



REPORT 2.1.1: CAPACITY BUILDING NEEDS OF THE RIA SYSTEM IN ROMANIA*

Report prepared in the framework of the World Bank Project “**Strengthening the Regulatory Impact Assessment Framework in Romania**”

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EXECUTIVE SUMMARY

I. This report has been prepared as part of the project on Strengthening the Regulatory Impact Assessment Framework in Romania. The goal of the project is to support the General Secretariat of the Government and the Chancellery of the Prime Minister of Romania through the Department for the Coordination of Public Policies (DCPP) to streamline the regulatory impact assessment (RIA) system within the administration, create technical capacity, and raise awareness on the relevance of RIA as an evidence-based decision-making tool.

II. The objective of the current report is to provide an assessment of the existing skills and technical capacities required to conduct RIA, based on the analysis conducted in a selected set of government institutions, and to provide recommendations to help address the current human resource gaps and capacity-building needs. The analysis of the RIA capacity needs was undertaken in the following institutions and relevant departments: the DCPP within the General Secretariat of the Government (GSG), as well as the legal, technical, and Public Policy Unit staff in the Ministry of Regional Development and Public Administration, the Ministry of Labor, Family, Social Protection, and the Elderly, and the Ministry of Agriculture and Rural Development. These line ministries were selected based on their planned participation in the implementation of individual RIA pilot exercises as part of the current project. The evaluation included 98 public administration employees (27 from DCPP and 71 from the three participating ministries). Staff members were selected based on their previous experience with and potential role in RIA processes.

III. The assessment of the RIA capacity building needs was conducted in two steps: (1) identification of specific roles played by public administration staff and (2) analysis of the human resource base for conducting RIA in the selected institutions. Five key roles were identified as playing a part in the RIA process: (i) *staff in charge of quality control of regulatory proposals and substantiation notes* (a function primarily fulfilled by DCPP); (ii) *team leader for RIA tasks*, (iii) *contributing team member*, (iv) *supervisor of technical staff*, and (v) *legal staff in charge of drafting or contributing to the elaboration of the regulatory draft*. Apart from the function of quality control, the four remaining roles are fulfilled by staff in line ministries¹.

IV. The main methodology employed for the analysis of the human resource base for conducting RIA is the Competency Architect Tool. The Competency Architect Tool (CAT) is a methodology used for human resource evaluation which is based on the concept of ‘competency’ defined as the triad ‘knowledge-skill-attitude’. CAT has been adapted for the purpose of the current evaluation and encompasses 40 competencies considered relevant for employment in public administration. Out of these 40 skills, a sub-set of 13 competencies were identified as *essential skills* for each of the five RIA roles defined. As part of the assessment, each participating staff member from the target institutions engaged in a self-evaluation by prioritizing the entire set of CAT competencies according to three main developmental stages: highly developed (13 competencies), moderately developed (14 competencies), and less developed (13 competencies). The competency development status reported by participants was compared against the required *essential skills* for each specific RIA role, highlighting in this way the critical RIA competencies which are currently under-developed for a significant majority

¹ Line ministries are one of the main originators of regulatory proposals in Romania.

(more than two thirds of staff) within the participating institutions. All 40 competencies used in this evaluation are classified in one of four categories: technical competencies, management and coordination competencies, interpersonal competencies, and intrapersonal competencies.

Box 1 – RIA Capacity Building Needs Evaluation Procedures: Main Steps

Step 1 - Identification of specific RIA roles played by public administration staff

- i) *staff in charge of quality control* (primarily in DCPP)
- ii) *team leader for RIA tasks*
- iii) *contributing team member*
- iv) *supervisor of technical staff*
- v) *legal staff*

Step 2 – Use of customized Competency Architect Tool to evaluate staff competency level

- A set of 40 competencies included in the CAT as relevant for employment in public administration (technical/ managerial/ interpersonal/ intrapersonal competencies)
- Out of these 40 skills, a sub-set of 13 competencies were identified as *essential skills* for each of the five RIA roles
- Each staff member engaged in a self-evaluation by prioritizing the entire set of CAT competencies according to three main developmental stages: highly developed (13 competencies), moderately developed (14 competencies), and less developed (13 competencies)
- Competency development status reported by participants was compared against the required *essential skills* for each specific RIA role
- Mapping and assessment of essential RIA competencies which are currently under-developed for a significant majority (more than two thirds of staff) in the case of each RIA role (the major capacity gaps)

V. In addition, information regarding employee educational background and work experience was obtained. The overall trends observed based on employee background information indicate an education profile focused mainly in the areas of social and political science (in DCPP), and engineering and economics (in the line ministries), with a predominant level of educational attainment at the Bachelor's degree in all institutions participating in the research. The vast majority of staff members have at least a 10-year work experience, with two thirds of respondents possessing 5-year experience with RIA.

VI. The results of the evaluation indicate that, across RIA roles, staff displays a number of 'core strengths' or essential RIA competencies that appear well-developed. These include:

- **Technical competencies:** 'solving problems', 'written communications', and 'legal framework acumen'. These skills can support the RIA process, in particular the quality control role played by DCPP and legal drafting within line ministries.
- **Management and coordination:** 'strive for quality' is the essential management RIA competency which is well-developed in the line ministries and could enhance a team's member capacity to make substantive contributions to the RIA processes.

- ***Interpersonal competencies:*** ‘collaborative relationships’ and ‘listening’ represent interpersonal strengths of staff assuming RIA roles in the DCPD and line ministries that can help leverage future capacity building initiatives.
- ***Intrapersonal competencies:*** ‘integrity and trust’, ‘creativity’, ‘perseverance’, ‘standing alone’, and ‘self-development’ can also support RIA roles and processes in the line ministries and DCPD.

VII. The evaluation also identified a number of development gaps in the skill set necessary to perform RIA tasks effectively in DCPD and in line ministries, as follows:

- ***Technical competencies:*** First, the DCPD and line ministry staff needs to further develop the majority of the RIA-relevant technical competencies including: ‘evidence-based decision maker’, ‘solving problems’, ‘economic and business analysis’, ‘sector and industry-specific knowledge’, ‘risk analysis’, ‘social science acumen’, ‘knowledge of regulatory theory’, ‘interpretation of data’, and ‘perspective’. This type of training can substantially help staff to assume and fulfill effective roles in the RIA processes. Moreover, enhancing ‘legal framework acumen’ represents a critical need for the DCPD and ministry staff fulfilling a RIA role of quality control or as a team member with the task of contributing to the development of the regulatory proposal.
- ***Management and coordination:*** Secondly, specific essential RIA management and coordination competencies including ‘customer focus’ and ‘strive for quality’, also require further attention. In addition, essential RIA abilities that have been defined to describe leadership and people management skills, such as ‘managing and measuring work’, ‘organizing’, ‘priority setting’, ‘building effective teams’, ‘developing people’, ‘motivating people’ (management and coordination competencies). These competencies have to be further developed as they enhance the capacities of the Public Managers and staff coordinating a RIA team to successfully fulfill their supervisory role.
- ***Interpersonal and intrapersonal competencies:*** A fourth gap is represented by the essential RIA competencies that can leverage the high performance at individual and team level. Interpersonal competencies such as ‘informing’ and ‘political savvy’, and ‘influencing others’ as well as intrapersonal abilities such as ‘time management’, ‘handling change’, ‘drive for results’, and ‘patience’ need to be developed both in the DCPD and in line ministries and, if addressed, could support improved performance in the short and medium term.
- ***Infrastructure, tools, and incentive system:*** Finally, the scarcity or lack of key enabling infrastructure, tools, and incentives within the DCPD and ministries, requires immediate attention. These mechanisms and resources, including essential human resources management tools, are recognized by the DCPD and ministry staff as highly relevant enablers for employee development and for RIA capacity building.

VIII. To support an effective and enhanced RIA process within public institutions that initiate regulatory proposals and to ensure the closure of the skills gaps, a systematic

approach to capacity building is recommended. The participating institutions have to start building and constantly update specific RIA-related skills among staff, improve employee motivation to achieve high performance, and encourage collaboration and the sharing of best practices with respect to RIA. Against this background, the proposed recommendations aim to address common gaps identified with regard to RIA roles. The majority of these proposed actions can be implemented in the short and medium term.

IX. Closing the capacity gaps identified for each RIA-specific role and leveraging the well-developed RIA competencies within each institution are top priorities recognized by representatives of GSG and DCPD and by counterparts from the line ministries. Capacity-building initiatives that help address the RIA skills gaps include specialized training courses and workshops, especially when it comes to technical skills and management competencies. The development of RIA competencies can be also supported by the implementation of enhanced infrastructure, tools and incentive systems. These would include the redesign of specific job descriptions to formalize RIA roles, and to ensure appropriate people staffing and planning. Moreover, the introduction of RIA-related performance evaluation, reward and recognition, along with other on-the-job-training programs - such as RIA-related developmental assignments, coaching, individual and group study, sharing of best practices, and participating in and leading RIA teams – would constitute substantial improvements that could increase staff productivity and performance quality.

X. Apart from skill gaps, the assessment reveals that specific cooperation channels between institutions as well as other key resources such as IT tools, effective incentive systems or people management frameworks, are scarcely available or lack completely. Apart from skill gaps, the evaluation has highlighted the absence of key tools and incentive mechanisms within participating institutions including: data availability and interoperability of databases, high quality ICT hardware and software; training and development activities including coaching; mechanisms for outsourcing RIA analysis to take advantage of outside talent at a fair cost; opportunities for staff to contribute to the development of complex regulations, or to present and defend publicly substantiation notes. Moreover, also lacking is the use of individual and team performance evaluations based on quality of impact analysis followed by reward and recognition as incentives for high quality contributions to the RIA tasks. However, staff participating in the research highlighted that the coordination with other units, departments or ministries with respect to regulatory proposals is highly relevant and helpful for the RIA processes.

I. INTRODUCTION

1. **The current report complements the previous deliverables under the “Strengthening the Regulatory Impact Assessment Framework in Romania” and aims at providing an assessment of the existing skills and technical capacities required to conduct RIA processes for a selected set of government institutions, and to provide recommendations to help address the existing human resource gaps and capacity-building needs.** The current report (deliverable 2.1.1) complements the “Report on the Current Gaps of the RIA System” (deliverable 1.1.1), and the "Report on Recommendations for a New Institutional and Legal System for RIA" (deliverable 1.2.1). While deliverables 1.1.1 and 1.2.1 focused on overall framework of the RIA system in Romania, the current report is focused on the specific capacity building needs required to sustain the implementation of RIA. The analysis of the RIA capacity requirements presented here has been undertaken in the following institutions and relevant departments: the DCCP within the General Secretariat of the Government (GSG), as well as the legal, technical, and Public Policy Unit staff in the three line ministries selected for the implementation of the RIA pilot projects planned as part of the current task.

2. **Specifically, the report seeks to assess the capacity-building needs in terms of essential technical and soft skills and competencies needed to fulfill various RIA tasks. In this context, the assessment is centered on the process of elaborating the regulatory proposal and the substantiation note.** In effect, the research undertaken as part of this task focused on the staff capacities to draft and review regulations, as well as the skills required to oversee and coordinate the RIA process. The evaluation is centered on the process of preparation the regulatory proposal and the ‘substantiation note’ - the main instrument for regulatory impact assessment. According to existing legislation, in Romania regulatory drafts have to be accompanied by instruments of presentation and substantiation, generally called substantiation notes. The most important function of these instruments is to explain the problem definition, i.e. the reasons which led the drafters to consider the legal intervention, and must assess the socio-economic, financial and legal impact of the proposed policy or legislative act. Against this background and based on the results of the analysis, the report proposes development priorities for the staff as well as the infrastructure needed to facilitate the achievement of these priorities.

3. **The remainder of this report is structured as follows.** Section II provides a description of the methodology used to conduct the evaluation of capacity building needs, while Section III presents the results by type of institution and RIA role. Section IV concludes.

II. METHODOLOGY

4. **The research on the RIA capacity building needs has aimed to map and analyze the existing human resource base for conducting RIA in the selected institutions, including strengths, gaps, and constraints.** The following RIA-related roles have been identified:

The Department for the Coordination of Public Policies:

- i) Staff with the potential to fulfill a quality control role within the RIA process.

Line Ministries:

- ii) Team leader for the preparation of the regulatory proposals and substantiation notes²;
- iii) Team member contributing to the regulatory proposals and substantiation note preparation;
- iv) Supervisor of technical staff (both team leader and team member) in charge of the preparation of the regulatory proposals and substantiation note;
- v) Legal staff in charge of drafting or contributing to the elaboration of the regulatory draft.

