlines that make problematic utilization of *ex-ante* policy assessments tools. In these circumstances, it is advisable to utilize the tools that could be easily employed to provide some quality evidence to inform decision-making process.

The ultimate customers of *ex-ante* policy assessments are Ministers. The *ex-ante* policy assessment reports should help Ministers to understand the issue, choose the most appropriate policy option and provide sufficient evidence to communicate and defend their policy decisions in parliament and to the media as well as secure resources to implement the recommended policy.

Graph 2. Key stages of *Ex-Ante* Policy Assessment Process vis-à-vis the vulnerable groups



In developing a typical *ex-ante* policy assessment paper, you may follow the logic of the *ex-ante* policy assessment process itself and cover the following areas that are also reflected in Graph 1²²:

- provide a brief description of the relevant country context and the current situation of the targeted vulnerable group(s);

²² An excellent overview of key steps in *ex-ante* policy impact assessment is provided in European Commission, *Impact Assessment Guidelines*, 2005.

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- present strategic and medium-term Government goals and describe how they are aligned with the EU policy framework;
- outline key policy objectives and describe how they are aligned with relevant Government commitments and strategies;
- present well analyzed policy options utilizing the *ex-ante* policy assessment tools and describe how they will affect the vulnerable groups (for both policies targeting the vulnerable groups and policies that do not target explicitly the vulnerable groups); and
- provide a recommendation of the most reasonable and effective option.

TIP!

Ex-ante policy assessment templates with regard to the vulnerable groups should allow public servants to utilize their expertise, prioritise and focus on a limited number of vulnerable groups.

Decision makers should be provided with appropriate options that will allow them to consider the issue from a variety of angles. Do not forget to present a “status quo” option that could help establishing a benchmark against which the other policy options can be compared. In identifying and evaluating policy options, the *ex-ante* policy assessment team should ensure that options:

- are substantively distinct and contain analysis of their strengths and weaknesses;
- are clear, feasible, realistic, effective and affordable;
- are compared in terms of their impact, including a status quo option;
- include analysis of positive and negative impacts that have been weighed for each policy option;
- result from extensive consultations with colleagues, senior management, Government Office and political staff;
- can be implemented and the ministry and policy implementers have the required capacity;
- assessed through various *ex-ante* policy assessment tools and methodologies that correspond to the scale and significance of policy options and are based on qualitative and quantitative data;
- include rigorous financial analysis, including benefits/costs for each option;
- incorporate stakeholder analysis, including potential response of identified stakeholders;
- include inter-jurisdictional comparison and a summary of successful practices from other countries.

Box 4. Full Regulatory Impact Assessment in Ireland

1. Statement of policy problem

Description of background to the issue and identification of policy problem to be addressed.

2. Identification and description of options

To include no action where relevant and at least one approach which is either a non-regulatory approach or an alternative form of regulation to command-and-control (e.g. self-regulation, co-regulation, etc.).

3. Impact analysis including costs and benefits of each option

i) Tangible cost should be quantified as far as is possible including compliance costs. Effects on national competitiveness should be identified and where possible estimated. Any negative social and environmental impacts should be identified and where possible quantified.

ii) Where costs are extremely significant, formal cost-benefit analysis to be conducted to include competitiveness, social and environmental impacts.

4. Consultation

A formal consultation process to be held with a minimum of 6 weeks for responses. Views expressed during this process to be summarised and addressed.

5. Enforcement and compliance for each option

A detailed description of how enforcement is going to be achieved, an outline of any particular compliance issues and how these are to be addressed.

6. Review

i) A description of how each policy approach would be reviewed.

ii) Identification of performance indicators for measuring the success of each option.

7. Summary of the performance of each option and identification of recommended option where appropriate.

OECD, *Building an Institutional Framework for Regulatory Impact Analysis (RIA): Guidance for Policy Makers*, 2008

The recommended option should be presented in detail that includes a description of implementation strategies and delivery method. A rationale leading to choosing a recommended option should be provided. It could be based on five main criteria for analysis:

- effectiveness in addressing the policy objective;
- impact on targeted and non-targeted groups vulnerable groups;
- efficiency or cost of implementing;
- feasibility in terms of implementation from technical and other viewpoints; and
- sustainability in the long run.

TIP!

It is not enough to conduct high-quality *ex-ante* policy assessment. It is important to establish a set of benchmarks and a monitoring mechanism that will allow evaluating whether a selected policy option really works and meets its objectives.

A baseline²³ and indicators for the recommended option should be set up and a monitoring mechanism developed. Indicators should be specific, measurable, achievable and attributable, realistic and timely. This will establish foundations for a solid and evidence based *ex post* evaluation.

Once a policy option is selected, additional analysis is conducted to determine what policy instruments or a combination of instruments to use. Often the instruments are explored at the

²³ A baseline is the level of results at a given time that provides a starting point for assessing changes in performance and establishing objectives or targets for future performance.

initial stages when the policy options are developed to identify a most effective and efficient set of instruments. As policy instruments often target change of behaviour in a target group or groups, consider instruments along a continuum of coercion (see Graph 3).

A policy that addresses discrimination based on sex, racial or ethnic origin, religion, disability, age or sexual orientation requires a great deal of assurance that it will be observed and followed that should be supported through such coercive tools as legislation and regulations. If a policy change is significant and critically important for the vulnerable groups and there is a high probability that it will face resistance and high implementation risks, a high degree of coercion could be also justified.

Many countries of the region are infamous for their poor implementation record when laws and other highly coercive instruments often remain statements of good intentions without any follow-up implementation and proper reporting. As highly coercive policy instruments often require costly enforcement mechanism, **try to implement least amount of intervention or coercion necessary to accomplish the policy objectives** and rely on policy directives, guidance notes, economic instruments and other less coercive tools. It will help you to both leverage government resources towards the most important issues and can promote a more cooperative relationship with stakeholders affected.

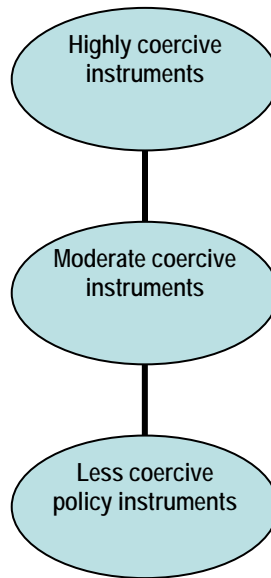
In practice, a mix of mutually reinforcing and supporting policy instruments tends to achieve better results than a single instrument. For example, if a policy targets workplace discrimination that puts an employee at a disadvantage based on prohibited grounds, legislation may not be sufficient to ensure compliance and could be combined with enforcement and additional measures to promote compliance such as public information campaigns targeting both employers and employees. Some less coercive policy instruments are described below:²⁴

- **monitoring self-regulation.** Self-regulation does not involve a legislative act and covers a large number of practices, common rules, codes of conduct and voluntary agreements by which economic actors, social players, NGOs and organised groups establish and regulate their activities. Self-regulation may provide better responsiveness and flexibility as it can be established more quickly than legislation. The Government's support of self-regulation depends on the groups' capacities to use self-regulation, including groups' enforcement mechanisms. Self-regulatory practice could be promoted through the Government policies as long as it is satisfactory in terms of the representativeness of the parties concerned, sectoral and geographical cover.
- **providing information and guidelines to all parties affected.** Policy objectives could be achieved by ensuring that citizens, consumers and producers are better informed. This type of policy instrument includes information and publicity campaigns, training, guidelines and disclosure requirements. This instrument is cost-effective as it does not require a comprehensive enforcement mechanism.
- **market-based instruments.** Market-based instruments influence the behaviour of market players through incentives or by guaranteeing some basic rules of the game. They may include taxes, grants, loans, fees, rebates, funding, subsidies, fines, imposing insurance and financial assurance requirements, property and liability rules and other market-based incentives/disincentives.

²⁴ The discussion of specific policy instruments is based on European Commission, *Annexes to Impact Assessment Guidelines*, 2008

- direct public sector financial interventions. These financial interventions usually mean public sector provision of goods and services through public expenditure programmes. This instrument could be used to complement other forms of intervention or when the use of other instruments is more expensive or infeasible. In practice, these instruments are used usually in emergency cases or as transitional measures.

Graph 3: Continuum of policy instruments by level of coercion



In drafting the *ex-ante* policy assessment paper, try to be concise and use plain language. As policy makers may not have the necessary technical expertise on the subject, the *ex-ante* policy assessment findings should be easily accessible in terms of format, language and length. It should be written in clear, concise and tailored to reader's needs language with graphics and illustrations to facilitate text comprehension.

In writing the *ex-ante* assessment paper, try to avoid paragraphs that are so long that they are overwhelming, or so short that they look like scattered bits and pieces. In general, there should be at least two paragraphs per single spaced page and no more than eight. Try to be factual but minimize the unnecessary details as descriptive detail may bore decision-makers and divert their attention from real issues. Try to focus on the substance and convince the reader that the identified problem is real, and the solution recommended is realistic. Minimizing details mentioned in the document can maximize its impact. Consider using appendixes for all technical details and background analysis.

