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## WORKING DOCUMENT

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From: General Secretariat of the Council  
To: Working Party on Shipping

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Subject: DIRECTIVE OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL  
amending Directive 2005/44/EC on harmonised river information services (RIS) on  
inland waterways in the Community  
- Indicative checklist for the examination of the Impact Assessment

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Based on the Interinstitutional Agreement (IIA) on Better Law-Making of 13 April 2016 and following a Coreper decision on examination of Commission impact assessments (IAs)\*, it was agreed that IAs are to be examined at working party level with the help of an indicative checklist.

To this end and with a view to the discussions on the above proposal at the Shipping Working Party on 11 March 2024, delegations will find attached the indicative checklist, which is intended to help delegations prepare their views on the IA, as part of their consideration of the Commission's proposal.

Please note that the checklist is purely indicative and non-exhaustive, and should be used in a flexible way, taking into account what is relevant and appropriate for each legislative file. Delegations are not required to provide written replies, but can do so if they wish.

\*For an overall description of the process, see document ST 6270/18.

## Examination of Commission IAs in the Council

in the context of the consideration of Commission proposals

- Indicative Checklist for Working Party Chairs -

Title of proposal	
<b>Proposal for a DIRECTIVE OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL amending Directive 2005/44/EC on harmonised river information services (RIS) on inland waterways in the Community</b>	
Lead DG	TREE.2.A
<b>1. <u>Context of the IA</u></b>	
<p>a) Is the IA carried out at the initiative of the Commission, the Council, or the European Parliament?</p> <p><input type="checkbox"/> Commission      <input type="checkbox"/> Council      <input type="checkbox"/> Parliament</p>	
<p>b) Is the policy context explained clearly?</p> <p><input type="checkbox"/> Yes      <input type="checkbox"/> No      <input type="checkbox"/> Partly</p> <p>Comments:</p>	
<p>c) Is the legal basis of the initiative clear and appropriate?</p> <p><input type="checkbox"/> Yes      <input type="checkbox"/> No      <input type="checkbox"/> Partly</p> <p>Comments:</p>	

## 2. Problem definition

a) Are the existence, scale and consequences of the problem clearly demonstrated?

Yes  No  Partly

Comments:

b) Is the analysis of the problem supported by evidence, including comments and studies submitted by Member States or stakeholders during consultations?

Yes  No  Partly

Comments:

c) Is any gap in evidence acknowledged?

Yes  No  Partly

Comments:

## 3. Methodology

Is an appropriate methodology applied? Are the methodological choices, limitations and uncertainties clearly set out?

Yes  No  Partly

Comments:

#### 4. Policy objectives

a) Does the IA set out clear policy objectives, including general aims and more specific/operational objectives?

Yes    No    Partly

Comments:

b) Do the policy objectives correspond to the identified problems?

Yes    No    Partly

Comments:

c) Are the policy objectives consistent with the broad EU policy strategies and the Strategic Agenda?

Yes    No    Partly

Comments:

d) Are the objectives linked to measurable monitoring indicators?

Yes    No    Partly

Comments:

## 5. Subsidiarity & Proportionality

a) **Is the Union's competence clearly established?**

Yes     No     Partly

Comments:

b) **Does the IA analyse whether the proposed action is consistent with the principle of subsidiarity, and are necessity and added value of EU action clearly demonstrated?**

Yes     No     Partly

Comments:

c) **Does the IA analyse whether the proposed action is consistent with the principle of proportionality?**

Yes     No     Partly

Comments:

d) **Does the IA take into account action already taken or planned at EU or MS level?**

Yes     No     Partly

Comments:

## 6. Policy Options

a) Which of the following options does the IA identify to meet the objectives?  
(more than one answer is possible)

No EU action       Policy alternatives  
 Alternatives to regulation       Further harmonization

Comments:

b) Are the most affected public/stakeholders identified?

Yes     No     Partly

Comments:

c) Does the IA contain elements on how public and stakeholders consultations informed the policy options ?

Yes     No     Partly

Comments:

d) Where relevant, are there reasons given for discarding options that were favoured during public and stakeholders consultations?

Yes     No     Partly

Comments:

## 7. Analysis of impacts

a) Are the criteria used to determine the impact of the different policy options transparent?

Yes     No     Partly

Comments:

b) Are the impacts of the different policy options set out in a comparable format?

