



Llywodraeth Cymru  
Welsh Government

# **WeITAG 2017**

## Welsh Transport Appraisal Guidance

## Foreword



It gives me great pleasure to launch the Welsh Transport Appraisal Guidance 2017. Good quality, accessible, efficient and reliable transport systems and services are key to delivering our vision for a Wales that is prosperous and secure, healthy and active, ambitious and learning, united and connected. WeITAG 2017 will help to ensure that we prioritise our investment in transport schemes that support this vision.

WeITAG 2017 combines best practice in transport appraisal with the five case model for better business cases, to ensure that investment in transport is targeted where it can have the greatest impact.

Ken Skates, Cabinet Secretary for Economy and Transport



I welcome the Government's decision to revise this guidance to reflect the Well-being of Future Generations Act. It is a significant step in the right direction.

As well as being a legal obligation, the Act provides an opportunity to find transport solutions which support the wellbeing of people and planet.

Used alongside the technical documents including the Future Generations framework, this new guidance should enable the public sector in Wales to deliver a transport system which is fit for the future by giving us travel options that are low- or zero-carbon, mitigating air pollution problems, catalysing the green economy and making people, goods and services mobile in ways that do not cost the earth.

Transport solutions can deliver a wide range of benefits if they are planned and delivered in a way which reflects considerations wider than just transportation infrastructure or systems. This guidance encourages you to consider proposals in light of the benefits they may bring to all social, economic, environmental and cultural elements of well-being of Wales.

We must also use this new approach to deliver transport solutions which will take us into the next century and so I hope you will see this as an opportunity to challenge traditional thinking and find new solutions which will be fit for future generations.

Sophie Howe, Future Generations Commissioner for Wales

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## INTRODUCTION

### WHAT IS WELTAG?

WelTAG is the **Welsh Transport Appraisal Guidance**.

WelTAG is a framework for thinking about proposed changes to the transport system. It contains best practice for the development, appraisal and evaluation of proposed transport interventions in Wales. It has been developed by the Welsh Government to ensure that public funds are invested in a way that ensures they maximise contribution to the well-being of Wales, as set out in the Well-being of Future Generations (Wales) Act 2015 and to deliver the Act's vision of the Wales we want: a more prosperous Wales, a resilient Wales, which supports healthy, functioning ecosystems and recognises the limits of the global environment, a healthier Wales, a more equal Wales, a Wales of more cohesive communities, a Wales of vibrant culture and a globally responsible Wales.

WelTAG has been revised to ensure that it can drive this positive change and innovation in Wales, to ensure contribution to the seven national well-being goals and to embed the spirit of the Act such as through the reduction in raw material consumption, waste production, of moving us towards a low-carbon, clean energy, resilient and more equal society, of providing secure and well-paid jobs, and of building well-connected resilient environments for everyone in Wales. It must improve our lives and enhance our well-being whilst supporting a modal shift.

Under the Act, public bodies now have a duty to use **sustainable development** to shape everything they do, how it is done, and how it is communicated (via reporting), to show how they are contributing to the achievement of the well-being goals. This means that each public body must work to improve the four aspects of well-being in Wales: **economic, social, environmental** and **cultural**. To do this they must set and publish well-being objectives designed to maximise their contribution to each of the seven well-being goals. Public bodies must then take action to make sure they meet the objectives they set.

It is important that the way in which the WelTAG framework is used for thinking about proposed changes to the transport system helps public bodies fulfil their well-being duty, by reflecting wider policy priorities and principles to contribute to all four aspects of well-being. It is essential therefore that the **sustainable development principle** of the Act is applied to the way the WelTAG framework is used and at each step of the process.

The sustainable development principle is a fundamental part of how public bodies and public services boards must now operate. As such, all transport interventions in Wales must consider the needs of future generations as well as the present

The principle is made up of five ways of working that public bodies are required to follow when applying sustainable development. These are:

- Looking to the **long term** so that we do not compromise the ability of future generations to meet their own needs;
- Understanding the root causes of issues to **prevent** them from occurring or getting worse;
- Taking an **integrated** approach so that public bodies look at all the well-being goals in deciding on their well-being objectives;
- **Involving** a diversity of the population in the decisions that affect them; and
- Working with others in a **collaborative** way to find shared sustainable solutions.