5. EX-ANTE POLICY ASSESSMENT VIS-À-VIS VULNERABLE GROUPS: DATA SOURCES

Access to adequate, appropriate and up to date data is essential for success of any *ex-ante* policy assessment. The absence of appropriate data and data disaggregated by the vulnerable group is often a challenge in *ex-ante* policy assessments. In addition to these data limitations, the

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public servants often have to find the quality data quick to make a proper analysis to meet the tight deadlines.

After determining what data are required, check if they already exist and easily available. Often the ministries collect the data for other policies and projects and you have to contact your colleagues and senior management to inquire if the data you are looking for are available in your ministry or other ministries. This will prevent you from having to devise new processes or collect duplicate data. Do not be afraid of integrating qualitative methods into your data collection process – they can add rich detail of actual needs and aspirations of the vulnerable groups. Check web sites, government reports, inter-departmental/ministerial communication, bulletins, published papers, newspapers, and books and conduct interviews with colleagues and stakeholders. If the data are not readily available, key data sources and collection techniques that are appropriate to *ex-ante* policy assessment vis-à-vis the vulnerable groups are outlined below:

- Household surveys, including census data

It is useful to establish an ongoing, long-term data collection system that will provide valuable evidence on the vulnerable groups that could be harnessed quickly. Household surveys are some of important elements of such a system. They are multi-purpose continuous surveys carried out by the National Statistics Bureaus which collect data on a range of topics from people living in private households. The information collected is widely used by ministries and other organisations for planning, policy development and monitoring. Typically the surveys cover such core areas as:

- household and family information;
- housing tenure and household accommodation;
- consumer durables including vehicle ownership;
- employment;
- education;
- health;
- family information including ethnicity, marriage, cohabitation and fertility; and
- income.

It is important to use the information collected through household surveys in your *ex-ante* policy assessment. National Statistics Bureaus in many SEE countries have recently undergone substantial reforms and now a wider range of disaggregated data is readily available. You may work with your National Statistics Bureau to identify the types of disaggregated data available and desirable for your work. Some examples of disaggregated data that could be potentially obtained through the households surveys include:

- unemployed by the vulnerable group;
- health service users by the vulnerable groups;
- educational attainment and early school leavers by the vulnerable group;
- income levels by the vulnerable group; and
- regional breakdown of core indicators on the vulnerable groups, especially for disadvantaged locations.

You may also consider working with relevant line ministries and your National Statistics Bureau to calculate Laeken indicators on a regular basis to obtain detailed information on social inclusion and risk of poverty. When in Lisbon the European Union member states agreed to common objectives on social exclusion, they established a mechanism to monitor members' progress and assess the effectiveness of policy efforts. The Laeken indicators constitute an integral part of this monitoring mechanism. In total 18 indicators were endorsed at the Laeken European Council in 2001 to monitor progress of EU states under the Open Method of Coordination and to facilitate cross-country policy learning.

- Targeted surveys of vulnerable groups

Targeted surveys can pursue two goals: determine the levels of exclusion of the vulnerable groups and assess the impact of policies and programs targeting these groups. Surveys help to obtain information to determine the levels of satisfaction of the vulnerable groups with the current policies and programs, identify how the existing service delivery models could be improved, and collect information about the potential implications of the policy under consideration. Surveys can help to identify what the vulnerable groups really want as opposed to what ministries think they want and allocate resources more effectively by targeting high priority areas for them.

The *ex-ante* team develops a survey (or questionnaire) and sends it to a representative sample of the vulnerable group(s) collects their responses and analyzes the results. The survey should be sent to a representative group of the vulnerable groups targeted or affected by the policies under development. The sample size should be sufficient enough to provide enough feedback to assess policy options but not too big so it will become too demanding of scarce resources. The sampling plan for such surveys could be developed relying on the line ministries' databases capturing the data on welfare recipients, pensioners with minimum income, recipients of personal disability benefits, registered unemployed, and refugees and internally displaced persons. The questionnaire should be realistic and understandable to respondents. A small-sample trial with a limited number of respondents may help to improve and finalize the questionnaire.

The questionnaire can have two types of questions. Closed questions allow the respondents to choose between several predefined answers. Open questions provide an opportunity to answer the way the respondents see the most appropriate. Surveys can be filled out by the vulnerable individuals themselves or by interviewers. It could be conducted through a mail survey, a telephone survey, or in-person survey. Electronic mail and Web based surveys become an increasingly important means for collecting information, but they should be utilized only when the targeted respondents are provided with access to the Internet.

- Focus groups

A focus group tool allows gathering information from people with similar backgrounds or experiences regarding a specific topic. You may invite a small number of participants (6 to 9) to answer a set of questions posed by you or the moderator who moderates a natural discussion of the participants. The questions should be set by the *ex-ante* policy assessment team in advance in a logical order to elicit participants' opinions and experiences that are directly relevant to policy options under consideration. The moderator is critical to success of focus groups and his/her job is

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to ensure that discussions stay focused on the issues around which the group was formed. The moderator should encourage participation of all individuals invited and keep a neutral appearance through the focus group. Focus group participants may agree or disagree with each other that reveals different perspective on an issue and allows collecting a range of opinions and ideas.

The moderator's guide is very important to success of focus groups. It contains a clearly identified topic, lists expectations, questions that are formulated in non-technical language and a mechanism for capturing the information identified. The results of focus groups should be recorded and analyzed by the *ex-ante* policy assessment team to identify main themes.

6. EX-ANTE POLICY ASSESSMENT VIS-À-VIS VULNERABLE GROUPS: TOOLS

The *ex-ante* policy assessment tools that you choose should provide a realistic picture of how the policy will work so that the policy-makers will be able to choose the most effective option that will have significant impact on the vulnerable groups. In its *Impact Assessment Guidelines*, the European Commission observes that the choice of *ex-ante* tools is determined by the likely impacts of the proposed policy. It recommends a minimum of *ex-ante* policy assessment tools:²⁵

- tools that will generate quantitative and monetary information (e.g., cost-benefit and cost effectiveness analysis) if a policy will have significant impact, including budgetary implications;
- consultations with stakeholders;
- consultations with experts; and
- inter-ministerial groups for cross-cutting initiatives.

Sometimes the urgency of policy action dramatically limits the time available to conduct the *ex-ante* policy assessment and requires expeditious but quality analysis. The choice of the *ex-ante* policy assessment tools is a compromise between comprehensive analysis and a realistic attitude to resource implications and time constraints. Usually, policy analysts use the principle that it is better to be roughly right on important policy issues to your *ex-ante* policy assessment than to be precisely correct on unimportant ones.²⁶ Time constraints, availability of resources and data and staff knowledge and skills are the main factors affecting decisions regarding what *ex-ante* policy assessment tools to use. Be innovative and remember that one tool does not fit all types of policies. Each tool presented below is tentatively evaluated against time, staff skills and budget requirements and rated from low to high.

Table 3. *Ex-ante* Policy Assessment Tools: Comparative Analysis

Tool	Requirements, tentative estimations			
	Staff skills	Data	Time	Budget
Tool 1: Logic models	Moderate	Moderate	Low	Low
Tool 2: Policy Piloting	Moderate	Low	High	High
Tool 3: Cost-benefit and cost	High	High	Moderate	Moderate

²⁵ European Commission, *Impact Assessment Guidelines*, 2005.

²⁶ The Interorganizational Committee on Principles and Guidelines for Social Impact Assessment, *Principles and guidelines for social impact assessment in the USA*, Impact Assessment and Project Appraisal, volume 21, number 3, September 2003, pages 231–250.

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Tool	Requirements, tentative estimations			
	Staff skills	Data	Time	Budget
effectiveness analysis				
Tool 4: Assessment of capacity of policy implementers	Moderate	Low	Low	Low
Tool 5: Intra and inter-ministerial consultations	Low	Low	Moderate	Low
Tool 6: Risk assessment	High	High	Low	Low
Tool 7: Stakeholder and institutional analysis	Moderate	Moderate	Low	Moderate
Tool 8: Consultations with stakeholders	Moderate	Low	Moderate	Moderate
Tool 9: Community impact assessment	Moderate	Moderate	Moderate	Moderate
Tool 10: SWOT analysis	High	Moderate	Low	Low
Tool 11: Consultations with experts	Low	Low	Low	Low
Tool 12: Review of experiences of other jurisdictions	High	Moderate	Moderate	Low
Tool 13: Systemic literature reviews	High	Moderate	Moderate	Low

6.1 Tool 1: Logic models

A logic model is a picture of how a policy will work. It provides a road map for a given policy, showing what it is supposed to do, with whom, and why. It is a simple but powerful tool that is fundamental to the *ex-ante* policy assessment that links outcomes with activities/processes and provides a roadmap of the policy highlighting how it is expected to work, what activities need to come before others, and how desired outcomes are achieved. It provides a depiction and analysis of transmission channels of how exactly a new policy will affect the vulnerable groups. Directional arrows demonstrate the causal relationships and transmission channels between elements of the model.

Transmission channels may include changes in the entitlements, transfers, taxes and subsidies, access to goods and services, employment and prices. Each policy usually has impacts through more than one transmission channel. As the logic model reflects the assumptions of a policy and the causal pathways between inputs, outputs and intended outcomes, it can inform development of effective monitoring systems that are critical for success of any policy.