5. **Through this evaluation, the report has sought to assess the capacity-building needs in terms of essential technical and soft skills and competencies needed to fulfill a RIA role.** Specifically, the research undertaken as part of this task focused on the staff capacities to draft and review regulations, as well as the skills required to oversee and coordinate the RIA process. In this context and based on the results of the analysis, the report proposes development priorities for the staff as well as the infrastructure needed to facilitate the achievement of these goals.

6. **The primary data sources for the current assessment are the self-evaluation exercises and questionnaire-based interviews with staff and managers in the selected institutions.** In addition to consultations with key institutional stakeholders, the project used additional sources of information, including the review of relevant labor and RIA legislation and internal documents of target institution.

7. **The main methodology employed for the evaluation of staff competencies was the Competency Architect Tool (CAT).** The Competency Architect Tool (CAT) is a tool used for human resources evaluation, which is based on the concept of ‘*Competency*’ defined as the triad ‘*Knowledge-Skill-Attitude*’. The concept employs the assumption that staff is ‘*competent*’ in a specific role, by possessing, using and displaying the three competency facets listed above. In certain cases, employees possess broad knowledge and are highly skilled in specific domains but show unsatisfactory performance as a result of a neutral or negative attitude. In other situations, employees are interested and motivated to carry-out and successfully accomplish specific tasks, but lack either the necessary knowledge, structure, information, or face difficulties in onset of

² The substantiation note is the main instrument for ex-ante regulatory impact assessment of legislative instruments in Romania. According to existing legislation, in Romania regulatory drafts have to be accompanied by instruments of presentation and substantiation, generally called ‘substantiation notes’. The most important function of the substantiation note is to explain the problem definition, i.e. the reasons which led the drafters (public sector institutions, members of parliament, etc.) to consider the legal intervention, and to assess the socio-economic, financial and legal impact of the proposed policy or legislative act.

new activities. When combined, such drawbacks can offset the positive effects of their enthusiasm, leading to a mediocre performance at best.

8. The CAT instrument was calibrated to encompass 40 public administration-relevant competencies. Out of these, a sub-set of 13 competencies was identified as essential for each of the RIA roles listed above. For the purposes of this assessment, a set of 40 public administration-relevant competencies that personnel need to carry out their job tasks and responsibilities in the public administration sector, including for RIA roles were included in the evaluation framework (Annex 1). In addition, a sub-set of 13 competencies were identified as essential to undertake each of the RIA roles listed above. This selection was based on the best practices for undertaking RIA and European Commission principles and guidance on RIA (Annex 2). The RIA-essential competencies are encompassed in one of four categories: technical competencies, management and coordination competencies, interpersonal competencies, intrapersonal competencies.

9. Each staff or public management employee who participated in the assessment engaged in a process of self-evaluation by prioritizing all 40 competencies included in the CAT framework. Selected staff members were asked to rank the forty public administration-relevant competencies included in the evaluation instrument according to perceived level of personal development. The prioritization was done using three level-categories: thirteen ‘highly-developed’, fourteen ‘medium-developed’, and thirteen ‘low development’ competencies. On their individual form, the participants were asked to provide additional background and personal information, such as position and grade, gender, education, work experience, perceived RIA role, and recommended improvements to the RIA process (Annex 3).

10. The competency development status reported by participants was compared against the required level of ‘highly-developed’ skills for RIA roles. The assessment benchmarked the personal development level listed by participants in a specific RIA role against the list of 13 competencies considered as essential for that particular role, hence highlighting the essential RIA competencies that are not perceived as ‘highly developed’. This benchmarking was conducted in order to identify relevant gaps and constraints, and to inform the elaboration of recommendations which, once implemented, can support improvements in the RIA process. If at least one third of the participants signaled a low or medium development for a specific RIA essential competency, then the competency development initiatives will necessarily entail all people with a potential RIA role in the targeted institutions.

III. RESULTS BY TYPE OF INSTITUTION AND RIA ROLE

III.1. Department for the Coordination of Public Policies

III.1.1. RIA role of Quality Control

11. **The DCPP is currently the institution that is best suited to oversee the quality control of regulatory proposals and substantiation notes, as it is tasked with supporting the presentation of legislative proposals for submission to Government decision meetings.** The General Secretariat of the Government, through the DCPP, has the role of submitting for Government approval proposals for public policies and regulations initiated by the line ministries and other public administration institutions.³

Employee background information and staff planning for RIA tasks within DCPP

12. **The recruitment and selection policies within the DCPP follow the Romanian labor legislation applicable for the public administration sector.** Typically, the announcements for job openings include the job title, grade, and minimum requirements for education, work experience and behavioral standards in the public sector. The openings are posted on the GSG website and posted on announcement boards, at headquarters. No details regarding the specific job responsibilities and activities are provided in the job advertisements. The recruitment and selection procedure encompasses three steps: (i) analysis of the candidate credentials against minimum requirements; (ii) testing of knowledge and skills related to the job content, including analytical skills; (iii) interview to observe communication skills, analytical skills, management and leadership skills (for management positions), motivation and reaction in crisis situations.

13. **A sub-set of 27 DCPP staff members (out of a total of forty employees), or 65 percent, participated in the CAT exercise⁴.** More than half of participants held the position of Counselor at the time of the assessment, while 30 percent were employed as Experts. The job descriptions for the two roles, ‘Counselor’ and ‘Expert’, are highly similar, while the employment status might be a civil servant or a contractual employee depending on the choice made in the staff planning performed in GSG budget exercise one year before. Approximately 15 percent of the staff sample analyzed held the position of Public Manager. The vast majority of respondents (90 percent) have a total work experience of 10-15 years or more.

14. **The majority of DCPP staff holds degrees in social and political sciences.** The largest share (52 percent) of DCPP staff participating in the evaluation holds a degree in social and political science. Other educational profiles include economics (30 percent), law (9 percent) and engineering (4%) (Figure 1). Most of the respondents (55 percent) have a Bachelor’s diploma, whereas the rest (45%) have obtained a Master’s degree (Figure 2).

³ These responsibilities represent only a part of activity portfolio of GSG and DCPP.

Figure 1: Educational Profile – DCP

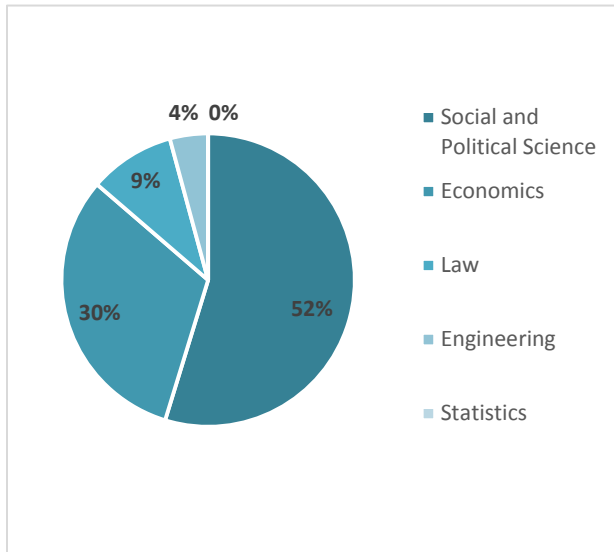
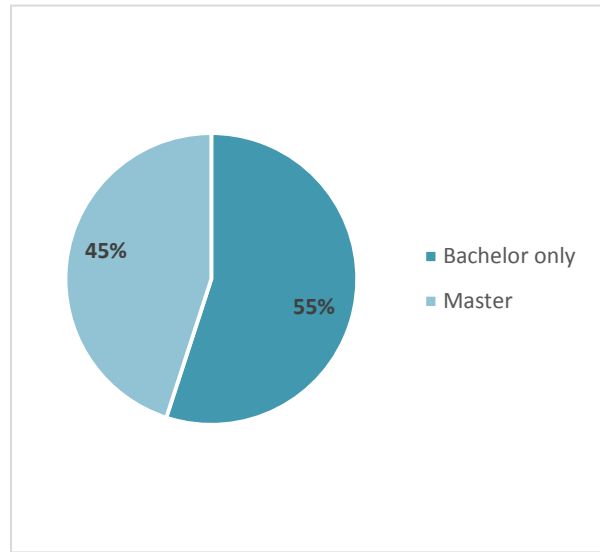


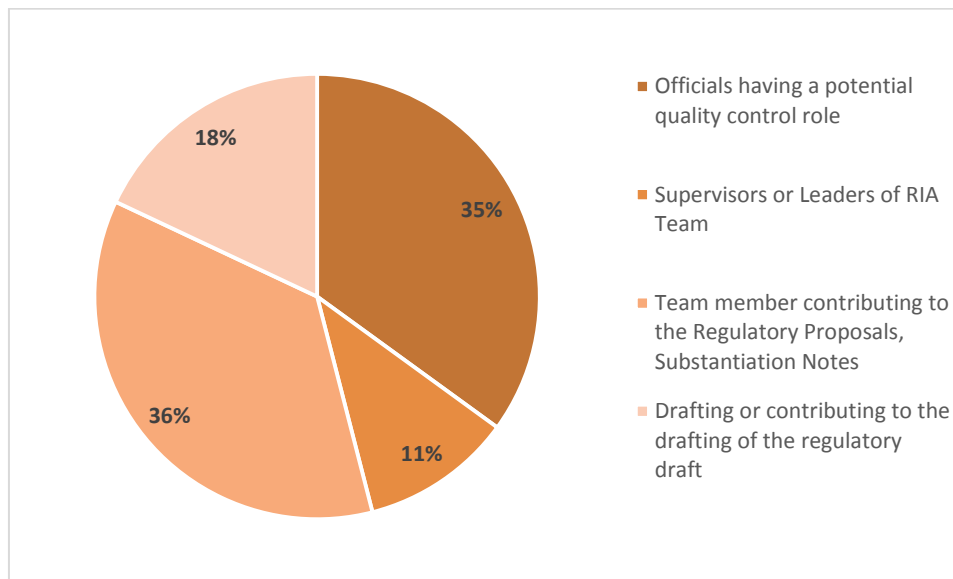
Figure 2: Educational Attainment – DCP



Source: Author’s elaborations based on data gathered through interviews with representatives of DCP (based on a sample of 27 staff interviewed) (2014)

15. Based on feedback received from DCP staff the quality control of regulatory proposals and substantiation notes has not been undertaken on a consistent basis within the last 3-5 years. The majority (67 percent) of DCP staff who participated in the RIA capacity building analysis reported they possess between 2 and 14 years of experience in performing impact assessments of legislative, regulatory, and policy proposals. This experience has generally been acquired prior to their employment within DCP, in other public institutions or in private organizations, where they undertook various impact assessment-related tasks, as presented in Figure 3. The largest share of respondents (36 percent) were team members contributing to the preparation of impact analysis, regulatory proposals and substantiation notes. The second largest segment (35 percent) is composed of staff that can have a potential quality control role in the RIA process but are not at the moment involved in this type of activity. In addition some of the respondents acted as supervisors or leaders of impact analysis teams (11 percent) or were involved in drafting or contributing to the elaboration of the regulatory draft (18 percent).

Figure 3 – Roles in the RIA Process – DCCP staff



Source: Author's elaborations based on data gathered through interviews with representatives of the line DCCP (2014). The distribution of RIA-specific roles is based on staff self-evaluation. Respondents were allowed to make multiple choice of RIA roles achieved over time even though they did not perform them constantly in the last 5 years. The distribution by RIA roles was calculated based on weighted average frequency of each RIA role as reported by respondents.

16. The DCCP has recently begun to organize a RIA dedicated team within the department. A number of twelve RIA-experienced staff as well as six employees with no previous RIA-relevant experience have reported their involvement as part of the DCCP's informal RIA team, which has the goal of organizing and implementing a systematic RIA quality control process in within the DCCP and the General Secretariat of the Government.

Coordination with other institutions, information resources, and internal HR procedures relevant for RIA in DCCP

17. According to DCCP staff the current coordination with other units/departments or ministries in respect to regulatory proposals is highly relevant and supportive in exercising a true and enhanced RIA-related processes and capacity improvement in DCCP, as the organization with a leading role of RIA quality control. This communication and coordination allow the sharing good regulatory practices and knowledge and speed-up the process of regulation approval in Government decisional meeting.

18. Although RIA-related activities are not undertaken on a consistent basis, sufficient time is allocated for this type of task when needed. RIA-relevant documentation is available to the staff. When RIA tasks, albeit sporadically, are initiated, staff are provided with sufficient time to complete the activities and meet. Documentation on RIA processes including handbooks, guides, and other materials exists on the DCCP premises which staff can consult in physical and electronic format.