WelTAG ensures a clear audit trail of decision-making, providing the justification for the promotion, or otherwise, of transport options. It is the mechanism for providing decision-makers with all the information they require to make a reasoned and auditable decision on all funding decisions.

As well as embedding the Well-being of Future Generations (Wales) Act 2015 (WFGA), WelTAG combines the principles of the HM Treasury Green Book and the Five Case Model for Better Business Cases, with WebTAG best practice for transport appraisal.

**Figure 1: WelTAG fit with HM Treasury Green Book and Five Case Model for Better Business Cases**

HM Treasury Green Book (ROAMEF)	Five Case Model for Better Business Cases	WelTAG Stages
(Feedback) Rationale Objectives Appraisal	Strategic Outline Case	Stage One
	Outline Business Case	Stage Two
	Full Business Case	Stage Three
Implementation Monitoring	Implementation	Stage Four
Evaluation Feedback	Post implementation	Stage Five

## WHO SHOULD USE WELTAG?

WelTAG is designed to be used by people who have local knowledge of the particular issues that have prompted the desire to consider improving the transport system. These may be central or local government officers, politicians, local community groups or members of the general public. As progress is made through the WelTAG process, WelTAG users may find it helpful to engage the services of specialist transport planners and analysts to assist in the identification of possible solutions and their likely impacts, both positive and negative, if adopted.

This guidance is written for anyone interested or involved in the development of any proposed intervention to deliver a more sustainable transport system for Wales. Many of these interventions will be schemes that involve the construction of new infrastructure, such as a railway station, cycle lane or new road. Others may be the provision of a service, such as the provision of travel advice or other interventions that require revenue rather than capital expenditure. WelTAG has been designed for use in the development of sustainable transport interventions but could also be usefully applied to the development of policies and plans. The Well-being of Future Generations Act requires public bodies to think in an integrated way (whilst also considering long term impact, preventing problems from occurring or getting worse, collaborating with others and involving citizens). WelTAG users are therefore encouraged to consider all options (including those not related to infrastructure development) for addressing a transport issue and to interact with others who could provide innovative solutions.

## WHEN SHOULD WELTAG BE USED?

WelTAG is recommended as the starting point whenever a problem is identified with the transport system or within another area but it is affected by, or affects, the transport system. The proposed solutions may lie entirely within the transport sector or may merge with or lie within other delivery areas such as health or education. In either case, the use of WelTAG is recommended as it provides a framework for thinking through the issues relevant to the decisions which are needed. It provides a mechanism for sharing an understanding of the issues surrounding the problem under investigation and possible innovative solutions across various sectors, not just transport. It will also encourage an integrated approach, both when considering the issues and identifying the solution delivering for every type of users of the service.

The WelTAG process must be applied to all transport projects funded in part or in full by the Welsh Government. It is recommended that it is used in the assessment of all interventions that affect the transport system, regardless of the funding source, as the WelTAG framework will assist in the development and design of the proposed scheme.

In the case of transport interventions that are not novel or contentious, well tested, likely to have a low impact, require minimal resources, and have clear project boundaries, it may be possible to combine Stages One, Two and Three. However users are encouraged to ensure that they are not missing innovative non-traditional solutions.

#### HOW DOES IT FIT WITH OTHER TRANSPORT APPRAISAL SYSTEMS?

WeITAG is applicable to all transport interventions, regardless of the transport modes affected. For some transport proposals which emerge from the WeITAG process, mode-specific transport guidance, such as the Governance for Railway Investment Projects (GRIP) process used by the rail industry and the Design Manual for Roads and Bridges (DMRB) guidance for highway schemes, will become relevant.

WeITAG should be used even in these cases. WeITAG has been designed to be complementary to these other processes, encouraging an integrated approach, and will not involve the duplication of effort. Rather, the information derived during the WeITAG process can be used in the development of these mode-specific projects. For example, a WeITAG appraisal may identify a rail option as the preferred solution which would then be subject to the rail industry's scheme development process. The evidence behind this decision and the data collected through the WeITAG appraisal will be relevant for the subsequent appraisal undertaken using the rail industry's GRIP guidance.