Logic models should focus on the vulnerable individuals and/or groups or communities that should benefit from the policy, identified on the basis of vulnerability, age, sex, income, health characteristics, and area of residence, ethnicity and other factors targeted. They have four main interconnected elements: inputs, activities, outputs and outcomes:

- **Inputs** are the resources available to achieve the objectives of the policy, including funding, human resources, regulatory changes, etc.
- **Activities** are the actions undertaken by the ministry directly or by public sector organizations to meet the objectives of the policy. The activities may include transfers and subsidies, training opportunities, construction of new hospitals and schools. Once activities are identified, the *ex-*

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ante policy assessment team can prioritize them and identify those activities that are not aligned with the policy objective and either revise them or choose not to undertake them.

- Outputs are the tangible results resulting from the activities. Outputs might include, for example, teachers, doctors, employed, books, service waiting lists, incomes and consultations. Outputs are easily quantifiable results that are linked directly to activities. Once outputs are captured in the logic model, the *ex-ante* policy assessment team may review them and identify the outputs that are not necessary to achieve the policy objectives and revise them.
- Outcomes are staged outcomes to achieve the policy objectives. It is advisable to separate short term and immediate outputs resulting from policy's inputs and intermediate and final outcomes which are long term.²⁷ Although long-term impacts are difficult to predict, they could be outlined at a high level. It is also important to separate direct effects that are easily attributable to the policy and indirect effects that are less easily attributable.

Policies often target behavioural changes of the targeted groups (e.g., long term unemployed become actively involved into job search that leads to their employment) and other groups (e.g., employers). It is important to assess whether the policy options under investigation will contribute to behavioural changes and what intermediate indicators of success (e.g., increase in the number of formerly long-term unemployed in internship programs) could be utilized to measure that. Try to utilize a mix of policy instruments to achieve maximum effect.

Table 4. Template to analyze transmission channels and outcomes for target groups and other potentially affected groups, including risk assessment

Transmission channels	Transmission channel used	Results by transmission channel categories			Information sources
	Details and risks that may influence the effectiveness of this channel	Short term	Medium term	Details and risks that the results will not be achieved	
Prices					
Employment					
Transfers					
Access					
Authority					
Assets					

Simple indicators such as ++, +, 0, - and -- are entered into these cells with reference to more detailed text below the matrix.

Source: OECD, *Promoting Pro-Poor Growth: Harmonising Ex Ante Poverty Impact Assessment*, 2006

As a logic model can be a first and fundamental tool in the *ex-ante* policy assessment that will inform decisions regarding other tools to be utilized, it is important to have a team brainstorming session. The team has to accomplish a number of tasks to prepare an effective logic model:

- review relevant policy documents and relevant literature;
- make a list of policy objectives;
- explore a range of plausible scenarios and sets of assumptions;

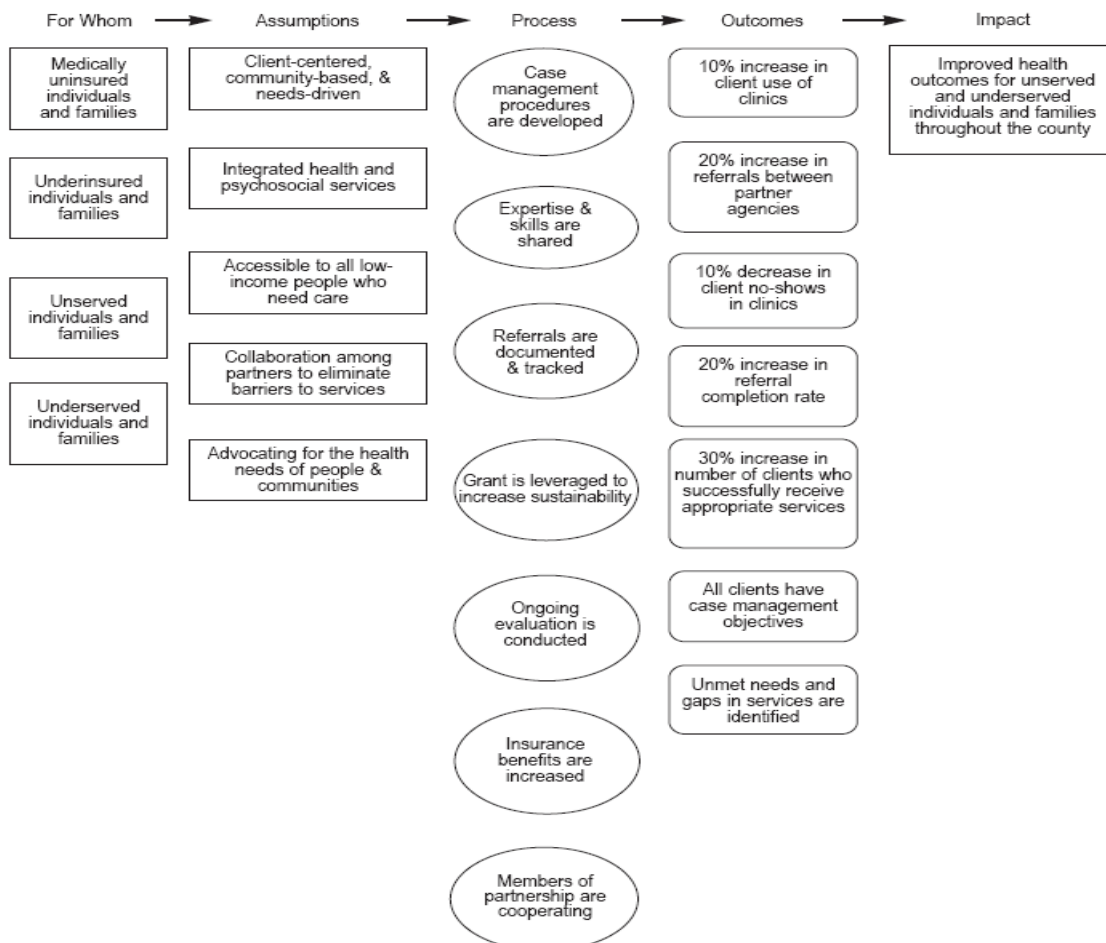
²⁷ See, for instance, OECD, *Practical Guide to Ex-Ante Poverty Impact Assessment*, 2007, which is a very informative publication containing an extensive overview of ex-ante impact assessment tools and methodologies that could be considered for ex-ante policy assessment vis-à-vis vulnerable groups.

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- define the target group(s) as specifically as possible;
- assess policy impacts on different vulnerable groups in society and identify “winners” and “losers”;
- examine if the policy affects equal treatment and equal opportunities for all, including gender equality;
- identify inputs, activities, outputs, outcomes and link them causally;
- design monitoring systems where the policy success is measured at the key stages of the model;
- identify needs for additional information and tools to be utilized; and
- verify a logic model with stakeholders and colleagues and modify, if necessary.

You may complement a logic model by conducting qualitative assessment that will estimate likelihoods and probabilities of the identified outcomes to occur. Likelihoods could be ranked as low, medium or high that the identified outcomes will occur. The magnitude of each outcome could also be ranked as low, medium or high. These estimations could be developed for each policy option and incorporated into your logic model, thus helping to orient the choice – and help calibrate the usage – of other tools.

Graph 4. Community Health Partnership Program Logic Model



Source: *W.K. Kellogg Foundation Evaluation Handbook*, 1998

6.2 Tool 2: Policy piloting

Policy piloting is an excellent tool of obtaining a reliable assessment as to whether a policy is likely to work in practice and achieve its objectives. As all policies are based on many assumptions, the policy piloting can test and validate these assumptions. Policy piloting could also determine if the vulnerable groups really benefit from the policies and more accurately assess the costs of implementing the policy nationally. Piloting also provides an opportunity to improve the policy implementation processes and identify strengths and weaknesses of policy implementers.

In selecting a pilot it is important to ensure that it is fairly representative of the targeted groups and policy issue addressed. Geography, income levels, accessibility of government services, unemployment levels are some of the factors that should be taken into consideration in choosing pilot sites. **Do not choose the best performing sites with the most skilled people** – the evidence collected from these sites will be skewed and will not provide an accurate picture of how policy will work if implemented nationwide. When choosing the pilot sites do not forget to establish an evaluation mechanism and assign public servants with expertise in evaluation to conduct evaluation from the beginning. The data and results of the evaluation should be used to modify the policy as needed before it is widely implemented.²⁸

6.3 Tool 3: Cost-benefit and cost effectiveness analysis²⁹

Cost-benefit analysis identifies the benefits of undertaking the policy, including its impact on the vulnerable groups. It provides a more detailed analysis of policy impact that goes beyond

Box 5. Ex-ante impact assessments on economy of households in Slovakia

In Slovakia, to assess the impact of proposed policy on the economy of household, the following steps should be undertaken:

- the average change resulting from the implementation of the recommended policy per individual/household (e.g. the growth of the working income due to an income tax reduction or a growth in expenses for a certain type of goods in the case of an increase in its price, as the case may be) should be quantified;
- the average expected change for each affected group of population/households (taking into account the households' composition) resulted from the implementation of the recommended policy option should be calculated;
- the changes in the share of expenses in the income of an individual/the household resulting from the implementation of the recommended policy should be calculated;
- the overall number of citizens/households, families affected by the submitted document should be quantified.

