

Training Workshop on Regulatory Impact Assessments (RIA) February 20, 21 and 22, 2017

**The Westin Lima Hotel & Convention Center
Calle Las Begonias 450. San Isidro
Lima, Peru**

1. Objective

The workshop aims to develop the necessary skills for public officials to prepare a Regulatory Impact Assessment (RIA), and to be able to make a quality assessment of a RIA. This workshop is aimed at the learning experience through the assessment and discussion of real case studies, and from a constant dialogue with the course facilitators. As a final exercise, participants will assess the quality of real RIAs.

The course is designed for medium and high-level officers who are starting with the implementation of RIA or who are in the first stages of implementation.

The workshop contains 23 sessions distributed in three days. The workshop is taught by three officials from the Regulatory Policy Division of the OECD, one official from the International Transport Forum (ITF) from the OECD, and two experts from OECD countries with experience in the design and analysis of RIAs

The workshop facilitators are:

- Manuel Gerardo Flores, Senior Economist, Regulatory Policy Division, OECD
- Delia Maria Vazquez, Policy Analyst, Regulatory Policy Division, OECD
- Andres Blancas, Economist, Regulatory Policy Division, OECD
- Lorenzo Casullo, Policy Analyst, International Transport Forum, OECD
- Fabiola Perales, Consultant and regulatory policy specialist and former Director in the Federal Regulatory Improvement Commission of Mexico
- Russell Pittman, Director of Economic Research in the Antitrust Division of the U.S. Department of Justice

2. Background

Regulatory Impact Assessment (RIA) is both a document and a decision process for supporting decision makers on whether and how to regulate in order to achieve public policy goals. RIA helps to improve the design of regulations by assisting policy makers in identifying the most efficient and effective solution to address a policy problem. RIA examines evidence for the costs and benefits of regulation and non-regulatory alternatives of achieving policy goals in order to identify the approach that is likely to deliver the greatest net benefit to society. RIA can assist in promoting policy coherence by pointing to the trade-offs inherent in regulatory proposals, and identifying who is likely to benefit from a regulation and who will bear the costs. RIA can also improve the use of

evidence in policy making and help avoid regulatory failure arising from regulating when there is no case for doing so, or failing to regulate when regulation is needed. Finally, RIA documents all of the evidence and increases accountability of policy decisions.

The OECD has vast experience and knowledge in RIA systems of Member and non-Member countries that may serve as a foundation in order to satisfy the demand and provide high-quality capacities strengthening. OECD's RIA training program has the purpose of providing practical information and facilitating learning through case studies, group exercises and presentations from public officers with extended and relevant expertise in applying RIA systems. The OECD gathers the experience of leader Member countries in order to assist trainees in the implementation of RIA for the creation of policies with the purpose of improving regulatory results of central and subnational governments

4. Workshop's Summarized Agenda

	20 February	21 February	22 February
09:00	Working Breakfast		
09:15			
09:30		7. Alternatives to regulation	15. Monitoring and evaluation
09:45			
10:00			
10:15		8. Case Study 4: Alternatives to regulation	16. Case Study 8: Monitoring and evaluation
10:30			
10:45		Break	Break
11:00	1. Welcome		
11:15	2. RIA in the context of regulatory policy and governance, and the experience of OECD member countries	9. Impact Evaluation - Methodology	17. Principles on the Governance of Regulators
11:30			
11:45			
12:00			
12:15		10. Case Study 5: Impact of Regulation	18. Competition assessment
12:30	3. Case Study 1: RIA Evaluation Committee		
12:45			
13:00		11. Importance of Consultation	19. Case Study 9: Competition
13:15			
13:30			
13:45	Lunch	Lunch	Lunch
14:00			

14:15			
14:30			
14:45			
15:00	4. Definition of the problem and public policy objective	12. Case Study 6: Consultation	20. Elements and strategies for the implementation of RIA
15:15			
15:30			
15:45	5. Case Study 2: Definition	13. Compliance Strategies	21. Case Study 1: RIA Evaluation Committee
16:00			
16:15			
16:30	Break	Break	Break
16:45	6. Case Study 3: Objectives	14. Case Study 7: Compliance	22. Discussion panel and final remarks
17:00			
17:15			
17:30			23. Closing remarks
17:45			