19. **Apart from the organizational structures discussed above, no additional RIA-enabling organizational methods and tools have been identified within the DCPD framework.** DCPD staff have identified and recognized the importance in developing additional RIA-relevant resources such as data availability and interoperability of databases and high quality ICT hardware and software which can significantly facilitate the oversight of the RIA process. Moreover staff respondents were aware of the key role of training and development activities as well with regard to the importance of coaching including by the direct manager. Outsourcing RIA analysis to take advantage of outside talent at a fair cost was also considered an option. Options related to enhancing individual and team performance include the opportunity for staff to contribute to the development of complex regulations, the opportunity to present publicly and defend substantiation notes as well as the use of individual and team performance evaluations based on quality of impact analysis followed by reward and recognition incentives for high quality contributions to the RIA tasks.

Essential competencies to perform an effective 'RIA Quality Control' role in DCPD

20. **The essential *technical* competencies that a staff member needs in order to exercise an effective role in the RIA quality control process have been synthesized by a team of RIA and human resource experts. These include: 'economic and business analysis', 'sector and industry-specific knowledge', 'risk analysis', 'social science acumen', 'solving problems', 'evidence-based decision maker', 'knowledge of regulatory theory', 'interpretation of data', and 'written communication'** (Table 1) The exact definition of these technical competencies was presented to the staff as part of the exercise. These skills encompass essential capacities such as the ability to apply the principles of good regulation such as to achieve clearly defined and measurable policy objectives and the capacity to make effective decisions based upon a combination of sound evidence, analysis, experience and judgment. In order to provide effective RIA quality oversight, a public administration official must also be a good problem solver, from the first stage of problem definition to the elaboration of recommendations aiming to identify the most effective solution. Specifically, the staff member should possess the knowledge and the ability to check that regulatory proposals which are submitted to the DCPD are relevantly substantiated, through the use of models and quantitative methods of economic and financial analysis, sectoral and social assessment, and be familiar with methodologies for risk analysis. Moreover, good writing skills are key for shaping the regulatory proposals and substantiation notes received to format best fitted for submission to Government approval.

21. **The *management and coordination* competencies which have been selected as essential in order to fulfill an effective RIA quality control role are 'customer focus' and 'strive for quality', whereas the key *interpersonal* competencies are 'informing' and 'political savvy'** (Table 1). The management and coordination competencies refer to the capacity of RIA quality controllers to strive to meet expectations and requirements, and to deliver the highest quality performance through continuously improved processes. The interpersonal competencies chosen in this case refer to the capacity of RIA quality controllers to provide needed information in a timely manner to relevant staff and stakeholders in order to support effective decision-making as well as to the ability to understand, effectively communicate across formal and informal networks and function successfully within the organizational culture of their institution.

Table 1 – Status of essential competencies to develop for the RIA Quality Control role

		Essential CAT competencies to exercise an effective RIA Quality Control role:	DCPP staff
1.	Technical	Economic and Business Analysis	99% to develop
2.		Sector and Industry-Specific Knowledge	99% to develop
3.		Risk Analysis	99% to develop
4.		Social Science Acumen	75% to develop
5.		Solving Problems	25% to develop
6.		Evidence-Based Decision Maker	50% to develop
7.		Knowledge of Regulatory Theory	75% to develop
8.		Interpretation of Data	75% to develop
9.		Written Communications	30% to develop
10.	Management and coordination	Customer Focus	75% to develop
11.		Strive for Quality	40% to develop
12.	Interpersonal	Informing	50% to develop
13.		Political Savvy	75% to develop
Note: A share of 30 percent or less indicates that the competency is well-developed			

Well-developed RIA competencies currently in DCPP

22. **The results of the assessment indicate a number of ‘core strengths’ among the essential RIA competencies which appear well-developed within the DCPP - ‘solving problems’ and ‘written communications’ (technical competencies)** (Table 1). The strengths of the DCPP staff that are highly relevant for the fulfillment of an effective quality control role in the RIA processes are, primarily, the ability to engage in effective problem solving as well as the capacity to communicate effectively in writing.

23. **Other well-developed competencies of DCPP staff, while not identified as critical for the RIA, could help support the implementation of a revised RIA processes within the DCPP. These are: - ‘collaborative relationships’ and ‘listening’ (interpersonal competencies); ‘drive for results’, ‘integrity and trust’, ‘perseverance’, and ‘self-development’ (intrapersonal competencies)** (Annex 4). Based on the results of the assessments, DCPP staff appears to possess solid capacities to build collaborative relationships and can work as part of a team. The evaluation suggests that staff members are perceived as trustworthy, have motivation to achieve high-performance, and are personally committed and actively work to continuously improve personal capacities. These personal strengths are expected to support future individual and group learning initiatives organized and the successful implementation of a revised RIA quality control process by the DCPP.

Existing development gaps in RIA Quality Control capacities in DCPD

24. **The evaluation identified a number of critical gaps in the skill set required to perform DCPD's role on RIA quality oversight. First, DCPD staff needs to further develop the vast majority of RIA-relevant technical competencies (Gap 1).** These include “economic and business analysis” ‘sector and industry-specific knowledge’, ‘risk analysis’, ‘social science acumen’, ‘evidence-based decision maker’, ‘knowledge of regulatory theory’, and ‘interpretation of data’. A significant share of the staff (between 50 to 99 percent) needs to close the capacity gap for most of the RIA technical competencies (Table 1). In addition, the limited number of advanced degrees and the educational focus in the area of social and political science may contribute to the lack of skill diversity (Paragraph 15). Therefore, a robust training and education program is needed to equip DCPD staff involved in RIA-related activities with the skills and capacity, required to ensure a thorough quality control of regulatory proposals and substantiation notes before their submission for approval in government decisional meetings. Capacity building initiatives should address the fundamentals of an evidence-based decision making process to adopt regulations, and provide staff with knowledge of analytical models, as well as the capacity to use simulation and forecast methods.

25. **Secondly, specific essential RIA management and coordination competencies including ‘customer focus’ and ‘strive for quality’, also require further development (Gap 2).** A high share of the DCPD staff participating in the assessment (75 percent) reported a low or average personal level regarding the capacity to identify and meet beneficiary expectations (Table 1). While less than half of the staff identified a personal development gap for the ‘strive for quality’ competency, this is still considered a significant issue to be addressed, since quality control represents the core content of the DCPD role in RIA.

26. **The third gap identified refers to essential RIA interpersonal competencies such as “informing” and “political savvy” (Gap 3).** These two competencies have to be further developed (Table 1), as they enhance the capacities of the DCPD staff to fulfill their quality control role within the RIA process through information sharing and effective communication across formal and informal networks.

27. **In addition, improving ‘legal framework acumen’ competency although considered not essential but desirable for DCPD staff involved in RIA should be carefully considered, as it may enhance staff capacity to perform their quality supervisory function (Gap 4).** The quality control role that the DCPD performs in regard to regulatory proposals and substantiation notes means that the department serves as a last filter before the legal drafts are sent for consideration by the Government. Approximately 90 percent of DCPD staff reported not possessing a formal education degree in Law (Paragraph 15), hence no training and competency in this area (Annex 4). Therefore, acquiring knowledge on relevant legislation, both European and Romanian, may be of significant importance to perform the RIA quality control.

28. **Finally, the scarcity or lack of key enabling organizational methods and tools, within the DCPD, requires immediate attention (Gap 5).** These mechanisms and resources, including ICT databases and systems as well as human resources management initiatives such as opportunities to achieve more complex and challenging tasks as well as recognition for contribution by an effective incentive system are recognized by DCPD staff as highly relevant enablers for employee development in general, and for RIA capacity building in particular.

III.2. RIA roles within the Line Ministries

29. **Four key RIA roles were identified within the Line Ministries in regard to the preparation of regulatory proposals and the substantiation notes: team leader; team member contributing to the preparation; supervisor of technical staff; and staff working on the elaboration of the regulatory legal draft.** The specific role of each staff member involved in the RIA process within any Line Ministry is determined by the function fulfilled with respect to the initiation, development and promotion of a regulatory draft and the associated substantiation note. Three line ministries participated in the analysis: Ministry of Regional Development and Public Administration (MDRAP), Ministry of Agricultural and Rural Development (MADR) and Ministry of Labor, Family, Social Protection and the Elderly (MLFSPE).

Employee background information and staff planning for RIA tasks in the line ministries

30. **Based on assessment results, line ministry staff appears to hold substantial public administration experience.** A number of 71 public employees from the three line ministries participated in the CAT exercise, out of which 25 percent male and 75 percent female. Two thirds are employed as Counselors, while the remaining respondents held the position of Public Manager. Of the total 37 percent have an overall work experience of more than 15 years, while 25 percent have less than 10 year work experience.

31. **The majority of line ministry staff holds degrees in Engineering and Economics at the undergraduate level.** The largest share (34 percent) of line ministry staff participating in the evaluation holds a degree in engineering, most of them working within the Ministry of Agriculture and the Ministry of Regional Development. Other educational profiles include economics (27 percent) – the majority of which working within the Ministry of Regional Development and the Ministry of Labor, law (22 percent), social and political science (15 percent), and statistics (2 percent) (Figure 4). The majority of respondents (54 percent) have a Bachelor’s diploma, whereas the others (46 percent) also hold a Master’s degree or a Doctorate (Figure 5) (see Annex 6 for information on educational profile by line ministry).

Figure 4: Educational Profile – Line ministries

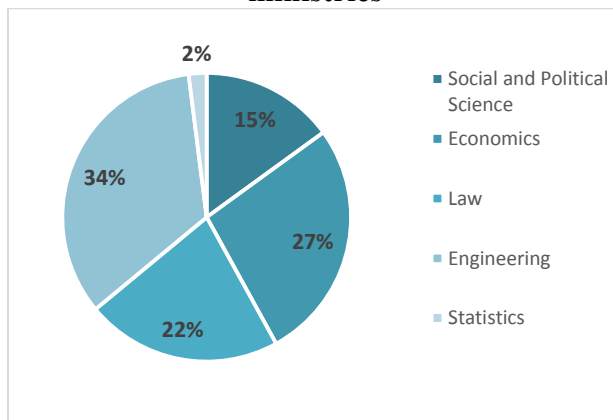
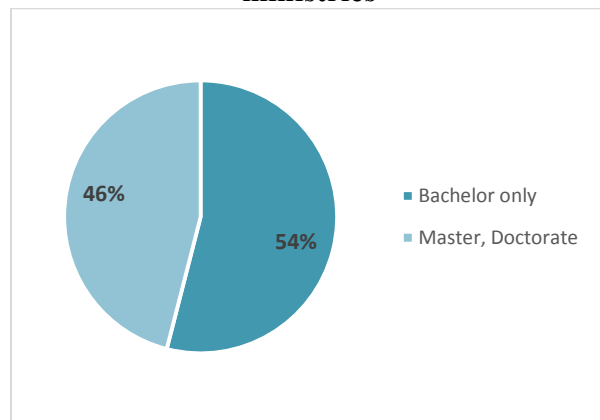


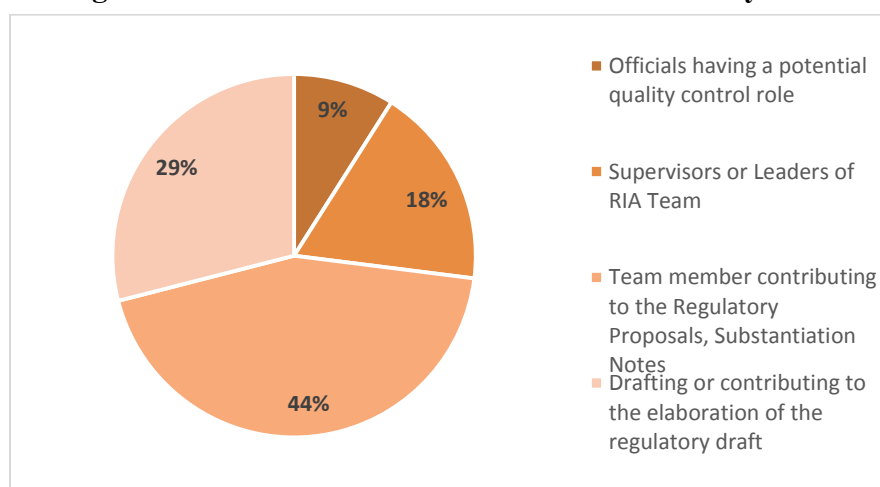
Figure 5: Educational Attainment – Line ministries



Source: Author’s elaborations based on data gathered from a sample of 71 line ministry staff interviewed (2014)

32. **An important work responsibility for ministry staff and public managers is to assume and fulfill tasks related to the preparation of regulatory proposals and substantiation notes.** Of those interviewed, the largest share (44 percent) identified themselves as team members contributing to regulatory proposals and impact assessment, whereas 18 percent held the role of supervisors or leaders within a RIA team, and 29 percent had the task of drafting contributing to the elaboration of the regulatory draft (Figure 6). Approximately 40 percent of the line ministry staff participating in the analysis reported that they possess at least five years of experience in a RIA role, acquired by working in the line ministry. Interviewed staff considered RIA tasks to constitute developmental assignments and an important potential source of professional satisfaction.