Source: *Evaluation of social impact of policies in the Slovak Republic*

traditional long-term assessments of aggregate economic impacts on society as a whole. The costs of policy should be estimated for the budgeting cycle and to determine if a policy represents value for money. This analysis assesses and compares policy options in terms of their expected benefits

²⁸ On policy piloting and some other relevant tools, see UK, National Audit Office, *Modern Policy-Making: Ensuring Policies Deliver Value for Money*, 2001.

²⁹ For a comprehensive review of cost-benefit and cost-effectiveness analysis, see OECD, *Introductory Handbook for Undertaking Regulatory Impact Analysis (RIA)*, 2008.

and to whom these benefits are expected to flow. Costs and benefits are analyzed in the broadest way possible, including benefits without typical monetary values. Cost-benefit assessments examine potential impacts of policies on poverty, socioeconomic conditions, health, education attainment and other areas relevant to the vulnerable groups. Indirect impacts such as improved employability of household members and improved educational attainment of children could be described. The analysis identifies a policy option with the greatest excess of benefits over costs.

If, for instance, a new labour law is introduced, the costs include the costs that employees and employers have to incur to comply with it and the costs to government of administering and enforcing the law. Potential government costs that should be included in the budget include:

- developing and dissemination of standards and guidelines supporting the law;
- employing additional staff to work on regulatory compliance;
- subsidies and other payments provided to employers recruiting individuals from the vulnerable groups; and
- knowledge dissemination and training costs targeting the vulnerable groups on their rights and responsibilities under the new law.

The benefits can be explored by examining the sectoral and geographic distribution of anticipated benefits, income and purchasing power of the vulnerable groups, the opportunities that will be opened up for vulnerable individuals at present excluded from the labour market. Other aspects include level of remuneration and fairness, gender equality; and health and safety at work. It is advisable to examine also how the policy options will affect the vulnerable groups' access to such crucial government services as housing, education, social and employment services, health and long-term care in terms of:

- accessibility (e.g., geographical coverage, physical access and possible discriminatory criteria);
- affordability (e.g., prices and costs);
- sustainability (e.g., long-term viability and continuity of services); and
- quality (e.g., impact on the level and standard of services delivered to the general population and to the vulnerable groups).³⁰

Quantitative information is usually expressed in numerical, including monetary, terms. It is very useful to policy-makers as it allows straightforward comparison of policy options, especially when benefits and costs are expressed in monetary terms. In practical terms, it may not be always possible to assess all costs and benefits quantitatively. If monetization of the costs and effects cannot be provided, explain why and present all available quantitative information estimating the likelihood of the effect. If costs and benefits are not traded in the market, use willingness-to-pay proxies to estimate the monetary value of the effects. Provide as much qualitative information that is appropriate as possible. The qualitative information should be clear, objective and factual and should be an integral part of your analysis.

Cost effectiveness analysis is narrow in its focus in comparison with a cost benefit analysis as it attempts to identify the least costly policy option to achieve desired outcomes and requires less resources and expertise to complete. It answers the question: "Which of the policy options of achieving the policy objectives has the lowest cost?" Valuing costs is much easier than valuing

³⁰ Sian Jones and Maria Jeliaskova, European Anti Poverty Network, *Social Impact Assessment*, 2008.

benefits in most cases. Assuming that the benefits are the same for all policy options under consideration (e.g., x number of jobs created), their costs are calculated. The least-cost option is then identified.

6.4 Tool 4: Assessment of capacity of policy implementers

Policy implementation requires careful planning that includes such elements as assigning and deploying resources, orientation and training of front-line workers. Success of any policy depends on policy implementers or those who will be assigned with a task to implement the policies effectively and efficiently.

Involving policy implementers into *ex-ante* policy assessment is required to evaluate how practical a policy is likely to be as well as to secure their commitment to the policy.

The policy implementers may help to identify practical solutions to policy implementation as well as contribute to evaluation of their capacity and recommend appropriate mechanisms to enhance their capacity in the areas relevant to policy options (e.g., preparation of guidance materials, training manuals and programs). The involvement of policy implementers could prepare them better to work with the vulnerable groups and enhance their skills in relevant areas.

TIP!

Try to identify public servants who have worked on comparable *ex-ante* policy assessment projects and conduct semi-structured interviews with them. Inquire about the process, colleagues who can help you, and lessons learned. This can be easily done and it will benefit your project!

6.5 Tool 5: Intra and inter-ministerial consultations

To avoid duplication, achieve synergies and ensure support of public servants, the *ex-ante* policy assessment team should engage into consultations with the Minister's office political staff, ministry staff who will provide support for policy implementation (e.g. communications, information systems, human resources) and those who will be responsible for implementation at the local level. If policy options cut across the responsibilities of more than one ministry, inter-ministerial working groups could be established under the lead ministry to ensure that all of the issues are considered in the *ex-ante* policy assessment. The frequency of meetings and composition of inter-ministerial groups depend on the nature of the policy options. If policy options envisage involvement of multiple ministries or their effects are cross-sectoral, it is advisable to have frequent meetings of the inter-ministerial groups to ensure that all ministries agree with the findings and recommendations of the *ex-ante* policy assessment.

Box 6. Procedures for Inter-Ministerial Consultations on the *Ex-Ante* Policy Assessment in Norway

In Norway, *Instructions for Official Studies and Reports* that are laid down by Royal decree in 2000, and revised in 2005 make it mandatory to study financial, administrative and other significant consequences of proposed policies. Consequences shall as far as possible be quantified. The combined effect of all the measures and responsibilities, etc. on those who will be affected by the proposals shall be described. Uncertainty of future development and results in the area of the matter and the kind of consequences and their strength should be assessed.

When the study of a matter has been completed, the ministry concerned or the subordinate agency shall circulate the matter for general review to all the public and private institutions and organisations affected. A matter shall also be sent to other ministries affected at the same time as it is circulated for review. The period for review shall normally be three months and no less than six weeks.

The ministry's draft reports and propositions to the Storting (Norwegian National Assembly) shall be submitted to the Ministry of Finance and other ministries concerned for consideration before being presented to the Government. The ministries decide whether the draft should be submitted to subordinate agencies. Should the draft report or proposition to the Storting have consequences for the finances and administration of counties and municipalities, or regional consequences, it shall be submitted to the Ministry of Local Government and Regional Development for consideration. The response period shall be at least three weeks unless a different deadline has been agreed upon by the ministries concerned.

Source: Dag Holen and Bettina Uhrig, *Norway 'Statements and comments' paper: Peer Review Social impact assessment*

6.6 Tool 6: Risk assessment³¹

It is almost always impossible to collect all the necessary information in the process of *ex-ante* policy assessment because its amount is too vast. Due to this, policy decisions are made under some degree of uncertainty and an element of risk is present in policy making. Some risks like an international economic crisis can hardly be predicted but the *ex-ante* policy assessment team should minimize risks through risk assessment and development of risk management strategies.

Risk assessment analyses the probability of an effect, usually a harmful effect, to individuals or groups from policy options under consideration and related activities. Risk assessment should start with a concise narrative describing what can go right, what can go wrong, and how it will affect the policy outcomes. It could describe potential changes in scope of the policy, and effect of the change on outcomes. In addition to major risk factors such as changes on the international market, the government's macro and sectoral policies, other issues such as staff capabilities, operation and maintenance costs could be explored as well.

TIP!
Conduct Government-wide training initiative jointly with the Ministry of Finance and internal audit departments on how to conduct effective risk assessments.

³¹ For more on risk assessment, sensitivity analysis and scenario analysis see World Bank, *A User's Guide to Poverty and Social Impact Analysis*, 2003 as well as UK HM Treasury web-site with very practical tools and examples of risk management: http://www.hm-treasury.gov.uk/psr_governance_risk_riskguidance.htm

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To make sure that risk assessments constitute an integral part of *ex-ante* policy assessments, it is critically important to build capacity of public service in risk management. The progress of developing risk management culture in line ministries and central agencies could be measured and supported by utilizing the table 5 below:

Table 5. Assessment Tool: Do the organisation's processes incorporate effective risk management?

Level 1 : Awareness & understanding	Level 2: Implementation planned & in progress	Level 3: Implemented in key areas	Level 4: Embedded and improving	Level 5: Excellent capability established
Some stand-alone risk processes have been identified	Recommended risk management processes are being developed	Risk management processes implemented in key areas. Risk capability self assessment tools used in some areas.	Risk management is an integral part of the organisation's core processes (policy, planning, delivery etc) and data are collected to monitor and improve risk management performance	Management of risk & uncertainty is an integrated part of all business processes. Best practice approaches are used and developed. Selected as a benchmark site by other organisations
Evidence				

Source: UK HM Treasury, *Risk Management Assessment Framework: A tool for Departments*, 2004.