Yes     No     Partly

Comments:

c) Where appropriate, are both the short and long-term costs and benefits of the different policy options taken into consideration?

Yes     No     Partly

Comments:

d) Are impacts on affected public and stakeholders clearly analysed, for each policy option, in particular for the selected option?

Yes     No     Partly

Comments:

## 8. Specific aspects included in the IA

Where applicable, indicate whether the impact has been sufficiently assessed, both in qualitative and quantified terms, and whether the data and evidence used were appropriate.

### a) Economic impacts

#### Impacts on competition

**Sufficiently assessed**

Yes  No

**Based on appropriate data/evidence**

Yes  No

If not, please elaborate:

#### Impacts on consumers

**Sufficiently assessed**

Yes  No

**Based on appropriate data/evidence**

Yes  No

If not, please elaborate:

#### Impacts on competitiveness

**Sufficiently assessed**

Yes  No

**Based on appropriate data/evidence**

Yes  No

If not, please elaborate:

## Impacts on Small and Medium Enterprises, including micro-enterprises<sup>1</sup>

**Sufficiently assessed**  Yes  No

**Based on appropriate data/evidence**  Yes  No

If not, please elaborate:

### Administrative burdens and compliance costs, especially for businesses

**Sufficiently assessed**  Yes  No

**Based on appropriate data/evidence**  Yes  No

If not, please elaborate:

### Digital aspects (including on the development of the Digital Single Market)

**Sufficiently assessed**  Yes  No

**Based on appropriate data/evidence**  Yes  No

If not, please elaborate:

### Futureproofing (degree to which proposal is future proof and innovation-friendly?)

**Sufficiently assessed**  Yes  No

**Based on appropriate data/evidence**  Yes  No

If not, please elaborate:

<sup>1</sup> Impact assessments should assess SME impacts, and should also analyse the case for allowing (a) exemptions for micro-enterprises with <10 employees and <€2 mio turnover or balance sheet, and (b) lighter regimes for SMEs. See [http://ec.europa.eu/governance/impact/key\\_docs/docs/meg\\_guidelines.pdf](http://ec.europa.eu/governance/impact/key_docs/docs/meg_guidelines.pdf).

**b) Social impacts<sup>2</sup>**

**Sufficiently assessed**

Yes  No

**Based on appropriate data/evidence**

Yes  No

If not, please elaborate:

**c) Environmental impacts<sup>3</sup>**

**Sufficiently assessed**

Yes  No

**Based on appropriate data/evidence**

Yes  No

If not, please elaborate:

**d) Impacts on individual Member States, regional or local authorities (territorial impacts)**

**Sufficiently assessed**

Yes  No

**Based on appropriate data/evidence**

Yes  No

If not, please elaborate:

**9. Opinion of the Regulatory Scrutiny Board<sup>4</sup> (RSB) of the Commission**

**Are the comments and recommendations of the RSB considered in the IA report?**

Yes     No     Partly

**Comments:**

<sup>2</sup> e.g. impacts on employment and labour markets, social inclusion and protection of particular groups, public health and safety, etc.

See also Guidance for assessing Social Impacts within the Commission Impact Assessment system

([http://ec.europa.eu/smart-regulation/impact/key\\_docs/docs/guidance\\_for\\_assessing\\_social\\_impacts.pdf](http://ec.europa.eu/smart-regulation/impact/key_docs/docs/guidance_for_assessing_social_impacts.pdf))

<sup>3</sup> e.g. impacts on climate, air and water quality, use of the renewable or non-renewable resources, the likelihood or scale of environmental risks, use of energy etc.

<sup>4</sup> Available by searching by Commission DG and date of publication at the following website  
[http://ec.europa.eu/governance/impact/ia\\_carried\\_out/cia\\_2012\\_en.htm](http://ec.europa.eu/governance/impact/ia_carried_out/cia_2012_en.htm)

## 10. Monitoring, transposition, compliance

a) Will the proposed indicators enable the intended effects to be measured?

Yes  No  Partly

Comments:

b) Are those responsible for monitoring (and compliance) identified?

Yes  No  Partly

Comments:

c) Are operational monitoring and evaluation arrangements proposed?

Yes  No  Partly

Comments:

d) Does the IA address the impact of the proposed transposition deadline for MS ?

Yes  No  Partly

Comments:

## 11. Summary

Main issues proposed for discussion during the WP meeting on the Commission's IA:

- 1.
- 2.
- 3.

*etc.*