Figure 6 – Roles in the RIA Process - Line ministry staff



Source: Author's elaborations based on data gathered through interviews with representatives of the line DCPP (2014). The distribution of RIA-specific roles is based on staff self-evaluation. Respondents were allowed to make multiple choice of RIA roles achieved over time even though they did not perform them constantly in the last 5 years. The distribution by RIA roles was calculated based on weighted average frequency of each RIA role as reported by respondents.

Coordination with other institutions, information resources, and internal HR procedures relevant for RIA in the line ministries

33. **A rich documentation on RIA processes including handbooks, guides, and other support materials are available within the line ministries in physical and electronic format.**

34. **The current coordination with other Line Ministry units/departments or GSG-DCPP in exercising the RIA roles** is perceived by the line ministry staff as relevant and supportive for the RIA-related processes and capacities improvement. This communication and coordination allow the sharing of good regulatory practices and knowledge and speed-up the process of regulation development.

35. **Apart from the infrastructure, tools and incentive systems, presented in Paragraphs 34-35, no additional RIA-enabling organizational methods and tools appear to be in place within line ministries.** Line ministry staff identified and recognized the importance of developing RIA-related competencies through the use of other organizational tools and methods such as data availability and interoperability of databases, quality of ICT hardware and software,

as well as effective time management, and training and development activities. In addition, staff displayed interest in coaching including by the direct manager and considered outsourcing RIA analysis to take advantage of outside talent as a potential alternative. Moreover, respondents showed interest in other types of developmental tools including opportunities to present and defend the substantiation notes in public, the introduction of individual and team performance evaluations based on the quality of impact analysis performed and reward and recognition for high-quality contributions to the RIA process. It also noteworthy that all staff, including Public Managers can enhance their individual competency level, including management and leadership capacities, in the process of implementing these organizational methods and tools.

III.2.1. RIA Role of Team Leader

36. The role of Team Leader for the preparation of regulatory proposals and substantiation notes has been assumed in recent years by a limited number of Public Managers in the line ministries. In the most recent five to seven years, the Public Managers acting as RIA Team Leaders, along with other responsibilities, represent only a 10 percent of total staff participating in the current CAT evaluation (Figure 6). Moreover, only a limited number of public employees, (8 percent of line ministry staff), have served as leaders for RIA teams in line ministries. In this context, information collected from the line ministries participating in the current assessment suggests the need to enhance current capacities of the staff in order to empower them to assume coordination roles within the RIA team in the future.

Essential competencies to perform an effective ‘RIA Team Leader’ role

37. The essential technical competencies that a public employee needs to use in order to exercise an effective role as a Team Leader in a RIA team are: ‘solving problems’, ‘evidence-based decision maker’, and ‘knowledge of regulatory theory’ (Table 2). These skills refer to the ability to apply the principles of good regulation in order to achieve clearly defined and measurable policy objectives, the capacity to adopt good decisions based upon a mixture of evidence, analysis, experience and judgment, and their abilities as good problem solvers, from the stage of problem definition to the elaboration of recommendations aiming to identify the best solution.

38. The essential management and coordination competencies necessary to act as an effective RIA Team Leader are: ‘building effective teams’, ‘delegation’, ‘priority setting’, and ‘planning’ (Table 2). This set of competencies encompasses the capacity to create and contribute personally to a strong team morale, the ability to create and maintain focus by identifying priorities and setting milestones; clearly delegating to the RIA team members both routine and important tasks and decisions, while sharing both responsibility and accountability, and the ability to adjust the course of action in a timely and effective manner in order to mitigate problems and overcome roadblocks.

39. The essential interpersonal competencies required to exercise an effective RIA Team Leader role are ‘informing’, ‘collaborative relationships’, ‘influencing others’, and ‘political savvy’ (Table 2). These interpersonal skills reflect, among other, the capacity to provide information to staff in a timely manner to help them fulfill their tasks and make accurate decisions; the ability to build collaborative and constructive relationships and to communicate effectively with the team members, as well as the capacity to get things done

both through formal as well as informal channels and to easily adapt to the ministry's organizational culture.

40. **The essential intrapersonal competencies needed to exercise an effective RIA Team Leader role are ‘handling change’ and ‘patience’** (Table 2). These qualities encompass the capacity to cope with change effectively and to weigh carefully the benefits to the efficiency and effectiveness of delivery against potential risks and uncertainty. Moreover, as leaders, staff members have to gain a detailed understanding of data and team dynamics before making judgments and acting, while being sensitive to due process and proper pacing and deadlines.

Well-developed RIA competencies for the role of ‘RIA Team Leader’ in the line ministries

41. **The evaluation identified a number of essential RIA competencies specific to Team Leaders that are well-developed within the line ministries. These include: ‘collaborative relationships’ (interpersonal competency) and ‘patience’ (intrapersonal competency)** (Table 2). The strengths of line ministry staff in relation to assuming an effective RIA Team Leader role lay, if exercised, in the capacity to build collaborative relationships and work in teams, as well as in the ability to follow the established process with patience and proper pacing.

42. **Other well-developed skills of line-ministry staff, while not identified as critical for RIA tasks are – ‘strive for quality’ (management and coordination competency); ‘creativity’, ‘integrity and trust’, ‘perseverance’, and ‘standing alone’ (intrapersonal competencies).** These skills can help leverage the implementation of improved RIA processes in the line ministries (Annex 4). Line ministry staff appears to possess the capacity to identify original and creative solutions to succeed in completing the required task. In addition self-reported information indicate that staff members are able to engage in collaborative relationships and team work; and do not avoid assuming personal responsibility or taking charge of a complex assignment. These personal strengths are expected to support the successful implementation of revisions in the RIA process.

Table 2 – Status of essential competencies to be developed for RIA Team Leader role

		Essential CAT competencies to exercise an effective RIA Team Leader role:	Line ministry staff
1.	Technical	Solving Problems	40% to develop
2.		Evidence-Based Decision Maker	50% to develop
3.		Knowledge of Regulatory Theory	75% to develop
4.	Management and coordination	Buidling Effective Teams	60% to develop
5.		Delegation	80% to develop
6.		Planning	60% to develop
7.		Priority Setting	60% to develop
8.	Interpersonal	Informing	50% to develop
9.		Collaborative Relationships	25% to develop

10.		Influencing Others	50% to develop
11.		Political Savvy	75% to develop
12.	Intrapersonal	Handling Change	60% to develop
13.		Patience	25% to develop
Note: A share of 30 percent or less indicates that the competency is well-developed			

Existing development gaps in ‘RIA Team Leader’ capacities in the line ministries

43. **The assessment identified a number of gaps in the skill-set needed to act a RIA Team Leader in an effective manner. First line ministry staff needs to further develop a number of key RIA technical competencies including: ‘problem solving’, ‘evidence-based decision maker’, and ‘knowledge of regulatory theory’ (Gap 1).** A significant share of respondent staff (between 50 and 75 percent) need to close the capacity gap for an important subset of RIA technical competencies needed in order to act as a Team Leader role (Table 2). Yet, based on the large number of staff in the line ministries holding a degree in engineering and economics, (Paragraph 32) this capacity gap could potentially be managed through robust training and education programs. This type of training initiatives can help to equip the staff with the knowledge, ability and motivation to perform effectively in the role of RIA Team Leader. The training should encompass the fundamental principles of evidence-based decision making when adopting regulations, and should provide essential knowledge on regulatory theory. In addition capacity building should educate staff on problem solving mechanisms, including the analytical methods for impact assessment.

44. **Second, a number of essential RIA management and coordination competencies such as ‘building effective teams’, ‘delegation’, ‘priority setting”, and ‘planning’, also need further development (Gap 2).** Between 50 and 80 percent of line ministry staff reported a low or average personal level for the capacities needed to lead teams effectively and to foster a strong team spirit. Staff also reported the need for further development when it comes to the ability to create and maintain focus and to adequately plan and delegate tasks among team members. (Table 2).

45. **Third, a number of essential RIA interpersonal competencies defined as ‘informing’, ‘influencing others’ and ‘political savvy’ should be enhanced (Gap 3)** , as they help staff to fulfill their coordination role within the RIA processes through information sharing, compelling communication and effective professional relationships across formal and informal communication networks (Table 2).

46. **Lastly, the essential RIA intrapersonal competency of ‘handling change’ needs attention (Gap 4).** Approximately 60 percent of line ministry staff appears not open or inadequately prepared to handle change when taking the lead of a RIA team to prepare a regulatory proposal and the associated substantiation note (Table 2).

III.2.2. RIA role of Team Member contributing to the regulatory proposals and substantiation note preparation

47. **The largest share of respondents from the line ministries identified themselves as team members contributing to the preparation of regulatory proposals and substantiation notes.** About 44 percent of staff members interviewed reported that they contributed to the preparation of regulatory proposals, participating in the development of the corresponding substantiation notes (Figure 6). About 7 percent reported that while not holding a law degree and preparation, they contributed also to the drafting of the regulatory proposal.

Essential competencies to perform an effective ‘RIA Team Member’ role

48. **The essential technical competencies that a staff member would need to employ in order to act as an effective Team Member for the preparation of regulatory proposals and substantiation notes are: ‘economic and business analysis’, ‘sector and industry-specific knowledge’, ‘risk analysis’, ‘social science acumen’, ‘solving problems’, ‘evidence-based decision maker’, ‘knowledge of regulatory theory’, ‘interpretation of data’, and ‘perspective’** (Table 3). These encompass the ability to apply the principles of good regulation in order to achieve clearly defined and measurable policy objectives; to adopt effective decisions based on evidence, analysis, and experience, and the ability to anticipate implications and trends; problem-solving abilities; the knowledge and ability to verify whether regulatory proposals are relevantly substantiated, by employing models and methods of business and financial analysis, as well as sectoral, social sciences, and risk analysis, and the ability to interpreting the results of impact assessments.

49. **The interpersonal competency of ‘informing’ is essential in order to exercise an effective role as a RIA Team Member** (Table 3). This specific competency refers to the ability to share information in a timely manner with the other team members involved in the preparation of regulatory proposals and substantiation notes in order to support effective decision making.

50. **The essential intrapersonal competencies needed for RIA Team Member are: ‘drive for results’, ‘handling change’, and ‘time management’** (Table 3). These skills refer to the capacity to cope with change in an effective manner and successfully mitigate potential risks and uncertainty. In addition, it is essential that team members possess the motivation to achieve high-performance and that they use time effectively by concentrating efforts on the most important priorities.

Table 3 – Status of essential competencies to develop for the RIA Team Member role

		Essential CAT competencies to exercise an effective RIA Team Member role:	Line ministry staff
1.	Technical	Economic and Business Analysis	75% to develop
2.		Sector and Industry-Specific Knowledge	75% to develop
3.		Risk Analysis	75% to develop
4.		Social Science Acumen	75% to develop
5.		Solving Problems	50% to develop
6.		Evidence-Based Decision Maker	50% to develop
7.		Knowledge of Regulatory Theory	75% to develop
8.		Interpretation of Data	60% to develop
9.		Perspective	40% to develop
10.	Interpersonal	Informing	40% to develop
11.	Intrapersonal	Drive for Results	40% to develop
12.		Handling Change	60% to develop
13.		Time Management	60% to develop
Note: A share of 30 percent or less indicates that the competency is well-developed			

Well-developed RIA competencies for the role of ‘Team Member’

51. **one of the RIA competencies identified as essential for a Team Member in charge of the preparation of regulatory proposals and substantiation note are well-developed in the line ministries** (Table 3). The results of the assessment show that ministry staff which fulfill the role of team members in RIA assignments need further development on the eight technical skills considered essential for this specific RIA role, including ‘economic and business analysis’, ‘sector and industry-specific knowledge’, ‘risk analysis’, ‘social science acumen’, ‘solving problems’, ‘evidence-based decision maker’, ‘knowledge of regulatory theory’, ‘interpretation of data’, and ‘perspective’.