WeITAG is also complementary to the needs of other funding organisations, as well as the Welsh Government. Following the WeITAG process will provide much, if not all, of the information that is required for funding applications to other funding bodies and financial institutions.



## WELTAG PRINCIPLES

### WELTAG IS AN EVIDENCE BASED PROCESS

Well documented and robust evidence should underlie the whole of the WeITAG process.

The description of each possible solution identified in a WeITAG appraisal for the transport issue under consideration will include the actual outputs delivered, the anticipated impacts on people, the environment, the economy and culture, a narrative as to how the proposed intervention is envisaged to contribute to solving the problem being tackled, and how that conclusion was reached. Both the details of the anticipated impacts and the mechanisms by which the options will address the problem must be based on sound evidence. This will include evidence on the current state of the transport system, consideration of long term trends and its wider context.

The evidence may come from both quantitative and qualitative data sources including case studies of experience elsewhere. Users should also refer to the local Well-being assessments which have been completed by the Public Services Board in each area as this will provide insight into the social, economic, environmental and cultural issues in the area and will assist in determining the best options for meeting local well-being objectives. These datasets should be investigated before any bespoke surveys are commissioned. Over time, completed WeITAG scheme evaluations will become a valuable resource for use in the design, appraisal, and prioritisation of future schemes.

### WELTAG IS A PROPORTIONATE PROCESS

The level of detail provided in the WeITAG reports should be proportionate to the impacts under consideration. All major impacts and issues that could have a significant influence on delivery should be presented, but the level of detail in any analytical work should be proportionate to the scale and significance of the impact and sufficiently accurate for the decisions that need to be made.

A WeITAG appraisal should set out the whole range of foreseeable impacts of each of the proposed solutions. The level of detail required for the assessment of each of these impacts should be proportionate to the likely scale and severity of each impact.

Wherever there is a legal obligation to consider a particular impact, this must be stated in the appraisal documents, this includes the duties under the Well-being of Future Generations Act, the Environment Act, the Equality Act for example. (See Supplementary Guidance – Legislative Context). The appropriate level of assessment work must be undertaken before a final decision to implement any particular option is made.

## WELTAG IS A COLLABORATIVE PROCESS

Collaboration and involvement are important throughout a WeITAG appraisal. At the start of the process it will assist in understanding the current situation, setting objectives, producing a long list of possible solutions and outlining the range of likely impacts from those different solutions.

During the more detailed design and assessment of shortlisted options, engagement with the public and other stakeholders will assist in gathering evidence on the impacts of each of the proposed options and the consequences of doing nothing. Involving people affected by decisions in the process is a requirement of the Well-being of Future Generations Act and often facilitate the identification of new solutions which would bring most benefit to the seven well-being goals.

During the implementation and evaluation WeITAG stages, engagement with affected parties will assist in the gathering of evidence on the actual impacts, intended or otherwise, of the implemented solution, including how it's leading to improvements in well-being in Wales.

## WELTAG IS A DECISION MAKING PROCESS

The WeITAG process is designed to share understanding between those involved in making the decisions and those affected by those decisions. This underlies the importance of stakeholder involvement and public engagement in the gathering of evidence of the need for an intervention, the setting of the criteria against which proposed options will be assessed, and the likely impacts of each option. It could also help identify more innovative solutions to the issue. Ultimately though, decisions do need to be made and the WeITAG process is designed to provide the information needed by those making these decisions.

## WELTAG IS A LEARNING PROCESS

WeITAG is a process that leads to the development of better solutions. Following the WeITAG process will lead to a shared understanding of the problem at hand as well as the constraints that affect the possible solutions and an appreciation of the full range of impacts (including social, environmental, cultural and economic well-being) of the proposed solutions.

Over time, completed WeITAG reports and their supporting data will become an invaluable resource for learning about what does and doesn't work in particular situations.

