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## Technical Assistance for Capacity Building on European Pollutant Release and Transfer Register (E-PRTR) in Turkey

TR2013/0327.06-01-02/001

### *Technical Assistance for Capacity Building on European Pollutant Release and Transfer Register (E-PRTR) in Turkey*

## Interactive Workshop Outsourcing and Applying RIA



**Peter Futo**

Workshop: 5-9 March, 2018



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### Why and when outsourcing might be necessary?

- When resources are not available in-house (at the state institutions), especially for solution of complex or unknown problems
- For sectoral studies (when it is difficult to co-ordinate internally in line ministries)
- To build or enlarge RIA expert community outside the state institutions
- It can be used as information and legitimacy tool to involve non-governmental stakeholders (usually it is a better consultation process than the formal one)
- Mostly for full RIAs



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# Ways of Outsourcing

- Tender - call for proposals (through the general terms of reference)
- Tender and then direct negotiation with potential researchers (terms of reference specific to the problem)



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### Call for proposals – 1

- Is needed when several RIAs are outsourced simultaneously
- Could be necessary anyway if the value of consultancy services exceeds the limits defined by the requirements of public procurement
- In any case, if done properly, this way of outsourcing is transparent and is recommended



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### Call for proposals – 2

The standard kit of documents for a call of proposals:

- Advertisement in the mass media and the website (and in the Official Gazette if exceeds the threshold of public procurement)
- Terms of reference (description of the services sought)
- Application form
- Contents of the contract for services
- Management of the study process [time table]



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### Call for proposals: structure of the terms of reference

- Description of the (RIA) framework and methodology to be followed
- Description of expected outputs ... (RIA study; Executive summary; Executive summary in English; Power point presentation – size and requirements)
- ...and obligations (eg one or two interim report(s); participation in the roundtable with stakeholders)
- Areas or topics for RIA
- Requirements for the applicants
- Selection criteria
- Procedure for selection
- Documents to be submitted by the applicants
- Other



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### Issues to be considered when drafting a call for proposals

- Areas or topics for RIA: general specification is needed, specific topics depend on the institutional needs
- Requirements for applicants
  - Individual or institutional
  - Civil servants not eligible
- Documents to be submitted by the applicants:
  - Standard application form (filled in), both in paper and electronically
  - Proofs of competence
    - Copies of degrees
    - CVs
    - List of publications or copies of the relevant (or most recent publications)
    - List of research projects (especially similar to RIA)



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# Application form for the conduct of the RIA study – 1

## I. GENERAL

1. Title of the proposed study
2. Estimate of financial costs of the study (budget)
3. Amount requested from the contracting institution
4. Other available or possible sources of financing (if any)



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# Application form for the conduct of the RIA study – 2

## II. INFORMATION ABOUT THE APPLICANT(S)

1. Applicant (-s) (institution, research team or individual researcher)
2. Team leader (name, surname; brief description of similar projects and research already completed or ongoing)
3. List of members of research team and brief information about them (applicable if application is submitted by the research team)



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# Application form for the conduct of the RIA study – 3

## III. BRIEF INFORMATION ABOUT THE STUDY (RESEARCH) PROPOSAL

1. Brief description of the problem to be studied (researched) (why this problem merits an in depth (extended) impact assessment study)
2. Brief description of the problem in the context of legal approximation in the country (i.e. transposition and implementation of *acquis communautaire*) (why an in depth (extended) impact assessment study is necessary in the context of European integration in the country)
3. Description of the scope of impact
4. Have there been similar impact assessment studies (in this area) conducted in the country or in other countries (notably EU member states / new members states)? (In case of a positive answer references should be requested)



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# Application form for the conduct of the RIA study – 4

## IV. DETAILED DESCRIPTION OF THE STUDY (RESEARCH)

1. (Concrete) objectives of the study
2. (Concrete) questions to be answered during the study
3. Description of methodology to be used during the study (study methods)
4. Expected results of the study
5. Potential to use the results of the study in practice (A list of potential stakeholders and an explanation why they are or should be interested in the result of this study should be requested from the applicant)
6. Expected/proposed dissemination of the results (information to the expert community / general public of the country)