52. **Well-developed competencies of line ministry staff, while not identified as critically related to RIA functions include: ‘strive for quality’ (management and coordination competency); ‘collaborative relationships’ (interpersonal competency); ‘creativity’, ‘integrity and trust’, ‘perseverance’, and ‘standing alone’ (intrapersonal competencies)** (Annex 4). **These skills can help leverage the implementation of revised RIA processes in the line ministries.** Based on interview results, line ministry staff appears to possess the capacity of to identify original and creative solutions, engage in collaborative relationships, and willing to take on, challenging assignments. These strengths can be expected to support the successful implementation of revisions in the RIA system.

Existing development gaps in RIA Team Member capacities

53. **Line ministry staff needs to develop the entire set of RIA technical competencies including: ‘economic and business analysis’, ‘sector and industry-specific knowledge’, ‘risk analysis’, ‘social science acumen’, ‘evidence-based decision maker’, ‘knowledge of regulatory theory’, ‘interpretation of data’, and ‘perspective’ (Gap 1).** A significant share of ministry staff (between 40 and 75 percent) needs to close the capacity gap for each one of the essential RIA technical competencies (Table 3). Yet, this significant capacity gap can be addressed through intensive capacity building efforts which could capitalize on the significant engineering and economics background which exists within the line ministries that participated in the assessment (Paragraph 32). Therefore, an effective training and education program can succeed to equip the staff with the knowledge and skills required to make substantive contributions to the development of regulatory proposals and substantiation notes. Training programs should encompass key principles of drafting regulatory proposals as well as the key analytical models to analyze, and methodologies to simulate and forecast event evolution after the adoption and implementation of the regulatory proposals under scrutiny.

54. **Second, the essential interpersonal competency defined as ‘informing’ needs to be further developed (Gap 2),** as it enhances the capacities of the RIA staff to successfully bring their contribution role to the RIA process through effective information sharing and can foster close collaboration within the team (Table 3).

55. **Third, essential intrapersonal competencies such as ‘drive for results’, ‘handling change’, and ‘time management’ need close attention (Gap 3).** At least 40 percent of line ministry staff interviewed appears to require development in the areas of handling change in an adequate manner; maintaining the motivation to achieve high-performance, and using time effectively, by concentrating efforts on key priorities (Table 3).

56. **The abilities related to ‘legal framework acumen’, although classified only useful, and hence not a first-tier priority for the role of RIA Team Member, still require further development (Gap 4)** since they can help equip RIA personnel in the development of regulatory proposals and the associated substantiation notes (Annex 4). About 80 percent of the line ministry staff reported that they do not possess a degree in Law, and hence highly limited training and competencies in this area (Paragraph 32). Therefore, acquiring knowledge regarding relevant legislation, both at the local and at the European level, might support their contribution to the RIA process.

III.2.3. RIA role of Supervisor of the technical staff in charge with the preparation of regulatory proposals and substantiation notes

57. **Approximately 30 percent of participating line ministry staff held a public management position. One third of them only reported that they also exercised managerial responsibilities over RIA technical staff (either Team Leader or Team Member) involved in the preparation of regulatory proposals and substantiation notes in the last 5-7 years** (Figure 6). The information collected from the line ministry management participating in the CAT exercise can have significant implications for the planning of initiatives to enhance managerial and leadership capacities for Public Managers in order to increase the quality of the RIA process in the future.

Essential competencies to perform an effective RIA supervisory role

58. **The essential technical competencies that a staff member needs to employ in order to act as an effective Supervisor of the staff involved in the preparation of regulatory proposals and substantiation notes are: ‘evidence-based decision making’, ‘knowledge of regulatory theory’ and ‘perspective’** (Table 4). These capacities refer to the ability to apply the principles of good regulation in order to achieve clearly defined and measurable policy objectives; the capacity to make decisions based on evidence, analysis, and experience, as well as the ability to consider multiple aspects of a specific issue and to anticipate consequences and trends.

59. **The essential management and coordination competencies needed to exercise an effective RIA supervisory role are: ‘managing and measuring work’, ‘organizing’, ‘priority setting’, ‘building effective teams’, ‘developing people’, and ‘motivating people’** (Table 4). They refer to the capacities to create and maintain focus by identifying priorities and setting objectives and intermediate milestones and the ability to assign responsibility for tasks and decisions in a clear manner. In addition, supervisors should be able to effectively monitor processes, progress and results, to use resources efficiently to achieve the goals and to maintain strong team morale.

60. **The interpersonal competencies which have been deemed critical for the role of Supervisor of technical staff involved in RIA processes are ‘informing’, ‘influencing others’ and ‘political savvy’** (Table 4). These skills encompass the capacity to provide timely information in order to support accurate decisions; the ability to lead, direct, and mobilize people through effective and inspired communication; the capacity to communicate both through formal channels and informal networks, and to function within a specific organizational culture.

61. **‘Handling change’ is the essential intrapersonal competency required for the role of Supervisor of technical staff involved in RIA processes** (Table 4). This refers to the capacity to cope with change effectively, and to make sound decisions while coping with limited information in a manner that carefully weigh the benefits timely delivery against potential risks and uncertainty.

Table 4 – Status of essential competencies to be developed for RIA Supervisor role

		Essential CAT competencies to exercise an effective Supervisor of RIA technical staff :	Line ministry staff
1.	Technical	Evidence-Based Decision Maker	60% to develop
2.		Knowledge of Regulatory Theory	75% to develop
3.		Perspective	40% to develop
4.	Management and coordination	Buidling Effective Teams	60% to develop
5.		Developing People	75% to develop
6.		Motivating People	75% to develop
7.		Managing and Measuring Work	75% to develop
8.		Organizing	60% to develop
9.		Priority Setting	50% to develop
10.	Interpersonal	Informing	50% to develop
11.		Influencing Others	75% to develop
12.		Political Savvy	90% to develop
13.	Intrapersonal	Handling Change	60% to develop
Note: A share of 30 percent or less indicates that the competency is well-developed			

Well-developed RIA competencies for the role of ‘Supervisor’ in the line ministries

62. Assessment results show that **none of the RIA competencies identified as essential for a Supervisor of technical staff in charge with the preparation of regulatory proposals and substantiation note are well-developed in the line ministries** (Table 4). The evaluation has revealed that ministry managerial staff which fulfill the role of supervisors for RIA staff need further development on the three technical skills considered essential for this specific RIA role, including ‘evidence-based decision making’, ‘knowledge of regulatory theory’, and ‘perspective’.

63. **Well-developed competencies of line-ministry Public Managers leading people in charge of RIA-related tasks, while not identified as critical, can leverage the implementation of improved RIA processes in the line ministries. These include: ‘collaborative relationships’ (interpersonal competency); ‘creativity’, ‘integrity and trust’, ‘perseverance’, ‘standing alone’ and ‘self-development’ (intrapersonal competencies)** (Annex 4). Public Managers within the target line ministries appear to possess the capacity to identify original and creative solutions and engage in collaborative relationships, and are willing to embark on challenging assignments. Moreover results suggest that managers are committed and work to improve personal capacities on an on-going basis. These strengths can be expected to support the successful implementation of revisions in the RIA system and to help ensure the effectiveness of individual and group RIA-related training.

Existing development gaps in RIA supervisory capacities

64. **Line Ministry staff has to further develop the RIA technical competency set for the supervisory role: - ‘evidence-based decision maker’, ‘knowledge of regulatory theory’, and ‘perspective’ (Gap 1).** A significant share of Public Managers (between 40 and 75 percent) needs to close the capacity gap for the RIA technical competencies that support the supervisory role (Table 4). Therefore, an effective training and education program will succeed in equipping Public Managers in the line ministries with the knowledge, ability, and motivation to effectively lead their teams and attain high performance in RIA-related tasks. This type of capacity building program must encompass the fundamental principles of evidence-based decision making and address existing gaps in process to adopt regulations, with knowledge of regulatory theory and problem solving methodologies, including the forecasting models.

65. **Central to the role of Public Managers within the line ministries is the development of the entire set of essential RIA management and coordination competencies including ‘managing and measuring work’, ‘organizing’, ‘priority setting’, ‘building effective teams’, ‘developing people’, and ‘motivating people’ (Gap 2).** About 75 percent of the Public Managers in line ministries reported a low or average personal level for the skills to manage work efficiently in order to deliver high quality results, for the ability to lead effective teams and create a strong team spirit, and when it comes to the capacity to motivate and guide the professional development of staff (Table 4). These competencies are a core part of any management role across all industries and sectors, including public administration.

66. **The RIA interpersonal competencies essential for the supervisory role i.e., ‘informing’, ‘influencing others’, and ‘political savvy’ also need to be further enhanced (Gap 3)** (Table 4). Building and upgrading of these capacities will also support the implementation of improved RIA processes through information sharing, compelling communications and effective relationships across formal and informal communication networks.

67. **The essential RIA intrapersonal competency defined as ‘handling change’ requires attention in the case of Public Managers supervising technical staff with a RIA role (Gap 4).** About 60 percent of line ministry Public Managers do not appear open to change or seem inadequately prepared to handle changes with respect to managing their teams and processes, including those related to the preparation of regulatory proposals and substantiation notes (Table 4).

III.2.4. RIA role of Legal Drafter in charge of preparing or contributing to the elaboration of the regulatory draft

68. **Line ministries are well equipped with legal skills and the capacity to handle the drafting of regulation.** Out of the total number of ministry staff members interviewed, 29 percent reported being in charge of legal drafting or contributing to the elaboration of the regulatory draft (Figure 6). In addition, about 25 percent of staff with potential RIA role has mentioned to have contributed to the drafting of regulatory proposals in the last 5-7 years.

Essential competencies to perform an effective 'RIA Legal Drafter' role

69. **The essential technical competencies that a staff member needs to have in order to exercise an effective role of Legal Drafter are: 'legal framework acumen', 'knowledge of regulatory theory', 'perspective', and 'written communications'** (Table 5). Legal drafters need to possess very good knowledge of relevant legislation, both European and Romanian, along to the ability to apply this expertise when preparing complex legislation. Legal staff must have the ability to apply the principles of good regulation in order to achieve clearly defined and measurable policy objectives as well as the capacity to weigh multiple aspects of an issue and anticipate future consequences and trends. In addition, good writing skills are critical for transposing ideas and analysis into adequate legal terms.

70. **The management and coordination competencies essential for the role of Legal Drafter are 'customer focus', 'negotiating', and 'strive for quality'** (Table 5). These abilities refer to the capacity of the legal staff member to clearly understand and meet the beneficiaries' expectations and requirements, and to deliver the highest quality services through continuously improved processes. When communicating with other RIA team members, legal staff should possess the ability to resolve differences both through the use of evidence-backed arguments as well as through diplomacy and collaboration, and thus successfully fulfill their mandate and assigned responsibilities.

71. **The essential interpersonal competencies needed to act as an effective Legal Drafter are 'informing', 'listening', and 'political savvy'** (Table 5). These skills encompass the capacity to provide timely information in order to support the preparation of regulatory proposals and substantiation notes, the ability to communicate both via formal channels and informal networks, and the capacity to listen efficiently and gather key information from a wide range of stakeholders.

72. **The intrapersonal competencies considered essential in order to exercise an effective role of Legal Drafter have been defined as 'patience', 'standing alone', and 'time management'** (Table 5). This skill set refers to the capacity to thoroughly evaluate the available information before reaching a decision and being aware of the pace of other team members while meeting deadlines. In addition, as in the case of other RIA team members, legal drafters must be willing to take on complex and challenging assignment and be able to manage time effectively by concentrating efforts on key priorities.

Table 5: Status of essential competencies to be developed for RIA Legal Drafter role

		Essential CAT competencies to exercise an effective RIA Legal Drafter role:	Line ministry staff
1.	Technical	Legal Framework Acumen	30% to develop
2.		Knowledge of Regulatory Theory	75% to develop
3.		Perspective	75% to develop
4.		Written Communications	60% to develop
5.	Management and coordination	Customer Focus	75% to develop
6.		Negotiating	75% to develop
7.		Strive for Quality	60% to develop
8.	Interpersonal	Informing	60% to develop
9.		Listening	30% to develop
10.		Political Savvy	90% to develop
11.	Intrapersonal	Patience	50% to develop
12.		Standing Alone	30% to develop
13.		Time Management	30% to develop
Note: A share of 30 percent or less indicates that the competency is well-developed			

Well-developed RIA competencies for the role of ‘Legal Drafter’ in the line ministries

73. **The essential RIA competencies for a Legal Drafter in the line ministries that currently appear as well-developed are: ‘legal framework acumen’ (technical competency), ‘listening’ (interpersonal competency), ‘standing alone’, and ‘time management’ (intrapersonal competencies) (Table 5).** Legal staff appears to possess very good knowledge of relevant legislation, both European and Romanian, to be receptive to the opinion of the team and other stakeholders, and be willing to take on challenging tasks. Moreover, they seem to have solid time management abilities.