## WELTAG STAGES

### INTRODUCTION

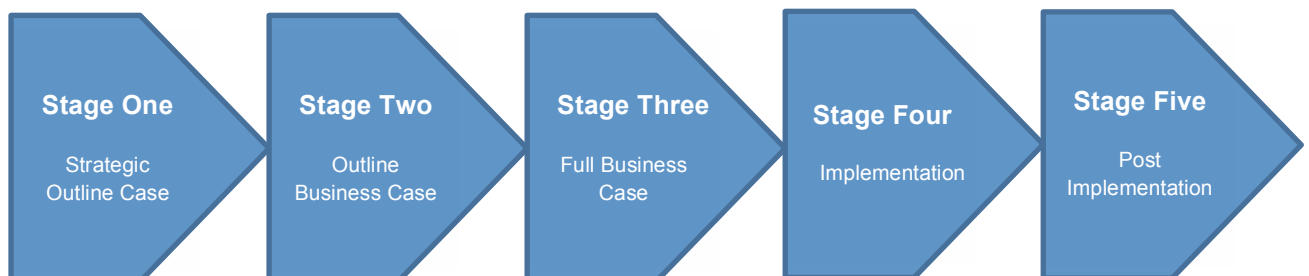
The WelTAG process covers the complete lifecycle of a proposed intervention in the transport system from assessment of the problem, consideration of possible solutions and scheme design, through to implementation and project evaluation.

Applying the sustainable development principle at each stage will ensure that time, effort and money is not spent considering options which would not maximise the public bodies' contribution to their well-being objectives and in turn to each of the seven well-being goals. It will also help ensure that the preferred option considers the needs of future generations. In doing so, it will help the public bodies involved in the intervention to fulfil their well-being duty.

There are five WelTAG stages; the first three stages lead up to the selection of the proposed intervention. The final two stages cover the period during and after implementation, recording what actually happens and is achieved.

For WelTAG studies that are not novel or contentious, that is they are low risk, routine, well tested, require minimal resources, have low impacts, and clear project boundaries, it is possible to combine Stages One, Two and Three.

The five stages of the WelTAG process are:



### PURPOSE OF STAGE ONE

The purpose of Stage One is to understand the issues of concern, explore the context and to present a wide list of possible solutions, sufficient to be able to decide whether there are any solutions within the transport sector that are worth pursuing and to select a short list of options for more detailed consideration. The key feature of this step is the application of the five ways of working to the consideration of possible solutions, to ensure the needs of future generations are considered, and understand how well they help public bodies to meet the well-being objectives and maximise their contribution to each of the seven goals.

It provides the opportunity to review whether there are non-transport or cross-cutting solutions. If these are identified then people with skills and experience in these areas should be involved in the WelTAG process.

Transport decisions should be taken with the view to maximise contribution to all seven national well-being goals, comply with other legal requirements and principles such as the need to reduce carbon emissions, promote active travel and promote equality and respect convention on human rights. In doing this benefit can be drawn from engaging early on with those who have relevant expertise outside of the transport sector.

### CONTENTS OF STAGE ONE

A clear evidence based description of the issue that needs addressing and the problems that are manifesting now or will do so in the future if no action is taken.

An analysis of the factors that are contributing to the problem is required, including looking at the root cause, as this will assist in the development of possible innovative solutions to deliver multiple benefits. This analysis should be narrative based, supported by evidence, and present the mechanism by which the factors identified are contributing to the issue under consideration. Links between transport and other sectors should also be explored.

The objectives for any proposed solution should be stated clearly. These are the objectives against which the proposed solutions will be judged. These objectives will come from:

- national objectives set by the Welsh Government such as the objectives set under the Well-being of Future Generations (Wales) Act 2015, including the need to think long term and innovatively to deliver multiple benefits
- objectives for the transport system as set out in the Wales Transport Strategy

- more focussed objectives, e.g. local well-being objectives set by public bodies involved in delivering the solution and where relevant, the Public Service Board objectives, or objectives developed for the particular issue under consideration.

A long list of options that could address the problem identified and recommendations on the options that should be taken forward to Stage Two based on:

- their ability to prevent, or solve the problem now and in the future;
- their ability to meet the objectives set and improve the social, cultural, environmental and economic well-being of Wales;
- their short and longer term impacts to deliver multiple benefits across the four aspects of well-being and maximise contribution to all seven well-being goals;
- their deliverability; and
- their robustness to uncertainty and potential to drive long lasting change.

A clear explanation should be provided of the reasons for these recommendations. This will assist the review group in deciding upon the shortlist of options.