5. Workshop's Detailed Agenda

Day 1: 20 of February, 2017		
Session / Time	Title / Content	Material
Registration of participants 10:00 to 11:00 60 minutes		
Session 1 11:00 to 11:15 15 minutes	Welcome speech <ul style="list-style-type: none"> Patricia Benavente, <i>Chairman of the Board OSITRAN</i> Manuel Gerardo Flores, <i>Senior Economist, Regulatory Policy Division, OECD</i> 	<ul style="list-style-type: none"> Workshop Agenda
Session 2 11:15 to 12:30 75 minutes	<p>RIA in the context of regulatory policy and governance, and experience of OECD member countries</p> <ul style="list-style-type: none"> Manuel Gerardo Flores, <i>Senior Economist, Regulatory Policy Division, OECD (20 minutes)</i> Fabiola Perales, <i>Consultant (20 minutes)</i> Lorenzo Casullo, <i>Policy Analyst, ITF (20 minutes)</i> <p><i>15 minutes for questions and answers</i></p> <hr/> <p>Key Learning Points</p> <ul style="list-style-type: none"> OECD's theory framework of Regulatory Policy and Governance Institutional establishment, procedures, capacity, impact, challenges and successful stories. RIA in OECD countries OECD Case: RIA in Mexico 	<ul style="list-style-type: none"> 12 Recommendations of the OECD Council OECD Guide: RIA Framework Slides of each speaker
Session 3 12:30 to 13:30 60 minutes	<p>Case Study 1: RIA Evaluation Committee</p> <hr/> <p>Key learning points</p> <ul style="list-style-type: none"> First part of the evaluation exercise of RIA 	<ul style="list-style-type: none"> Case study 1
Lunch 13:30 to 15:00 90 minutes		

Day 1: 20 of February, 2017		
Session / Time	Title / Content	Material
Session 4 15:00 to 15:45 45 minutes	Definition of the problem and public policy objective <ul style="list-style-type: none"> Delia Vazquez, <i>Policy Analyst, Regulatory Policy Division, OECD (15 minutes)</i> Russell Pittman, <i>Director of Economic Research in the Antitrust Division of the U.S. Department of Justice (20 minutes)</i> <p><i>10 minutes for questions and answers</i></p> <hr/> Key Learning Points <ul style="list-style-type: none"> Identifying methodologies to define the relevant public problem Set the result of government intervention to be SMART¹, importance of the objectives for performance, screening and accountability 	<ul style="list-style-type: none"> OECD Guide: Problem Definition OECD Guide: Public Policy Objective Slides of each speaker
Session 5 15:45 to 16:30 45 minutes	Case Study 2: Problem definition <hr/> Key Learning Points <ul style="list-style-type: none"> Problems and symptoms Methods for risk assessment 	<ul style="list-style-type: none"> Case Study 2
Coffee break 16:30 - 16:45hrs 15 minutes		
Session 6 16:45 to 17:30 45 minutes	Case Study 3: Objectives <hr/> Key Learning Points <ul style="list-style-type: none"> Understanding how to identify the policy problem Understanding what is the purpose of government intervention 	<ul style="list-style-type: none"> Case Study 3
End of day 1		