74. **Other well-developed competencies of line-ministry staff assuming the role of Legal Drafter can leverage the implementation of improved RIA processes. These include: ‘solving problems’ (technical competency); ‘collaborative relationships’ (interpersonal competency); ‘drive for results’, ‘integrity and trust’, and ‘perseverance’ (intrapersonal competencies) (Annex 4).** Legal staff members appear to possess the ability to solve problems and identify effective solutions and the capacity to engage in productive collaborative relationships and team work. In addition they report being willing to assume complex task and persevering in front of obstacles and challenges. These individual strengths are expected to support the successful implementation of updated and improved RIA processes.

Existing development gaps in RIA Legal Drafter capacities

75. **The technical competencies which need to be developed by legal staff in the line ministries involved in the RIA process include: ‘knowledge of regulatory theory’, ‘perspective’ and ‘written communications’ (Gap 1).** A significant staff segment (from 50 to 75 percent) needs to close capacity gaps for a number of essential skills such as knowledge of regulatory theory, the ability to discuss multiple aspects of a problem and to anticipate consequences and trends (Table 5). In addition, legal staff also needs to enhance writing skills, which are critical for an effective translation of RIA team work into adequate legal terms.

76. **The second skill set which has to be enhanced encompasses management and coordination competencies including: ‘customer focus’, ‘negotiating’ and ‘strive for quality’ (Gap 2).** A significant share of legal staff in line ministries involved in the RIA process (approximately 60 percent) reported a low or average personal level for the capacity to identify and meet beneficiaries’ expectations and to deliver a high quality performance in implementing their RIA role, by continuous collaboration and communication with the RIA team in finalizing a good regulatory draft (Table 5).

77. **Third, the essential RIA interpersonal competencies defined as ‘informing’ and ‘political savvy’ also have to be further developed (Table 5) (Gap 3).** The building and development of these capacities will support the implementation of efficient RIA processes through information sharing and effective relationships across formal and informal communication networks.

78. **Fourth, the essential RIA intrapersonal competency defined as ‘patience’ needs attention (Gap 4).** Approximately 50 percent of line ministry staff who fulfill the role of legal drafter appears to need development when it comes to the ability to take the time to identify and understand key facts before making judgments and acting, while retaining awareness regarding due process and proper pacing, and the necessity to follow established procedures (Table 5).

IV. CONCLUDING REMARKS

79. **This report proposes practical ways to address the gaps identified by the RIA capacity building assessment for all RIA roles identified.** Some of the recommended initiatives may target individual RIA competencies while other may aim to enhance the dynamics of specific teams or entire organizations in order to support the improvement of the RIA process. A sub-set of actions may require more complex changes, and therefore would imply the allocation of additional time and sustained effort, while others could be implemented within a short time frame and with a potentially significant impact on professional development and performance related to RIA.

80. **To support an effective and enhanced RIA process within public institutions that initiate regulatory interventions and to ensure the closure of the skills gaps, a systematic approach to capacity building is recommended.** The participating institutions have to start building and constantly update specific RIA-related skills among staff, improve employee motivation to achieve high performance, and encourage collaboration and the sharing of best practices with respect to RIA. Against this background, the proposed recommendations aim to address common gaps identified with regard to RIA roles. The majority of these proposed actions can be implemented in the short and medium term.

81. **Closing the capacity gaps identified for each RIA-specific role and leveraging the well-developed RIA competencies within each institution are top priorities recognized by representatives of GSG and DCPD and by counterparts from the line ministries.** Capacity-building initiatives that help address the RIA skills gaps include specialized training courses and workshops, especially when it comes to technical skills and management competencies. The development of RIA competencies will be also supported by the implementation of enhanced infrastructure, tools and incentive systems. These would include the redesign of specific job descriptions to formalize RIA roles, and to ensure appropriate people staffing and planning. Moreover, the introduction of RIA-related performance evaluation, reward and recognition, along to other on-the-job-training programs - such RIA-related developmental assignments, coaching, individual and group study, sharing of best practices, and participating in and leading RIA teams – would constitute substantial improvements that could increase staff productivity and performance quality.

82. **Specialized training and development courses need to be organized in order to close the development gaps identified for the essential RIA-relevant technical, management and coordination, interpersonal, and intrapersonal competencies:**

- **The first type of training should aim to improve capacity to conduct evidence-based analysis in order to substantiate regulatory proposals.** The program can focus on building and updating the RIA technical competencies required to prepare regulatory proposals and substantiation notes including ‘economic and business analysis’, ‘sector and industry-specific knowledge’; ‘risk analysis’; ‘social science acumen’; ‘solving problems’, ‘evidence-based decision maker’, ‘interpretation of data’, ‘written communications’ (Gap 1 for All RIA roles). The curricula would include methods and models for economic and business analysis; macroeconomics and sectoral analysis; econometric models, simulation

and forecasting; risk analysis; environmental impact analysis, sociological and demographic analysis; problem solving and decision making processes, including problem definition; data interpretation and processing; writing skills. The design and delivery will be conducted in several modules to cover each main type of analysis. In addition, the course would make use of case studies to combine theoretical knowledge with practical examples and exercises, and employ relevant IT software. The pedagogy of the course would allow all staff, including those without previous coursework in statistics, to accumulate knowledge and practice analytical skills. Specific modules of the course series could be taught by outside experts and senior analysts as well as by representatives from other governmental institutions.

- **The second type of training should aim to help public officials to design substantive and evidence-based regulatory proposals according to the principles of good regulation.** The program would achieve this goal by focusing on building and updating RIA technical and management competencies to draft and prepare regulatory proposals and substantiation notes including ‘knowledge of regulatory theory’, ‘written communications’, ‘legal framework acumen’, ‘customer focus’, ‘strive for quality’ (Gaps 1, 2, 3/All RIA roles; Gap 4/RIA Quality Control, Team Member). The curricula would include principles of good regulation; regulatory tools, policies and institutions; factors which influence regulatory proposals; principles of quality control and management; defining and achieving measurable policy objectives; best practices on key performance indicators dashboards to substantiate a regulatory proposal; best practices for promoting regulatory proposals; information on core relevant legislation, both European and Romanian, for sectors and industries which need better regulation. The design and delivery can include lectures, individual and group study, case-studies, essays, substantiation notes preparation and writing.
- **The third type of training should aim to help Public Managers and staff coordinating a RIA team to effectively lead and manage the RIA teams.** The program would achieve this goal by focusing on creating and enhancing leadership and management competencies including ‘managing and measuring work’, ‘planning’, ‘organizing’, ‘priority setting’, ‘building effective teams’, ‘developing people’, ‘motivating people’, and ‘influencing others’ (Gaps 2, 3/Team Leader, Supervisor). The curricula would include management and leadership skills required to lead high-performance teams. The audience would be composed of Public Managers from the line ministries and GSG-DCPP as well as staff members who are currently coordinating RIA teams or who show high-potential to assume such a role in the next future. The design and delivery of the training can include case-studies, lectures, individual, and group study.
- **The fourth type of training should aim to help the line ministry and DCPP staff with various potential RIA roles to effectively manage change and increase personal contribution to team performance.** The program would achieve its goals by focusing on building and updating the RIA intrapersonal competencies – ‘time management’, ‘planning’, ‘delegation’, ‘organizing’, ‘priority setting’ ‘drive for results’, ‘patience’, ‘handling change’, ‘standing alone’ (Gap 3/RIA Quality Control, Team Member, Legal Drafter; Gap 4/Team Leader, Supervisor, Legal Drafter). The curricula would focus on

time and personal management skills help staff to cope with change in an efficient manner. The design and delivery would include case-studies, lectures, individual and group study.

83. The leadership of participant institutions, including GSG Officials, ministers and department directors within line ministries as well as Public Managers, represent the key stakeholders to support the implementation of enhanced infrastructure, tools, and incentive systems. These resources and mechanisms can enable a robust and effective RIA process over time by addressing the developmental gaps identified in this area (subsequent to Gap 5/Paragraphs 29, 36), as follows:

- **Study tours and workshops to share experience with stakeholder Romanian institutions and other European counterparts**, focusing on the following RIA competencies: ‘technical competencies’, ‘informing’, and ‘political savvy’ (interpersonal competencies) (Gaps 1, 3/All RIA roles). The topics should include, among other: methods and models employed to prepare effective substantiation notes and good regulatory proposals; knowledge regarding regulatory tools, policies and institutions, and the dynamics between them; best practices for the promotion of a regulatory proposal; effective approaches for the adaptation of European legislation to the country-context. In this case, knowledge delivery can include exchange of opinions and debates, presentations, case-studies.
- **Championing the importance of the RIA process within public institutions to maintain staff motivation, enthusiasm and drive**, focusing on RIA interpersonal and intrapersonal competencies required by all RIA roles (All Gaps/All RIA roles). The type of initiative is strongly recommended for an effective RIA quality control performed by DCPD staff, but is also advised for the line ministries where awareness regarding the importance of the RIA process is not sufficiently developed. A proposed course of action for the DCPD, for instance, would entail that GSG officials take turn every three or six months for the role of “RIA Champion” in charge of overseeing RIA activities and raising awareness on the critical importance of impact assessment in the regulatory process. This role would also encompass the coordination of specific incentive programs to recognize staff high quality performance during specified time-frames. Similar framework could be followed in the line ministries with the departmental leaders taking turns in championing, promoting and reinforcing a high performance of functional RIA legislation initiatives.
- **Any new RIA process or changes to existing processes have to be well explained within all institutions with legislative and impact assessment roles** (All gaps/All RIA roles). Therefore, organizing in each institution workshops and information events for staff members involved in RIA should be a pre-requisite that provides the opportunity to discuss new RIA processes and staffing or training strategies, to understand and build commitment to the principles and values behind new processes, as well as to identify any needs to upgrade capacities in order to meet the requirements of the RIA focus and strategy.

- **Formally introduce a more flexible manner of working in teams across units, and coaching of new RIA staff** (All gaps/All RIA roles). While working in RIA teams is more advanced in the line ministers, this recommendation is especially applicable to the DCPP, where multifunctional representation and complementary skills (macro- and microeconomics, social issues, etc.) in RIA quality control-dedicated teams could leverage people availability, skills and experience, career and personal development needs. To ensure sufficient knowledge within a RIA team and during peak activity times in the RIA oversight process, all institutions with legislative and impact assessment responsibilities need to secure the involvement of all RIA-experienced people. In addition, to facilitate smooth work processes within the RIA teams, it would be critical to assign an experienced RIA coach or supporter for new team members, either newly hired, or newly coopted. Coaching also represents a learning opportunity for the knowledge provider as it facilitates the continuous upgrade of their interpersonal and intrapersonal competencies.
- **To ensure effectiveness of RIA staff roles, it is necessary to redesign formal job descriptions to include RIA-related responsibilities and tasks, as well as RIA competencies** (All gaps/All RIA roles). The job descriptions should include also RIA-relevant education and skills requirements that enable the completion of impact assessment tasks. This would allow management to conduct assessments of individual competencies through background reviews and testing - either upon hiring, or when joining a specific RIA team. Onboarding programs can thus be designed to be more relevant and educate staff regarding RIA processes. Moreover, this approach may allow for more differentiation in jobs and subsequently in career path and pay level. For example in the case of DCPP it could help delineate the differences between the ‘Expert’ and the ‘Counselor’ positions, by deciding upon the capacity and performance requirements with respect to impact analysis (substantiation notes) of regulatory proposals and RIA team coordination. However, this decision needs to be carefully planned according to the number of Counselors and Experts available for quality control within multifunctional RIA teams.
- **Include RIA-related Key Performance Indicators** at individual and team levels as part of the annual performance evaluations (All gaps/All RIA roles). The performance-based evaluation system can thus mitigate the seniority-based approach prevalent within the Romanian as it pertains to pay-level and career advancement, and help incentivize staff to be productive, innovative, and interested to assume a RIA role, thus also helping to reduce turnover levels.
- **Working as part of RIA teams should foster an environment that allows staff to benefit from on-the-job training through RIA developmental assignments** such as assuming roles in the drafting of complex legislation and impact analysis, as well as in the quality control process for complex and/or high impact regulations (All gaps/All RIA roles). In addition qualified public employees should have the opportunity to take charge of delegated tasks and coordinating a RIA team for a high impact regulatory proposal. Staff should also be able to participate in decisional meetings or within the RIA team in order to present and defend a specific regulatory proposal. This type of assignments may

require additional time and resources. However, their benefits can far outweigh the costs as they can help to empower staff and serve as a source of professional satisfaction, skill enhancement, and career development, and thus contribute to continuous improvement in staff performance.