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# Application form for the conduct of the RIA study – 5

## V. BREAKDOWN OF FINANCIAL COSTS OF THIS STUDY AND DEADLINES

1. Detailed financial breakdown of financial costs for this project (according to the objectives pursued and expenditure incurred and broken down by all participating persons (researchers) (honoraria, materials, office and communications expenditure, services to be procured externally etc.)
2. Stages and deadlines of the study
  - Stages of the study
    - Commencement (beginning) of the study
    - Submission of interim report (eg 3 months after commencement)
    - Submission of final report (eg 6 months after commencement)
  - Interim report should contain information about the completed and remaining objectives of the study as well as preliminary final report (should contain description of methodology, preliminary findings and conclusions. It should have the layout of the final report).
  - (Signed) statement about the accuracy of the data in the application form
  - Date and the signature of the team leader or individual applicant



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### Call for proposals: selection criteria

- Competence and experience in RIA (10%)
- Clarity and comprehensiveness of specific RIA methodology (20%)
- Anticipated scope of impact (15%)
- Established or planned co-operation with state institutions for this RIA (15%)
- Practical applicability of RIA findings (20%)
- Financial estimate (15%)
- Own co-financing or other sponsors (5%)



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### Timeframe – launching stage

- A month for submission of applications
- One-two weeks for pre-selection (short listing – strongly recommended)
- A week for negotiations with short-listed candidates
- A week for conversion of the agreements into the contract
- All in all – it could take up to three months of preparatory work before the study can be launched



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### Timeframe – implementation stage

- Three to six months are recommended for the study itself
- If possible, two interim reports should be requested
  - The first should address the in-depth methodology
  - The second should present preliminary conclusion in the shape of the structure of the final study
- It is recommended to link satisfactory evaluation of the interim report by an independent external reviewer and/or steering committee to the payment for services



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### Internal management issues

- Selection and/or steering committee
  - Statement of impartiality and absence of conflicts of interest
- Quality management through reviews of interim and final reports of external consultant (-s)



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# Management of deadlines in the tabular form

	Deadline
<b>1. Launch of call for proposals</b>	
Launch of the call for applications/proposals <ul style="list-style-type: none"> <li>• website of the contracting institution</li> <li>• advertisement in the newspapers (including a reminder for applicants)</li> <li>• email circulation</li> </ul>	Date of launching
Appointment of a contact point in the contracting institution (for inquiries of applicants)	Date of launching
<b>2. Selection</b>	
Selection committee established	Between the launch and applications due
Applications due	+30 days from the date of launching
All applications evaluated (short evaluation written to every application based on criteria for evaluation), possibly cross-checked with the line ministries and technical assistance projects	+ 40 days
Short list established (if necessary)	
Negotiations with the short listed (if necessary) in order to refine study questions, methodology and financial details	+ 50 days
Contracts signed	+ 55 – 60 days
Notification of all applicants about the outcomes	+ 55 – 60 days
<b>3. Interim reports (recommended)</b>	
Receipt of interim reports	+ 90 days from the signature of contracts 20 April 2007
Evaluation –comments for interim reports	+ 100 – 110 days
Discussion of the comments with the research teams (recommended)	+ 110 -120 days
<b>4. Final reports</b>	
Receipt of final reports	+ 180 days from the signature of contact
Evaluation –comments for the final reports	+ 190 -200 days
Discussion of the final reports with the stakeholders (presentation to the general public)	+ 200 – 220 days



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# RIA exercise for drafters of regulations

Participants of each Department should work separately on this Exercise. Please elaborate and present the responses to the following questions:

1. What is the name and main aim of the most important regulation, that your Department should draft in the immediate future?
2. How would you organise legal gap analysis?
3. What policy options / alternatives would you offer to the Parliament?
4. How would you identify stakeholders?
5. How would you organise consultation?
6. How would you organise data collection?
7. What analytical method would you apply to identify impacts (costs, benefits, risk reductions?)
8. What would be the structure / template of the RIA report?
9. How would you organise and present the policy recommendations in the last chapter of the RIA report?



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