Day 2: 21 of February, 2017		
Session / Time	Title / Content	Material
Session 7 09:15 to 10:00 45 minutes	Alternatives to regulation <ul style="list-style-type: none"> Andres Blancas, <i>Economist, Regulatory Policy Division, OECD (15 minutes)</i> Fabiola Perales, <i>Consultant (20 minutes)</i> <p><i>10 minutes for questions and answers</i></p> <hr/> <p>Key Learning Points</p> <ul style="list-style-type: none"> Identifying the regulatory and non-regulatory options to address the public policy problem, including no intervention 	<ul style="list-style-type: none"> OECD Guide: Alternatives to regulation Slides of each speaker
Session 8 10:00 to 10:45 45 minutes	Case Study 4: Alternatives to regulation <hr/> <p>Key learning points</p> <ul style="list-style-type: none"> Alternatives to legislation and options to achieve the desired result 	<ul style="list-style-type: none"> Case Study 4
Coffee break 10:45 - 11:00hrs 15 minutes		
Session 9 11:00 to 12:00 60 minutes	Impact Assessment - Methodology <ul style="list-style-type: none"> Andres Blancas, <i>Economist, Regulatory Policy Division, OECD (25 minutes)</i> Lorenzo Casullo, <i>Policy Analyst, ITF (25 minutes)</i> <p><i>10 minutes for questions and answers</i></p> <hr/> <p>Key learning points</p> <ul style="list-style-type: none"> Discussion on how to make an impact assessment, limitations and challenges in data, cost benefit analysis, etc. Mexico's experience in evaluating and calculating the impact of regulations 	<ul style="list-style-type: none"> OECD Guide: Assessing impacts Slides of each speaker

Day 2: 21 of February, 2017		
Session / Time	Title / Content	Material
Session 10 12:00 to 12:45 45 minutes	Case Study 5: Impact of Regulation ----- Key Learning Points <ul style="list-style-type: none"> • Understanding methodologies of demonstration and calculation of impacts, i.e. social, environmental and economic, direct and indirect, negative and positive. • Understanding how to collect different types of data to help in the analysis 	<ul style="list-style-type: none"> • Case Study 5
Session 11 12:45 to 13:30 45 minutes	Importance of Consultation <ul style="list-style-type: none"> • Delia Maria Vazquez, <i>Policy Analyst, Regulatory Policy Division, OECD (15 minutes)</i> • Fabiola Perales, <i>Consultant (20 minutes)</i> <p><i>10 minutes for questions and answers</i></p> <p>-----</p> Key learning points <ul style="list-style-type: none"> • Discussions on the benefits, strategies and problems of consultation • Experience in consultation processes, as well as the its results in the quality of regulations 	<ul style="list-style-type: none"> • OECD Guide: Consultation • Slides of each speaker
Lunch 13:30 to 15:00 90 minutes		
Session 12 15:00 to 15:45 45 minutes	Case Study 6: Consultation ----- Key learning points <ul style="list-style-type: none"> • Understanding the rationale and benefits of consultation • Appreciating the most effective ways of consultation and adoption of comments 	<ul style="list-style-type: none"> • Case Study 6

Day 2: 21 of February, 2017		
Session / Time	Title / Content	Material
Session 13 15:45 to 16:30 45 minutes	Compliance Strategies <ul style="list-style-type: none"> Manuel Gerardo Flores, <i>Senior Economist, Regulatory Policy Division, OECD (15 minutes)</i> Russell Pittman, <i>Director of Economic Research in the Antitrust Division of the U.S. Department of Justice (20 minutes)</i> <p><i>10 minutes for questions and answers</i></p> <hr style="border-top: 1px dashed black;"/> <p>Key Learning Points</p> <ul style="list-style-type: none"> The experience of an OECD member country regarding the consideration of goals and compliance arrangements, including the application of risk assessments. Discussion on how to turn policies into results 	<ul style="list-style-type: none"> OECD Guide: Compliance and monitoring Slides of each speaker
Coffee break 16:30 - 16:45hrs 15 minutes		
Session 14 16:45 to 17:30 45 minutes	Case Study 7: Compliance <hr style="border-top: 1px dashed black;"/> <p>Key learning points</p> <ul style="list-style-type: none"> Implementation and penalty methods Methods to obtain compliance Importance of planning for compliance in regulatory design 	<ul style="list-style-type: none"> Case Study 7