84. A summary of proposed actions and training according to type of RIA role is provided below in Table 6:

Table 6: Recommendations to close the capacity building gaps by RIA role

	Team Leader RIA Role	Team Member RIA Role	Supervisor of RIA Technical Staff	Legal Drafter RIA Role	Quality Control RIA Role
Training course on evidence-based analysis to substantiate regulatory proposals	✓	✓			✓
Training course on designing regulatory proposals according to the principles of good regulation	✓	✓	✓	✓	✓
Training course on leadership and management skills	✓		✓		
Training course on handling change, time and personal management	✓	✓	✓	✓	✓
Study tours and workshops to share RIA best practices	✓	✓	✓	✓	✓
RIA Championing by top leadership in public institutions	✓	✓	✓	✓	✓
Communicating the new and improved RIA processes to the staff in the public institutions	✓	✓	✓	✓	✓
Operate by working in RIA teams	✓	✓	✓	✓	✓
Redesign job descriptions to include RIA-related responsibilities, tasks and requirements	✓	✓	✓	✓	✓
Include RIA-related Key Performance Indicators to monitor and evaluate staff within annual performance evaluations	✓	✓	✓	✓	✓
On-the-job-training through developmental assignments	✓	✓	✓	✓	✓

ANNEX 1. LIST OF PUBLIC ADMINISTRATION COMPETENCIES OF COMPETENCY ARCHITECT TOOL (CAT)

1. ECONOMIC AND BUSINESS ANALYSIS

Applies quantitative models and methods to predict outcomes of specific decisions, such as computable-generated equilibrium (CGE) models, micro-simulation models etc, and to assess, compare and contrast impact of alternatives identified; methods such as cost-benefit analysis, cost-effectiveness analysis, multi-criteria analysis, are part of his/her portfolio; understands and interprets financial reports for a company and is able to use financial mechanisms (e.g. calculating net present value through discounting – to evaluate in comparable terms current costs against future effects of a specific decision/solution; annualizing costs and benefits - to compare and contrast options with different time horizons etc); collects data and employs tools such as flow charts, Pareto charts, fishbone diagram etc to capture the forces, events, entities, and people that are affecting (or are being affected by) and to disclose meaningful patterns in the data and the situation at hand.

2. LEGAL FRAMEWORK ACUMEN

Has very good knowledge of relevant legislation, both European and Romanian; more important, exercises practical use of this knowledge, often in complex situations.

3. SECTOR AND INDUSTRY-SPECIFIC KNOWLEDGE

Understands the definition of relevant market/industries, knows the main players in the specific markets and industries; applies sectoral models after gathering the necessary information from various sources, including data related to the evolution of the specific sectors in similar countries; is able to quantify in monetary terms the impact on environment, health and the society in general.

4. RISK ANALYSIS

Knows and applies risk assessment methods to determine the best policy to deal with uncertain but potentially harmful consequences of a decision; where risks are not known precisely, the person applies a sensitivity analysis to test whether changes in the estimated parameters lead to significant changes in the outcomes; collects data and employs tools such as flow charts, Pareto charts, fishbone diagram etc to capture the forces, events, entities, and people that are affecting (or are being affected by) and to disclose meaningful patterns in the data and the situation at hand.

5. SOCIAL SCIENCE ACUMEN

Knows how various components of the society work and has acumen in the fundamentals of sociology and demography; knowledgeable in current and possible future policies, practices, trends, and information affecting his/her role, organization, marketplace and society.

6. SOLVING PROBLEMS

Approaches a market failure or situation by defining the regulatory problem or issue, identifying its causes and significance, breaking it down into its component parts and considering each part in detail; uses rigorous logics and methods to solve difficult problems with effective solutions; probes all fruitful sources for answers; can see hidden problems; looks beyond the obvious and doesn't stop at the first answers.

7. EVIDENCE-BASED DECISION MAKER

Makes good decisions based upon a mixture of evidence, analysis, wisdom, experience and judgment, by weighing the costs, benefits, risks, and chances for success; most of his/her solutions and suggestions turn out to be correct and accurate when judged over time; sought out by others for advice and solutions.

8. KNOWLEDGE OF REGULATORY THEORY

Understands and is able to apply the principles of good regulation to achieve clearly defined and measurable policy objectives; this includes the promotion of better regulation through the use of regulatory tools, policies and institutions in a flexible manner to adapt to unforeseen future events.

9. INTERPRETATION OF DATA

Reads and understands presentation of data analysis and summary of impact assessments; for instance is able to understand results of economic, financial, econometric, and other type of analysis, such as correlation tables; also, is able to present arguments to challenge sources of data, analysis results, and their presentation.

10. BUILDING EFFECTIVE TEAMS

Blends people into teams when needed; creates and contributes personally to a strong morale and spirit in his/her team; shares wins and successes; fosters open dialogue; lets people finish and be responsible for their work; creates a feeling of belonging in the team.

11. CREATIVITY

Comes up with new and unique ideas; easily makes connections among previously unrelated notions; tends to be seen as original and value-added in brainstorming and problem-solving settings.

12. CUSTOMER FOCUS

Is dedicated to meeting the internal and external beneficiary's expectations and requirements toward services rendered by his/her unit/organization; gets first-hand information and uses it for improvements in services; acts with customers and public in mind; establishes and maintains effective relationships with those and gains their trust and respect.

13. DELEGATION

Clearly and comfortably delegates both routine and important tasks and decisions; broadly shares both responsibility and accountability; tends to trust people to perform; lets direct reports and collaborators finish their own work.

14. DEVELOPING PEOPLE

Provides challenging and stretching tasks and assignments; holds frequent development discussions; is aware of each teammate's career goals; constructs compelling development plans and executes them; encourages others to accept developmental moves.

15. DRIVE FOR RESULTS

Can be counted on to exceed goals successfully; is constantly and consistently one of the top performers; steadfastly pushes self and others for results.

16. HANDLING CHANGE

Can effectively cope with change; can decide and act without having the total picture; takes actions in which the benefits to the efficiency and effectiveness of delivery are weighed against potential risks and uncertainty.

17. INFORMING

Provides the information people need to know to do their jobs and to make accurate decisions; is timely with the information.

18. INNOVATION MANAGEMENT

Is good at bringing the ideas of others to life; has a good judgment about which ideas and suggestions will work; can project how potential ideas may play out in the team, organization, marketplace and society; has a sense about supporting the creative process of others; can facilitate effective brainstorming.

19. INTEGRITY AND TRUST

Is widely trusted; is seen as a direct, truthful individual; can present the unvarnished truth in an appropriate and helpful manner; keeps confidences; admits mistakes; doesn't misrepresent him/herself for personal gain.

20. COLLABORATIVE RELATIONSHIPS

Relates well to all kinds of people, up, down and sideways, inside and outside the organization; builds collaborative, constructive and effective relationships and is a team player; uses diplomacy and tact and can diffuse high-tension situations comfortably.

21. LISTENING

Practices attentive and active listening; can accurately restate the opinions of others even when s/he disagrees.

22. MANAGING AND MEASURING WORK

Clearly assigns responsibility for tasks and decisions; set clear objectives and measures; monitors processes, progress and results; designs feedback loops into work.

23. INFLUENCING OTHERS

Communicates with inspiration, be it a vision, an outstanding solution or recommendations; talks about possibilities realistically; makes the vision or solution sharable by everyone; can inspire and motivate peers, direct reports or managers, entire organizations.

24. MOTIVATING PEOPLE

Creates a climate in which people want to do their best; can motivate many kinds of direct reports and team or project members; pushes tasks and decisions down; empowers others; invites input from each person and shares ownership and visibility.

25. NEGOTIATING

Can negotiate skillfully in conflict situations with both internal and external groups; can settle differences with minimum noise; can win concession without damaging relationships; can be both direct and forceful as well as diplomatic; gains trust quickly of other parties to the negotiations; has a good sense of timing.

26. ORGANIZING

Can marshal resources (people, funding, material, support) to get things done; can orchestrate multiple activities at once to accomplish a goal; uses resources effectively and efficiently; arranges information and files in a useful manner.

27. PATIENCE

Is tolerant with people and processes; listens and checks before acting; tries to understand the people and the data before making judgments and acting; waits for others to catch up before acting; sensitive to due process and proper pacing; follows established process.

28. PERSEVERANCE

Pursues everything with energy, drive and a need to finish; seldom gives up before finishing, especially in the face of resistance or setbacks.

29. PERSPECTIVE

Looks toward the broadest possible view of an issue or challenge; can anticipate the future consequences and trends accurately; can easily develop future scenarios; can think globally; can discuss multiple aspects and impacts of issues and project them into the future.

30. PLANNING

Accurately scopes out length and difficulty of tasks and projects; sets objectives and goals; develops schedules and task/people assignments for each process step; at specific milestones, measures performance against goals and adjusts course of action accordingly; anticipates and adjusts for problems and roadblocks.

31. POLITICAL SAVVY

Knows how to get things done both through formal channels and in the informal network and understands the cultures of organizations; is sensitive to how people and organizations function; anticipates where the land mines are and plans his/her approach accordingly; views organizational politics as a necessary part of life and works to adjust to that reality.

32. PRESENTATION SKILLS

Is effective in a variety of formal presentation settings: one-on-one, small and large groups, with collaborators, peers, direct reports and bosses; is effective both inside and outside the organization, on both cool data and hot and controversial topics; adjust presentation tactics midstream when something isn't working.

33. PRIORITY SETTING

Spends his/her time and the time of others on what's important; quickly closes the critical issues and puts the trivial matters aside; can quickly sense what will help or hinder accomplishing goal; eliminates roadblocks; creates focus.

34. PROCESS MANAGEMENT

Good at figuring out the processes necessary to get things done; knows how to organize people and activities; understands how to separate and combine tasks into efficient work flow; knows what to measure and how to measure it; can see opportunities for synergy and integration where others can't; can simplify complex processes; gets more out of fewer resources.

35. SELF-DEVELOPMENT

Is personally committed and actively works to continuously improve him/herself; understands that different situations and levels may require rapid learning of new skills and knowledge; seeks feedback; is sensitive to changing personal demands and changes accordingly; works to deploy strengths; works on compensating for weakness and limits.

36. STANDING ALONE

Will stand up and can be counted on when times are tough; doesn't avoid to assume personal responsibility; willing to be the champion for an idea or position; is comfortable even when working alone on a tough assignment.

37. STRIVE FOR QUALITY

Is dedicated to providing the highest quality services to meet the needs and requirements of internal and external customers; is committed to continuous improvement through empowering people and managing data; is willing to redesign processes from scratch; is open to suggestions and experimentation; creates a learning environment leading to the most efficient and effective work processes.

38. TIME MANAGEMENT

Uses his/her time effectively and efficiently; values time; concentrates his/her efforts on the more important priorities; gets more done in less time than others; can attend to a broader range of activities.

39. UNDERSTANDING GROUP BEHAVIORS

Understands why groups do what they do; picks up the sense of the group in terms of positions, intentions and needs, what they value and how to motivate them; can predict what groups will do across different situations.

40. WRITTEN COMMUNICATIONS

Is able to write clearly and succinctly in a variety of communication settings, languages and styles; his/her written messages determine the desired effect.