Risks should be identified by the level, type and visibility so that a clear and precise risk management plan can be developed. The probability of the risk occurring and its impact on the ability of ministries to achieve the policy objective should be evaluated. Numerical values (e.g. from 1 to 5) should be assigned to both the likelihood and impact of each risk so that the policy options could be compared.

The risk management plan should be developed that will include risk costs estimates, roles and responsibilities of those involved into risk management and budget of risk management activities. It is advisable to involve all members of the *ex-ante* assessment team into risk identification and development of a risk management plan.

6.7 Tool 7: Stakeholder and institutional analysis

Stakeholder and institutional analysis helps in identifying the influence, roles, interests, needs and expectations of relevant stakeholders and institutions. A list of potential stakeholders is extensive and may include the vulnerable groups, ministries, politicians, enterprises, labour unions, academics, and religious groups, NGOs, public sector agencies and the media. Stakeholders are persons who are affected by or can affect the outcome of a policy. As a stakeholder is a person, group, organisations, or a ministry that has something to gain or lose through the outcomes of the policy developed, it is beneficial to start with the analysis of those groups for whose benefit the policy is developed and analyze the vulnerable groups even if they are not directly targeted by the policy. The *ex-ante* policy assessment team should identify the beneficiaries, analyze whether the policy developed matches their needs and expectations, and

predict their reaction to the policy. Then the team should develop a comprehensive list of all stakeholders as well as their interests and expectations. This list could be pretty exhaustive to ensure that nobody is left out.

As the interests of many stakeholders who may influence the policy may be positively or negatively affected by the policy developed, it is important to assess their potential impact on policy success. It may be beneficial to separate and analyze stakeholders by level of their interest in the policy and their power to affect the policy. As some stakeholders are powerful and may disagree with the policy proposed, it is important to make sure that their expectations are managed and needs are addressed. It could be achieved through intensive consultations and making policy adjustments to accommodate their expectations. You should also assess the role of the vulnerable groups and devise a set of strategies how capacity of stakeholders representing their interests could be strengthened.

Traditionally, institutions are defined as rules, procedures and norms that allow, prescribe or proscribe certain behaviour, define expectations, limit and facilitate opportunities, provide information and shape human interaction.³² There is a wide variety of institutions existing in the modern society: the government, business, the educational system, the hospital, the church, marriage, etc. Often if new policies are implemented, the “usual” way of doing things or old, informal institutions can survive. The *ex-ante* policy assessment can include evaluation of the targeted institutions and their ability to change in response to reforms. A careful diagnosis of the functioning of institutions, including past values and belief systems should be conducted with a goal of aligning policy options with the strengths of past practices or realigning them to new values. Although the institutional analysis is very complex and requires in-depth analysis of behaviour changes, it may be advisable to brainstorm how the behaviour of targeted groups or policy implementers will change once new policies are introduced. If you determine that the behaviours will not change as fast as it was envisaged in the original policy proposal, the policy timeframes can be adjusted and additional measures targeting behaviour changes could be introduced.

As changes in behaviour or a culture change is a slow process, you should be strategic and evaluate a wide range of factors including organization’s tradition, existing incentive systems and external environment. If you have to change an old bureaucratic paradigm and introduce new entrepreneurial culture into public administration, you may consider a wide range of strategies. One of potential strategies is to introduce performance management which is a system that links organisational goals to workplans, appraisal, capacity development, pay and incentives for public servants. These reforms focus on results and increased value for money, devolution of authority and enhanced flexibility, strengthened accountability and control, a client- and service-orientation, strengthened capacity for developing strategy and policy, introducing competition and changed relationships with other levels of government.

³² On institutions and institutional reforms, see Adriana Alberti and Jide M. Balogun, UN DPADM Discussion Paper, *Challenges and Perspectives in Reforming Governance Institutions*, September 2005.

Some practical strategies how to achieve a cultural change in any organization are listed below:³³

1. Involve the employees. Woo them, reward them, entertain them—whatever it takes to get them to try new things.
2. Walk the talk. Leaders must model the behaviour they want; if they don't, the new paradigm will have no credibility.
3. Make yourself visible; get out of the front office and mix with your employees.
4. Make a clear break with the past: send an unmistakable signal that you are initiating culture change.
5. Unleash—but harness—the pioneers. Channel their energy in constructive directions.
6. Get a quick shot of new blood, by bringing in new managers who already carry the new culture. Then continue the transfusion every time you hire someone new.
7. Drive out fear, but don't tolerate resistance. Give employees lots of information and rewards. But if someone repeatedly undermines the change process, remove them.
8. Sell success: constantly call attention to the new behaviour you're looking for, and reward it. But don't make the new culture politically correct.
9. Communicate, communicate, communicate.
10. Bridge the fault lines in the organization; help people reach across dividing lines.
11. Change administrative systems that reinforce a bureaucratic culture.
12. Be patient. Commit for the long haul, because it takes five to 10 years to transform a bureaucratic culture. Don't let the bureaucracy wait you out.

6.8 Tool 8: Consultations with stakeholders

Public consultation has always been an acknowledged means to explore ideas, find effective policy solutions, create consensus and increase transparency in decision-making. In many SEE countries such as Bosnia and Herzegovina, there are Government provisions for consultations with the public and civil society. Suggestions provided below may help in implementing these legal requirements.

Consultations should take place as early as possible in the policy development process. They should always be done before a decision is taken. In order to ensure that consultations yield useful information, the *ex-ante* policy assessment team should be well prepared to conduct constructive consultations with a wide range of stakeholders. Stakeholders should be provided with sufficient resources and time to engage in productive consultations. It is advisable to conduct a brief scan of stakeholders to identify likely positions of key stakeholders especially if the policy is likely to be contentious. It helps in planning consultations and developing a communication plan.

³³ David Osborne, *Reinventing Government: What a Difference a Strategy Makes*, 7th Global Forum on Reinventing Government Building Trust in Government 26-29 June 2007, Vienna, Austria

Box 7. A participatory approach to central public administration reform in Moldova

In Moldova, all ministries contributed with information and ideas for the review of their structures and decision-making processes; approximately 500 civil servants provided feedback on the current human resource management practices through a survey; and international donors were consulted during the strategy development process. The main obstacles to central public administration reforms such as insufficient information of stakeholders about the main goal, objectives, benefits and implementation timeframe of the reform were identified, a list of activities to address them was developed and is being implemented. Some activities include creating, launching and regularly updating an interactive web page that would reflect the activities carried out within the central public administration reform and maintain an active dialogue with mass media.

Source: Moldova, Central Public Administration Reform, Participation and Communication Processes, <http://rapc.gov.md/en/refcomp/1202/>.

One of the most important tasks of consultations with stakeholders, especially the targeted vulnerable groups is to evaluate whether the policy options address their actual needs. As the vulnerable groups are often low in power and skills of interacting with the Government, they may be difficult to engage in consultations. Try to be innovative and work with stakeholders representing the interests of the vulnerable groups to help them to prepare for consultations. Through consultations with stakeholders, the *ex-ante* policy assessment team could identify stakeholders' perspectives and aspirations, improve the information base and gather information on all potential consequences of policy options under consideration, including the fiscal impact. The team may present different policy options to stakeholders and test how these options are likely to work in practice, including unintended side effects. The rigorous dialogue may be very open and the *ex-ante* team may approach stakeholders for practical advice and solutions.

The *ex-ante* policy assessment team may develop a set of documents for consultations with stakeholders that are clear, concise and include all necessary information. The questions should be very specific, but stakeholders should be encouraged to give background information and make written submissions. Consultation may be open to the general public, restricted to a specific category of stakeholders or limited to a set of designated organizations. The consultations should provide sufficient time for participation of all relevant stakeholders who may need time to consult their members in order to produce a consolidated viewpoint. Once feedback from consultations is collected, it is important to acknowledge the contributions and report back to the stakeholders and how their input was used. A brief summary of the consultations and a list of stakeholders consulted could be annexed to the *ex-ante* policy assessment report.

6.9 Tool 9: Community impact assessment

Community impact assessments record information on a broad range of factors (such as environmental/natural features, socio-demographic characteristics, local institutions, economic activities and livelihoods, basic household and community facilities, and social organization) at the household level.³⁴ They are used to understand the context of communities and analyze if the policy/project will work in practice and to establish benchmarks to monitor its success at the

³⁴ Food and Agriculture Organization of the United Nations, Messer, Norman, and Philip Townsley, *Local Institutions and Livelihoods: Guidelines for Analysis*. Rural Development Division, Rome, 2003.

community level. The *ex-ante* policy assessment team could record information on a simple datasheet with standardized qualitative and quantitative questions that may include:

- Who are the vulnerable groups/individuals at the community level? What are the indicators to determine their vulnerability?
- What different activities do households use to support their livelihoods? Who is involved in these livelihood activities?
- How many people and households live in the community? What are the gender, ethnic and cultural composition and age structure of the community and the vulnerable groups?
- What public services are accessible in the community (medical doctors/nurses, schools, transport, etc.)? Who has access to these services? Could the vulnerable groups/individuals access these services free of charge?
- How has the community changed over time and what has caused those changes?