End of day 2

Day 3: 22 of February, 2017		
Session / Time	Title / Content	Material
Session 15 09:15 to 10:00 45minutes	Monitoring and evaluation <ul style="list-style-type: none"> • Delia Maria Vazquez, <i>Policy Analyst, Regulatory Policy Division, OECD (15 minutes)</i> • Fabiola Perales, <i>Consultant (20 minutes)</i> <p><i>10 minutes for questions and answers</i></p> <hr/> <p>Key Learning Points</p> <ul style="list-style-type: none"> • Measuring regulatory performance • Establishing indicators • Ex-post evaluation in the regulatory policy process 	<ul style="list-style-type: none"> • OECD Guide: Compliance and monitoring • Slides of each speaker
Session 16 10:00 to 10:45 45 minutes	Case Study 8: Monitoring and evaluation <hr/> <p>Key learning points</p> <ul style="list-style-type: none"> • Developing performance indicators • Ex-post evaluation Challenges 	<ul style="list-style-type: none"> • Case Study 8
Coffee break 10:45 - 11:00hrs 15 minutes		
Session 17 11:00 to 11:45 45 minutes	Principles on the Governance of Regulators <ul style="list-style-type: none"> • Manuel Gerardo Flores, <i>Senior Economist, Regulatory Policy Division, OECD (20 minutes)</i> • Andres Blancas, <i>Economist, Regulatory Policy Division, OECD (20 minutes)</i> <p><i>5 minutes for questions and answers</i></p> <hr/> <p>Key Learning Points</p> <ul style="list-style-type: none"> • Importance of the Principles on the Governance of Regulators • Contents and usefulness of each principle 	<ul style="list-style-type: none"> • OECD Principles on the Governance of Regulators • Slides of each speaker

Day 3: 22 of February, 2017		
Session / Time	Title / Content	Material
Session 18 11:45 to 12:45 60 minutes	Competition assessment <ul style="list-style-type: none"> Andres Blancas, <i>Economist, Regulatory Policy Division, OECD (25 minutes)</i> Russell Pittman, <i>Director of Economic Research in the Antitrust Division of the U.S. Department of Justice (25 minutes)</i> <p><i>10 minutes for questions and answers</i></p> <hr/> Key Learning Points <ul style="list-style-type: none"> Knowing the methodologies to evaluate competition risks due to the implementation of regulation. 	<ul style="list-style-type: none"> OECD Guide: Competition Slides of each speaker
Session 19 12:45 to 13:30 45 minutes	Case Study 9: Competition <hr/> Key Learning Points <ul style="list-style-type: none"> Application of competition principles in impact assessment. 	<ul style="list-style-type: none"> Case Study 9
Lunch 13:30 - 15:00hrs 90 minutes		
Session 20 15:00 to 16:00 60 minutes	Elements and strategies for the implementation of RIA <ul style="list-style-type: none"> Manuel Gerardo Flores, <i>Senior Economist, Regulatory Policy Division, OECD (15 minutes)</i> Fabiola Perales, <i>Consultant (20 minutes)</i> Lorenzo Casullo, <i>Policy Analyst, ITF (20 minutes)</i> <p><i>5 minutes for questions and answers</i></p> <hr/> Key Learning Points <ul style="list-style-type: none"> Identifying the elements that contribute to a successful implementation of RIA Knowing the strategies that governments can 	<ul style="list-style-type: none"> OECD Guide: Elements and strategies for the implementation of RIA Slides of each speaker

Day 3: 22 of February, 2017		
Session / Time	Title / Content	Material
	follow to implement a RIA system	
Session 21 16:00 to 16:30 30 minutes	Case Study 1: RIA Evaluation Committee <hr/> Key Learning Points <ul style="list-style-type: none"> Using the necessary tools to evaluate a RIA. 	<ul style="list-style-type: none"> Case study 1
Coffee break 16:30 - 16:45hrs 15 minutes		
Session 22 16:45 to 17:30 45 minutes	Discussion panel and final remarks <ul style="list-style-type: none"> All speakers <hr/> Key Learning Points <ul style="list-style-type: none"> Q&A Lessons learnt Satisfaction survey 	
Session 23 17:30 to 17:45 15 minutes	Closing ceremony <ul style="list-style-type: none"> Patricia Benavente, <i>Chairman of the Board OSITRAN</i> 	<ul style="list-style-type: none"> Certificates of attendance
End of day 3 and of workshop		

¹ SMART is an acronym for Specific (specific), Measurable (Measurable), Attainable (Achievable) Relevant (Relevant), and Time-bound (specific time period)