ANNEX 2. ESSENTIAL CAT COMPETENCIES BY RIA ROLE

Competency Architect Tool	RIA - Essential Competency	RIA - Technical Competency	RIA - Management Competency	RIA - Interpersonal Competency	RIA - Intrapersonal Competency
	-Line Ministry-				-DCPP-
- Competency - RIA-related Role:	Team Leader	Team Member contributor	Supervisor of technical staff (Team Leader or Member)	Legal Drafter	Quality Controller
(1) Economic and Business Analysis	Useful	Essential	Least	Least	Essential
(2) Legal Framework Acumen	Least	Least	Least	Essential	Useful
(3) Sector and Industry-Specific Knowledge	Useful	Essential	Least	Least	Essential
(4) Risk Analysis	Useful	Essential	Least	Useful	Essential
(5) Social Science Acumen	Least	Essential	Useful	Useful	Essential
(6) Solving Problems	Essential	Essential	Useful	Useful	Essential
(7) Evidence-Based Decision Maker	Essential	Essential	Essential	Useful	Essential
(8) Knowledge of Regulatory Theory	Essential	Essential	Essential	Essential	Essential
(9) Interpretation of Data	Useful	Essential	Least	Least	Essential
(10) Building Effective Teams	Essential	Least	Essential	Least	Least
(11) Creativity	Least	Useful	Least	Least	Least
(12) Customer Focus	Useful	Useful	Useful	Essential	Essential
(13) Delegation	Essential	Least	Useful	Least	Least
(14) Developing People	Least	Least	Essential	Least	Useful
(15) Drive for Results	Useful	Essential	Useful	Useful	Useful
(16) Handling Change	Essential	Essential	Essential	Useful	Useful
(17) Informing	Essential	Essential	Essential	Essential	Essential
(18) Innovation Management	Useful	Least	Useful	Least	Least
(19) Integrity and Trust	Useful	Useful	Useful	Useful	Useful
(20) Collaborative Relationships	Essential	Useful	Useful	Useful	Useful
(21) Listening	Least	Useful	Least	Essential	Least
(22) Managing and Measuring Work	Least	Least	Essential	Least	Least
(23) Influencing Others	Essential	Useful	Essential	Useful	Useful
(24) Motivating People	Least	Least	Essential	Least	Least
(25) Negotiating	Useful	Least	Useful	Essential	Useful
(26) Organizing	Useful	Least	Essential	Least	Useful
(27) Patience	Essential	Useful	Least	Essential	Least
(28) Perseverance	Least	Useful	Least	Useful	Least
(29) Perspective	Useful	Essential	Essential	Essential	Useful
(30) Planning	Essential	Least	Useful	Least	Useful
(31) Political Savvy	Essential	Least	Essential	Essential	Essential
(32) Presentation Skills	Useful	Useful	Useful	Least	Useful
(33) Priority Setting	Essential	Least	Essential	Useful	Useful
(34) Process Management	Least	Useful	Useful	Least	Least
(35) Self-Development	Least	Useful	Least	Useful	Least
(36) Standing Alone	Least	Useful	Least	Essential	Least
(37) Strive for Quality	Useful	Least	Least	Essential	Essential
(38) Time Management	Least	Essential	Least	Essential	Least
(39) Understanding Group Behaviors	Useful	Useful	Useful	Useful	Useful
(40) Written Communications	Least	Useful	Useful	Essential	Essential

ANNEX 3. INTERVIEW FORM

Public Institution/Ministry/Department: _____

I. Self-evaluation

Competency	1-low / 2-medium / 3-high
(1) Economic and Business Analysis	
(2) Legal Framework Acumen	
(3) Sector and Industry-Specific Knowledge	
(4) Risk Analysis	
(5) Social Science Acumen	
(6) Solving Problems	
(7) Evidence-Based Decision Maker	
(8) Knowledge of Regulatory Theory	
(9) Interpretation of Data	
(10) Building Teams	
(11) Creativity	
(12) Customer Focus	
(13) Delegation	
(14) Developing People	
(15) Drive for Results	
(16) Handling Change	
(17) Informing	
(18) Innovation Management	
(19) Integrity and Trust	
(20) Collaborative Relationships	
(21) Listening	
(22) Managing and Measuring Work	
(23) Influencing Others	
(24) Motivating People	
(25) Negotiation	
(26) Organizing	
(27) Patience	
(28) Perseverance	
(29) Perspective	
(30) Planning	
(31) Political Savvy	
(32) Presentation Skills	
(33) Priority Setting	
(34) Process management	
(35) Self-Development	
(36) Standing Alone	
(37) Strive for Quality	
(38) Time Management	
(39) Understanding Group Behaviors	
(40) Written Communications	

Please help by responding the following questions on your RIA role and contribution in respect to regulatory proposals and substantiation notes.

II. What are the roles and activities that you have fulfilled in the last 5 years?

- ◇ *Team leader coordinating a RIA team;*
- ◇ *Team member contributing to the development of regulatory proposals and substantiation notes; (economic and business analysis, econometric models, sectoral analysis, law and legislation, environmental impact analysis, sociological models, demographics, etc.)*
- ◇ *Supervisors for technical staff (both team leader and team member);*
- ◇ *Legal draughtsman drafting or contributing to the drafting of regulatory proposals;*
- ◇ *Quality control for the regulatory proposal and substantiation notes;*
- ◇ *Elaboration and checking of impact analysis of substantiation notes for a regulatory proposal;*
- ◇ *None of the above.*

III. Position: _____ **IV. Grade:** _____ **V. Gender:** ◇ F ◇ M

VI. Education and work experience:

	Bachelor*	Master*	Doctorate*	Work experience
Law				
Economics				
Social science				
Political science				
Exact sciences				
Others:				

*Alma mater

VII. What organizational means can facilitate your competency development in the process of regulatory impact assessment?

Grade **the availability** in your institution [from 1(total lack) to 5(fully applied)];

the importance to make use of your competencies [from 1(not relevant) to 5(very important)].

	Availability					Importance				
Data availability	1	2	3	4	5	1	2	3	4	5
Interoperability of databases	1	2	3	4	5	1	2	3	4	5
Coordination with other units/departments or ministries	1	2	3	4	5	1	2	3	4	5
ITC hardware	1	2	3	4	5	1	2	3	4	5
ITC software	1	2	3	4	5	1	2	3	4	5
Outsourcing analysis	1	2	3	4	5	1	2	3	4	5
Handbooks, guidance, support materials, legislation, etc.	1	2	3	4	5	1	2	3	4	5
Time	1	2	3	4	5	1	2	3	4	5
Training and development	1	2	3	4	5	1	2	3	4	5
Coaching, including by the direct manager	1	2	3	4	5	1	2	3	4	5
Participation in development of complex regulations	1	2	3	4	5	1	2	3	4	5
Delivering presentations on substantiation notes	1	2	3	4	5	1	2	3	4	5
Performance evaluation based on quality of impact analysis	1	2	3	4	5	1	2	3	4	5
Reward and recognition of quality RIA contributions	1	2	3	4	5	1	2	3	4	5

Others _____

Thank you for the contribution to the research undertaken by World Bank to strengthen the RIA framework in Romania!

ANNEX 4. CAPACITY DEVELOPMENT NEEDS ACCORDING TO CAT

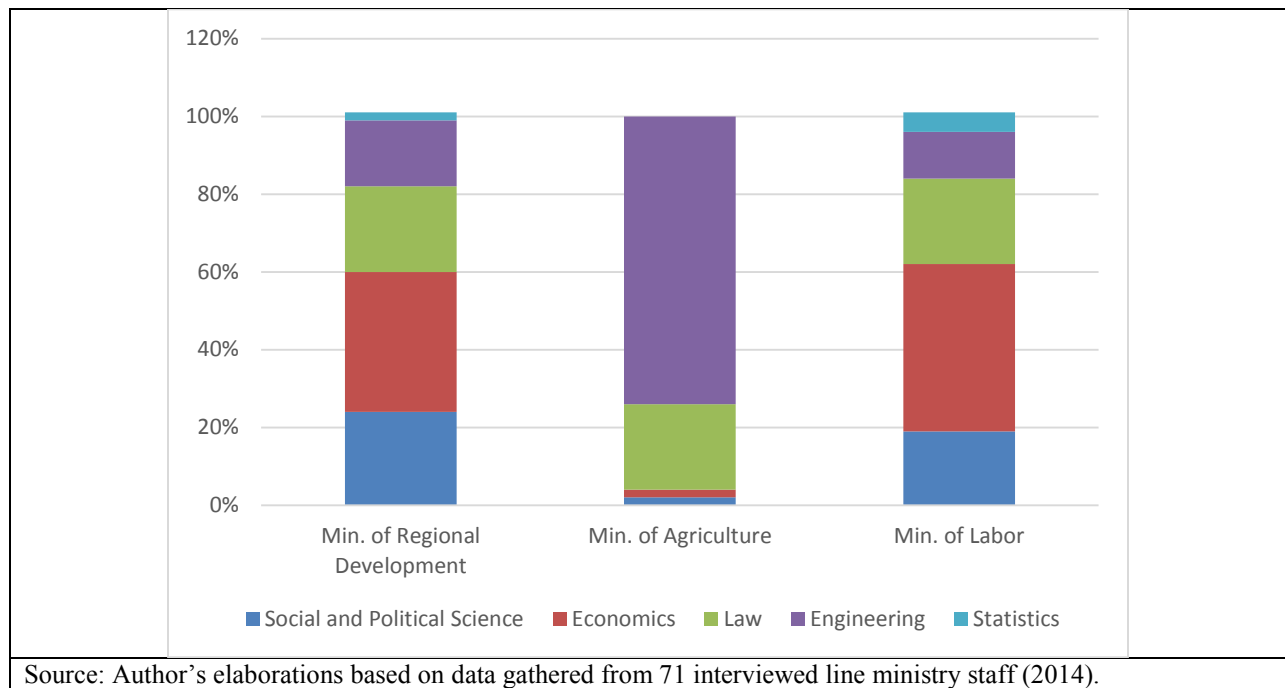
% of people who need RIA capacity development:

Essential CAT competencies to exercise an effective RIA role	Team Leader	Team Member	Supervisor of RIA People	Legal Drafter	Quality Controller
Economic and Business Analysis		75%			99%
Legal Framework Acumen		80%		30%	90%
Sector and Industry-Specific Knowledge		75%			99%
Risk Analysis		75%			99%
Social Science Acumen		75%			75%
Solving Problems	40%	50%		30%	25%
Evidence-Based Decision Maker	50%	50%	60%		50%
Knowledge of Regulatory Theory	75%	75%	75%	75%	75%
Interpretation of Data		60%			75%
Perspective		40%	40%	75%	
Written Communications				60%	30%
Building Effective Teams	60%		60%		
Customer Focus				75%	75%
Delegation	80%				
Developing People			75%		
Managing and Measuring Work			75%		
Motivating People			75%		
Negotiating				75%	
Organizing			60%		
Planning	60%				
Priority Setting	60%		50%		
Strive for Quality	25%			60%	40%
Informing	50%	40%	50%	60%	50%
Collaborative Relationships	25%	25%	30%	30%	25%
Listening				30%	25%
Influencing Others	50%		75%		
Political Savvy	75%		90%	90%	75%
Drive for Results		40%		30%	10%
Handling Change	60%	60%	60%		
Patience	25%			50%	
Standing Alone		25%	30%	30%	
Time Management		50%		30%	
Other competencies:					
Creativity		25%	25%		
Integrity and Trust		Well-developed	10%	10%	Well-dvdpd
Perseverance		25%	30%	15%	10%
Self-Development			30%		15%

ANNEX 5. RECOMMENDATIONS TO CLOSE CAPACITY BUILDING GAPS BY RIA ROLE

	Team Leader RIA Role	Team Member RIA Role	Supervisor of RIA Technical Staff	Legal Drafter RIA Role	Quality Control RIA Role
Training course on evidence-based analysis to substantiate regulatory proposals	✓	✓			✓
Training course on designing regulatory proposals according to the principles of good regulation	✓	✓	✓	✓	✓
Training course on leadership and management skills	✓		✓		
Training course on handling change, time and personal management	✓	✓	✓	✓	✓
Study tours and workshops to share RIA best practices	✓	✓	✓	✓	✓
RIA Championing by top leadership in public institutions	✓	✓	✓	✓	✓
Communicating the new and improved RIA processes to the staff in the public institutions	✓	✓	✓	✓	✓
Operate by working in RIA teams	✓	✓	✓	✓	✓
Redesign job descriptions to include RIA-related responsibilities, tasks and requirements	✓	✓	✓	✓	✓
Include RIA-related Key Performance Indicators to monitor and evaluate staff within annual performance evaluations	✓	✓	✓	✓	✓
On-the-job-training through developmental assignments	✓	✓	✓	✓	✓

ANNEX 6. EDUCATIONAL PROFILE BY LINE MINISTRY



Titlul proiectului: Consolidarea cadrului de evaluare a impactului reglementărilor în România

Title of the project: Strengthening the Regulatory Impact Assessment Framework in Romania

Editor: Secretariatul General al Guvernului României/ General Secretariat of the Romanian Government

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