A wide range of tools and methods can be used to gather data to build a useful community profile such as community resources mapping, semi-structured interviews, focus group, and review of available data. You may use tables to capture the gathered data to facilitate your analysis. The obtained data could be validated through community meetings with a wide cross section of the community, including the vulnerable groups/individuals. This tool can be used to inform your work on the logic model as well as to assess the effect of policy piloting at the community level.

6.10 Tool 10: SWOT analysis

The SWOT approach could be utilized to capture all the necessary information related to the policy under investigation in a simple format that allows comparing policy options.³⁵ It analyzes internal Strengths and Weaknesses and external Opportunities and Threats with regard to policy options under investigation. You could record the information in a two-by-two matrix that captures findings in a simple form. As a rule, the internal Strengths are analyzed first, followed by Weaknesses (i.e. resources/capabilities) that can help achieve/hinder the policy objective. If a ministry has implemented comparable policies, it should be identified as strengths. Then external Opportunities and Threats (i.e. factors/situations) are analyzed with regard to the policy options under consideration. In implementing a SWOT approach, take into account a wide range of factors such as social, technological, political and such areas as capacities, experiences, international pressure and many others. Ideally, the SWOT matrix should be completed by the *ex-ante* policy assessment team that clarifies through brainstorming exercise the policy objectives, assesses internal ministry capacity and identifies existing and required resources that will be needed. The SWOT analysis can be very helpful in comparing policy options. (see Table 6 below for a practical example).

Table 6: The SWOT analysis based on the Czech National Development Plan, 2004-2007

Strengths	Weaknesses
Macro-Economic Situation <ul style="list-style-type: none"> • relatively fast economic growth in comparison to the EU 	Macro-Economic Situation <ul style="list-style-type: none"> • excessive budget deficits • growth of public debt

³⁵ For more on SWOT analysis, see *SWOT Analysis — A Facilitation Tool for Identifying Strategic Issues*, available at <http://europeandcis.undp.org/home/show/802FBB5F-F203-1EE9-B5DD65625C9269A9>

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<ul style="list-style-type: none"> • favourable development of most of basic macro-economic figures • stable development of prices • massive inflow of foreign direct • investments supported by the investment incentive system • relatively high degree of market liberalisation <p>Social Situation</p> <ul style="list-style-type: none"> • relative sufficiency, qualification, adaptability and relatively low price of labour force • low share of employment in the primary sector • high level of economic activity of women • relatively developed network of non-state non-profit organisations <p>Basic Infrastructure Available in the Territory</p> <ul style="list-style-type: none"> • high density of road and railway networks • Prague – Ruzyně (national airport) as an international airport of European significance • progress in modernisation and development of trans-European transport infrastructure • large investment in infrastructure with positive environmental impact • relatively suitable capacity and location of technical and social infrastructure • relatively dense network and regional accessibility of primary and secondary schools • preference of public transport in comparison with the EU <p>Location and Regional Profile</p> <ul style="list-style-type: none"> • favourable geographic location of the Czech Republic • significant social and economic position of Prague in the European hierarchy of settlements • relatively low disparities in the social and economic development of regions growing positive role of regional centres in regional development <p>Industry and Services</p> <ul style="list-style-type: none"> • adaptability of the SME segment to the changing needs of the market • tradition of industrial production • good preconditions for IT development • supporting development of their own scientific, development and research basis by some foreign direct investors • developed businesses focusing on resolution of environmental issues 	<p>Social Situation</p> <ul style="list-style-type: none"> • growing unemployment rate with significant elements of structural unemployment, high share of the long-term unemployed • incompatibility of the educational system and the requirements of the labour market • insufficient mobility of labour force • unequal position of women on the labour market • insufficient integration of specific groups of citizens <p>Basic Infrastructure Available in the Territory</p> <ul style="list-style-type: none"> • insufficient quality of transport infrastructure • unfinished network of trans-European communications at the required level of quality • dissatisfactory conditions of local technical infrastructure • low level of local waste water treatment • unsuitable level of tourism infrastructure <p>Location and Regional Profile</p> <ul style="list-style-type: none"> • maturity of regions in comparison to the EU • considerable regional differences in the unemployment rate • significant regional differences from the viewpoint of share and concentration of structural problems • excessive concentration of economic activities in Prague • insufficient serviceability of regions by public transport • unsatisfactory linkage of regional communications to backbone European networks • remaining difference in the living conditions of rural and urban areas <p>Industry and Services</p> <ul style="list-style-type: none"> • incomplete restructuring of the economy • high share of productions with low value added • low share of the tertiary sector • low exporting capability of small and medium-sized enterprises and capability to participate in foreign direct investors' activities • low labour productivity in comparison to the EU • lack of own investment and innovation funds • insufficient development and transfer of new technologies and insufficient links between companies and research and development institutions • insufficient network of small and mediumsized enterprises <p>Environment</p> <ul style="list-style-type: none"> • environmental quality in certain areas does not reach EU standards • insufficient general awareness and knowledge as regards sustainable development principles • regional differences in environmental burdens • existence of old burdens • unsatisfactory waste management system • high energy consumption of manufacturing processes and low share of renewable sources of energy • insufficient development of nonproduction agricultural and forest functions
Opportunities	Threats
<ul style="list-style-type: none"> • accession to the EU • possibility of global economic recovery • favourable and sustainable structure of economic growth • continuing inflow of foreign direct investments • reform of public finance system 	<ul style="list-style-type: none"> • persistent economic recession in world economic centres – especially in the EU • accession to the EU (inability to cope with competitive pressures in the EU) • postponement of the fiscal reform • development of the public debt

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<ul style="list-style-type: none">• on-going reform of public administration• involvement of general public in decisionmaking processes• historical and natural potential for tourism development• continuing interest of foreign tourists in the CR• favourable natural conditions for economic development• improved implementation of legal preconditions for equality of men and women	<ul style="list-style-type: none">• strong Czech Crown exchange rate threatening export capabilities of some industries• markedly negative characteristics of demographic development• limited public (municipal, regional) funds for investments in infrastructure• growing regional differences• persistent negative environmental image of some regions• incomplete reform of public administration• low enforceability of law and slow court proceedings• risk of occurrence of extreme climate phenomena
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Source: Training in Project Cycle Management, Procurement and Contracting of Pre-Accession Projects and Management of EU Structural Instruments, *Handout: Socio-Economic Analysis and SWOT*, available at http://www.mefromania.ro/wps/PA_1_1_15H/static/amcsc/phare/implementare/060331_CMHandoutSWOT.pdf

6.11 Tool 11: Consultations with experts

Experts' advice can be critical to success of your *ex-ante* policy assessment as experts are aware of the most relevant international literature on the subject and possess significant expertise. They could be invited to participate in a formal meeting to review potential policy options and their impact on the vulnerable groups that will enable the *ex-ante* policy assessment team to record and summarize the most recent and relevant research on the topic. A limited number of participants with specialized knowledge on a subject that represent different points of view could be invited to participate in a meeting. The *ex-ante* policy assessment team may appoint a chair who is a subject expert and skilled in group processes management to facilitate the discussion and keep participants focused. The chair should encourage participants to share their knowledge and different perspectives on the subject. The *ex-ante* policy assessment team can take notes and prepare a written summary of the meeting.

6.12 Tool 12: Review of experiences of other jurisdictions

Ministers and senior public servants recognise the importance and value of international evidence. They are aware that policy makers in other jurisdictions often have to deal with similar problems and may be more advanced in implementing comparable policies. They are especially interested in learning about innovative ideas and successful practices from other countries. Systemic reviews of experiences of other jurisdictions may prevent from reinventing the wheel, save money and time and help avoid problems which other countries may have encountered.

Internet can be a point of departure in collecting the evidence from comparable jurisdictions, international bodies and research institutions. Once the comparable policies are identified and some preliminary data are collected, it may be appropriate to follow up with telephone interviews with policy executives from other governments and organizations to gather more detailed information. A table summary of your review of other jurisdictions experiences could be developed and annexed to the *ex-ante* policy assessment report.

6.13 Tool 13: Systemic literature reviews

Systemic literature reviews can be very important for *ex-ante* policy assessment, especially in the areas that require some level of technical expertise because they provide decision makers with a quality overview of the best available evidence. In those instances where you need more information than you could obtain from local experts, it is advisable to conduct a systemic literature review that will uncover all of the available evidence related to policy options and critically appraise each study for quality to identify quality materials. In addition to libraries, materials could be retrieved from the Internet, academic institutions and organizations and the private sector. Once you collect all the necessary data, you can combine them into a comprehensive and easy to navigate summary.

It may be beneficial for some ministries to establish and maintain libraries with staff competent in the areas of ministry's responsibilities that could help policy analysts to find appropriate materials. Alternatively, it is possible to establish a ministry-based position of policy researcher with expertise in evidence gathering relevant to the ministry mandate.

7. EX-ANTE PROJECT/PROGRAMME ASSESSMENT

As many interventions supporting the vulnerable groups are implemented in a form of projects or programs (i.e., multiple projects implemented simultaneously to achieve a common set of goals), *ex-ante* project assessments could enhance their effectiveness and efficiency. Unlike policies, the objectives of projects are considerably different. The objectives of policies are usually multi-faceted and long-term oriented. Conversely, the purpose of any project is to attain its specific objective and then terminate.

The *ex-ante* project assessment should address four domains:

- Relevance: Does the project fit with the core ministry priorities in the area of supporting the vulnerable groups?
- Effectiveness: Will the project outcomes meet intended objectives? What is the evidence to support your observations?
- Efficiency: Will the project be delivered at the lowest possible cost?
- Affordability and sustainability: Will the project be sustainable given fiscal realities?

The best format to conduct *ex-ante* assessment of projects supporting vulnerable groups is to develop a Business Case that will outline the need, list some options, and provide a recommendation. The Business Case should explain what is a specific need (e.g. new mandate to be followed), challenge (e.g. dramatically increasing unemployment in one municipality) or opportunity (e.g. chance to improve services to vulnerable groups) that should be addressed. It is advisable to conduct a broad-based *ex-ante* assessment of at least three project implementation options. Once a decision about project option is made, it is recommended to conduct in-depth *ex-ante* assessment of a selected option. Although a typical business case includes more steps than outlined below, the *ex-ante* project assessment with regard to the vulnerable groups could focus on the following steps:

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- 1) **Identify goals and objectives of the project.** The goals of the project should be clearly identified and understood at the outset, otherwise it will be very problematic to assess whether the project is achieving its objectives. Try to be specific in describing goals of the project and its impact on vulnerable groups in a Specific, Measurable, Achievable, Results-Focused and Time Bound (SMART) way. The baseline should be established at this stage as well. Once you determine a measurable target of the project (e.g. 20-30% decrease in unemployment rates of Roma in municipality *a*), the *ex-ante* assessment and all future decisions should be based on this goal and evaluated against it.
- 2) **Describe project deliverables and activities.** You should present the scope or deliverables of the project and activities that will be undertaken (e.g. recruiting of Roma to work in employment agencies to support Roma job-seekers, funding of training opportunities targeting the Roma unemployed, subsidies to employers who hire Roma). It is advisable to include the timetable of the activities and identify main milestones when the project progress will be assessed. You should clarify activities that are in the scope of the project and determine what is not in scope to minimize the chances that additional activities and deliverables will be added later in response to stakeholders' demands. It will help to focus on project objectives and stay within the budget approved.
- 3) **Develop a tentative budget of the project, including cost and duration estimates (+/-25%).** You should analyze resources that you will require and in what time frame they will be needed. This is usually accomplished by listing all major project deliverables, when they are expected to start and finish, and how much each might cost.
- 4) **Define the profile and minimum qualifications of your team members and how they will be recruited.** You should carefully plan how you will recruit a skilled and committed project team that will contribute to its success and outline the extent and timeframe of their involvement. Determine if training is required to enhance their skills with regard to the project.
- 5) **Identify stakeholders.** Once the goals of the project are determined, project stakeholders should be determined and their roles identified. The roles of stakeholders may be different and include those who make strategic decisions regarding the project (e.g., senior management), work on the project (e.g. other ministries, project implementers), or have to be consulted to ensure success (e.g. vulnerable groups). The needs, capacities and roles of all stakeholders should be identified as early as possible, taken into consideration in defining the scope of the project and reflected in the Business Case.
- 6) **Apply project-appropriate *ex-ante* policy assessment tools presented above.** Although the *ex-ante* assessment tools described in this Guide are developed for the policies, such tools as logic models, cost-benefit and cost effectiveness analysis, intra and inter-ministerial consultations, risk assessment, stakeholder and institutional analysis, consultations with stakeholders, community impact assessment and SWOT analysis could be utilized in a project environment.
- 7) **Identify and plan for risks.** Risks or events that are likely to affect the projects may be different in nature from risks associated with policy development and require different risk identification techniques. Once you developed goals and identified activities and deliverables,

prepared a budget and consulted all relevant stakeholders, it is necessary to ask yourself what can go wrong with the project (risks) and how can you deal with these risks. Although you may be under a lot of pressure to move with the project as fast as possible, risk assessment may save a lot of time and costs later when the risks materialize. Moreover, risks assessment of potential project options can be one of important factors influencing decisions on the project option selected. At the *ex-ante* project assessment stage, be very specific about the risk (e.g. limited number of qualified Roma to be hired to work in Government employment agencies) and put it down clearly. If risks are not clearly identified and remain imprecise, it will be very challenging to plan and implement a set of measure addressing them. In collaboration with your team and potentially stakeholders, you should develop realistic plans that will outline response to the risk by reducing the chances of it happening (e.g. invest into training of Roma to prepare them to work in employment agencies) and reducing its possible impact (e.g. conduct staff training of the employment agencies on culturally sensitive methods of working with Roma unemployed). This step should result in development of a risk management plan including risk monitoring and control processes.

- 8) Finalize the *ex-ante* assessment and secure senior management decision on the project recommended option. It is important to work with senior management through all stages of project development and its *ex-ante* assessment. It will ensure that the senior management understands the project. Once the *ex-ante* stage of the project development is completed and a recommended option is approved, the project staff can develop a more detailed plan of actions with comprehensive description of project components and proceed with project implementation.³⁶ The *ex-ante* assessment should support the project mid-term and final evaluation. To achieve this goal, you should establish a monitoring and control mechanism that includes collecting data and measuring project progress that will help you to identify any areas that require attention.

8. ADDITIONAL RECOMMENDATIONS THAT COULD SUPPORT INSTITUTIONALIZATION OF EX-ANTE POLICY ASSESSMENTS IN SEE COUNTRIES

The Government wide consistent use of the tools and methodologies described above can improve the quality and impact of *ex-ante* policy assessment in SEE. Suggestions listed below can help to promote consistency and institutionalize *ex-ante* assessment standards across all levels of public administration:

- align training and capacity building in the area of *ex-ante* policy assessment with other public administration reform efforts, especially if they deal with improving the public policy cycle;
- expand training programs on *ex-ante* policy assessment and incorporate them into public policy basic training provided by all ministries;
- develop standard templates and guidance on *ex-ante* policy assessment to minimize discrepancy in policy submissions and facilitate the decision making process;
- introduce a legal requirement of starting legislative drafting only after the *ex-ante* policy assessment is completed and a policy option is selected;
- institutionalize regular trainings to new political staff, senior management and policy staff on *ex-ante* policy assessment that will be based on practical scenarios and case studies; and

³⁶ For more on all stages of project management, see <http://www.pmi.org/Pages/default.aspx>.

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- enhance capacity building in line ministries by conducting regular training on project management.

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9. A MASTER MATRIX: MATCHING POLICY AREAS, VULNERABLE GROUPS AND EX-ANTE ASSESSMENT TOOLS

A master matrix matching policy areas with vulnerable groups and suggested *ex-ante* policy assessment tools is provided below. It could be used as a quick reference at the initial stages of *ex-ante* policy assessments to identify appropriate tools and methodologies. The entries in the table are hyperlinked to respective *ex-ante* policy assessment tools described in detail in chapter 6. Please exercise your professional judgment to identify the *ex-ante* policy assessment tools suitable to your needs.

It is advisable to apply the following tools for **ALL** ex-ante policy assessments vis-à-vis the vulnerable groups: Stakeholder and institutional analysis [6.7](#); Consultations with stakeholders [6.8](#); Review of experiences of other jurisdictions [6.12](#); and SWOT analysis [6.10](#)

The following tools are reflected in the master matrix: Logic models [6.1](#); Policy piloting [6.2](#); Cost-benefit and cost effectiveness analysis [6.3](#); Assessment of capacity of policy implementers [6.4](#); Intra and inter-ministerial consultations [6.5](#); Risk assessment [6.6](#); Community impact assessment [6.9](#); Consultations with experts [6.11](#); and Systemic literature reviews [6.13](#).

Core Policy Areas	Roma	Unemployed	Persons with disabilities	Poor Children	Low Income Groups	Elderly	Victims of Abuse	Women	Victims of Trafficking	Rural Population	IDPs	Refugees	Large Families
Social protection	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.9 , 6.13	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.13	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.13	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.13	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.13	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.11	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.11 , 6.13	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.13	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.11 , 6.13	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.9	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.9	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.9 , 6.11 , 6.13	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6
Health	6.1 , 6.2 , 6.3 , 6.4 , 6.9	6.1	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.11 , 6.13	6.1 , 6.2 , 6.3 , 6.4	6.1 , 6.3 , 6.6	6.1 , 6.2 , 6.3 , 6.4 , 6.6	6.1 , 6.2 , 6.4 , 6.6 , 6.13	6.1 , 6.2	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.13	6.1 , 6.2 , 6.3 , 6.9	6.2 , 6.9	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.9 , 6.11	6.1 , 6.2
Education	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.11 , 6.13	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.11 , 6.13	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.11 , 6.13	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6	6.3	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6	6.1 , 6.2 , 6.3 , 6.5	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6	6.1 , 6.2 , 6.3 , 6.6	6.1 , 6.9	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.9 , 6.11 , 6.13	6.3 , 6.5 , 6.6

Ex-ante policy assessment vis-à-vis vulnerable groups in SEE: Guide for Practitioners

Core Policy Areas	Roma	Unemployed	Persons with disabilities	Poor Children	Low Income Groups	Elderly	Victims of Abuse	Women	Victims of Trafficking	Rural Population	IDPs	Refugees	Large Families
Employment	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.11	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.11	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.11		6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6	6.2 , 6.3 , 6.4 , 6.5 , 6.6	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6	6.1 , 6.2 , 6.3 , 6.5 , 6.6	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.11	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.9	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.9	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.9 , 6.11	6.1 , 6.2 , 6.3 , 6.5 , 6.6
Transport	6.9		6.1 , 6.2 , 6.3 , 6.4 , 6.6 , 6.11			6.1 , 6.3				6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.9			
Regional development	6.1 , 6.2 , 6.3 , 6.5 , 6.9 , 6.11	6.1 , 6.2 , 6.3 , 6.5			6.1 , 6.2 , 6.3 , 6.5	6.1 , 6.3 , 6.11	6.2	6.2		6.1 , 6.2 , 6.3 , 6.5 , 6.6 , 6.9	6.1 , 6.2	6.1 , 6.2 , 6.3	
E-governance	6.1 , 6.4 , 6.11	6.1 , 6.3	6.1 , 6.2 , 6.3 , 6.4 , 6.11 , 6.13		6.1 , 6.2	6.1 , 6.2	6.2 , 6.4		6.4	6.1 , 6.3 , 6.9 , 6.13	6.2 , 6.6	6.2 , 6.4 , 6.11 , 6.13	
Housing	6.1 , 6.2 , 6.3 , 6.5 , 6.6 , 6.9 , 6.11		6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.13	6.1 , 6.2 , 6.3	6.1 , 6.2 , 6.3 , 6.4 , 6.5 , 6.6		6.2 , 6.3 , 6.4 , 6.5 , 6.6		6.2 , 6.3 , 6.4 , 6.5 , 6.6	6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.9	6.1 , 6.2 , 6.3 , 6.5 , 6.6 , 6.9	6.2 , 6.3 , 6.4 , 6.5 , 6.6 , 6.9	6.1 , 6.2 , 6.3 , 6.5 , 6.6

APPENDIX 1: SOCIAL AND EQUALITY INDICATORS IN IRELAND, BY DEPARTMENT

Department of Health and Children

- Birth rates per 1,000 population
- Total period fertility rates
- Percentage of live births to females aged 15-19 per 1,000 population
- Fertility rates - All data to be gender disaggregated and available by county, region (BMW/SAE) as well as at national level
- Children in care - Rate per 10,000 children under 18 by type of care (this is a census - i.e. point in time figure)
- Crude death rate
- Percentage distribution of deaths by principal cause
- Adults on in-patient waiting lists >12 mths for various specialities
- Children on in-patient waiting lists >6 mths
- Number of individuals presenting with para-suicide in Accident and Emergency Departments per 100,000 population
- Birth Weight by socio-economic status of parents
- Percentage of Caesarian births
- New cases of HIV per 100,000 population by route of transmission
- New cases of AIDS per 100,000 population by route of transmission
- Rate of new longstay mental health inpatients per 100,000 population and rate of new longstay
- Mental health clients in community settings per 100,000 population
- The number of patients, over 65 years on the waiting list for (a) Cataract surgery (b) ENT surgery (c) Orthopaedic surgery. The number of cataract procedures completed on (a) a day case basis (b) an in-patient basis
- Percentage of new patients seen in Out-Patient Department within 13 weeks of referral by GP H Waiting times in Out-Patient Department (% seen in under 60 minutes)
- Number of children who appeared to the Health Boards to be homeless
- Age specific injury mortality in 0-19 age group
- Suicide rate per 100,000 of population by gender, age and county of residence
- Number and outcome of abuse cases (2 tables - (i) outcome of cases reporting in current year (ii) outcomes on cases which were on-going from previous year)

Department of Agriculture and Food

- Total employment/unemployment/labour force
- GDP per capita
- GNP per capita
- Consumer Price Index
- Personal Consumption Expenditure for Ireland
- Population: urban, rural & total
- Population density
- Migratory balance, urban, rural, total
- Total household income and its components for farm, urban and other rural households
- Regional convergence in living standards
- No. of farmers
- No. of part-time farmers
- Average income per farm (farm income only)
- Average income per family work unit
- Average direct payment per farm
- Distribution of farm support direct payments by deciles of FFI

Department of Enterprise, Trade and Employment

- Employment Rate (ILO)
- Labour Force Participation Rate (ILO)
- Unemployment Rate (ILO)

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- Long-term Unemployment Rate
- Live Register (Unadjusted and seasonally adjusted figures)
- Earnings
- Work Permits

Department of Social and Family Affairs

- Number of people in consistent poverty
- Number of people below 60% median relative income line
- Numbers in deprivation (using the ESRI index)
- Numbers persistently on low income
- Social expenditure and pensions expenditure as % of GDP and GNP
- Average Weekly Household Equivalent Income
- Risk of poverty for people aged 60+, 65+ and 75+ (men/women/total, by household type, by home ownership)
- Demographic old age dependency ratio (current and projected): number of persons aged 60/65+ in relation to working age population
- Number of under-age pregnancies
- No. of persons aged 15 or over providing unpaid personal help for someone with a long term illness, health problem or disability, including problems due to old age (Census 2002)
- Number of children in care: Numbers below thresholds (40%/50%/60%, mean/median)
- Income at the Nth percentile, and the ratio between this and average incomes
- Numbers lacking basket of necessities; lacking particular necessities; lacking access to particular essential services
- Numbers in debt; numbers with self-reported financial difficulties
- % of people aged 60/65/75+ living alone (men/women/total)
- Risk of poverty for people whose main activity status is retired (men/women/total)
- income of people aged 60+, 65+ and 75+ relative to complementary groups and people aged 45-54 (men/women/total, by household type)

Department of Education and Science

- Education Profile of Population: Highest level of education achieved among the population by gender, age group, SES status, employment status, labour market participation, ethnicity, region, etc.
- Highest level of education achieved among the population by field of study
- Pupil Teacher Ratio in primary schools nationally and in schools with a high concentration of at-risk pupils, by standard (i.e. class level)
- Data on the transfer rate from second level to third level education (i.e. % of School Leavers going to 3rd level)
- Number and proportion of young people who complete upper second level or equivalent (NAPS)
- Pupil Teacher Ratio in second-level schools nationally and in schools with a high concentration of at risk pupils
- Number of places and numbers participating in further and continuing education & training
- Average class size in primary schools nationally and in schools with a high concentration of at-risk pupils, by standard (i.e. class level)
- Expenditure on education as a proportion of GDP/GNP, with comparative international data
- Percentage of adults (16-65 years) at each of five proficiency levels in prose literacy, quantitative literacy and documents literacy, disaggregated by age (range), gender, socio-economic status (employment), location, ethnicity and 'native' vs. 'foreign born', with comparative international data. (IALS 1994)
- Number and proportion of untrained teachers in schools and the number of teachers qualified in the subject areas in which they are teaching
- Number of 18-24 year olds with only lower secondary level education who are not in further education and training
- Second Level Destination data, including point of drop-out data
- Average class size in second-level schools nationally and in schools with a high concentration of at risk pupils
- Third level graduates by gender, age, SES status, country of origin, level of award, field of study
- Expenditure by companies on training
- Projections of future enrolment at all levels of the education system

Department of Community, Rural and Gaeltacht Affairs

Ex-ante policy assessment vis-à-vis vulnerable groups in SEE: Guide for Practitioners

- The percentage of lone parents
- The age dependency rate
- The proportion of permanent private households which are Local Authority rented
- First Treatment Demand
- Drug related offences
- ESPAD survey of illicit drug use among school children
- The % of those at work engaged in small farming (under 30 acres)
- The proportion of households with two or more cars

Department of Justice, Equality & Law Reform

- Number of applications for asylum
- Nationality of asylum seekers
- 3% Target for Employment of People with Disabilities in the Public Service
- Number of prisoners on remand
- Number of overall committals in a year
- Number of asylum seekers missing from Reception Centres by nationality
- Deportation statistics (asylum seekers)
- Details of asylum seekers granted refugee status

Department of Environment, Heritage and Local Government

- Assessment of Social Housing Needs
- Data on Greenhouse Gas Emissions - EPA - To provide an assessment on the environment in Ireland through the use of key environmental indicators
- Data on water quality - EPA
- % of population on the Live Register
- Location and brief description of dwelling/building affected by fire
- Affordability Index
- Housing Activity, aggregate house (private, social and affordable) completions classified by area, new house guarantee registrations, new houses completed by type
- Profile of borrowers, previous tenure of borrowers, marital status of borrowers, ranges of income of borrowers, occupation of borrowers
- Traveller families in local authority assisted accommodation, on the roadside or other private accommodation
- Data on Household and Commercial Waste
- Data on bathing water quality
- Vehicle Owner/Driver/Pedestrian

Source: Ireland, Office for Social Inclusion, *Guidelines for Poverty Impact Assessment*, March 2008

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