Recommendations on the methods to be used to improve the evidence base in the Stage Two work should be presented in the delivery case. This involves identifying areas where more evidence is required and the proposed ways of collecting this evidence. This could include further analysis of existing data, evidence from case studies elsewhere, the collection of primary data, and the use of computer models.

Following the principle of proportionate appraisal, the analysis does not need to be exhaustive at this stage but should identify the key impacts and issues that would affect the selection of options for further consideration in Stage Two.

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#### ACTIONS AT END OF STAGE ONE

- Decide whether there are any transport options, or other solutions that can address the issues identified.
- Select a short list of options to be taken forward to Stage Two, based on their ability to solve the problem, their fit with local, regional and/ or national objectives, their positive impacts across all aspects of well-being, their deliverability and robustness under uncertainty and potential to drive long lasting change.
- Agree the impacts, across all aspects of well-being, to be considered during Stage Two including the methods to be used to provide additional evidence where required.
- Identify any legislative requirements that are relevant to and need to be met during Stage Two. (See Supplementary Guidance – Legislative Context)
- Document the decisions of the Stage One Review Group, and the basis for these decisions.

### PURPOSE OF STAGE TWO

The purpose of Stage Two is to examine in greater detail the short list of options for tackling the problem under consideration.

Stage Two is the time when the mechanisms by which the proposed option will lead to the desired outcomes should be explored in more detail. This enables the appraisal team to consider how the proposed solution will lead to the desired outcomes, maximising contribution to the objectives and well-being goals and use this understanding to refine the design of the options and identify any key dependencies and constraints.

The Stage Two report sets out for the Review Group how each of the proposed options will meet the stated objectives, the anticipated impacts of each option and the ways in which the context of the scheme will affect the achievement of objectives. It should also consider the robustness of the proposed options to meet its objectives using sensitivity testing and scenario analysis including consideration of future scenarios. Key risks and dependencies should be presented.

Stage Two provides the evidence required for the Review Group to select a preferred option to take forward to Stage Three. The Stage Two report therefore needs to state clearly the issues which will be pertinent to the choice of the preferred option. This includes presenting evidence of the impacts on particular groups of people or areas, dependencies and key risks which could affect the achievement of the anticipated outcomes and an analysis of the positive and negative impact on social, economic, environmental and cultural well-being and the achievement of local, regional and/or national well-being objectives.

### CONTENTS OF STAGE TWO

Stage Two reviews any relevant changes that may have occurred in the transport system and its wider context since the completion of Stage One.

It describes each of the short listed options and how each would meet the objectives set out in Stage One. This involves a description of the mechanisms involved between the delivery of the option to the anticipated impacts.

A Five Cases assessment is presented for each of the short listed options, with a separate presentation of the strategic, transport, management, financial and commercial case for each option and the contribution towards the well-being goals. The transport case should summarise the key social, cultural, environmental and economic impacts of each solution that are relevant to the decisions taken at the end

of Stage Two. It should also highlight the options delivering the broadest improvement across all the well-being goals. We expect those options that are taken forward to be those that maximise the contribution to all four aspects of well-being. The supporting evidence and details of the appraisal methodologies used to examine these impacts must be provided in the WelTAG Impacts Assessment Report.

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#### ACTIONS AT END OF STAGE TWO

- Determine whether there are any transport options that can address the issues identified, contributes positively to the well-being goals and objectives, and can be delivered within technical and financial constraints
- Select a preferred option to be taken forward to Stage Three
- Agree the methods to be used to provide additional evidence where required for Stage Three
- Identify any legislative requirements that need to be met during Stage Three
- Document the decisions of the Stage Two Review Group, and the basis for these decisions.

### PURPOSE OF STAGE THREE

The purpose of Stage Three is to make a full and detailed assessment of the preferred option to inform a decision as to whether or not to proceed to implementation.

The detailed design and appraisal work should be used to refine the design and to inform any complementary measures that are needed in order to more fully realise the benefits of the proposal and seek to maximise contribution to the well-being goals whilst helping to mitigate any adverse impacts and resolving potential conflicts.

The completion of Stage Three will provide much of the information needed for applications to funding organisations and any mode-specific appraisal procedures.

Knowing the full specification of the scheme, the details of the anticipated impacts and the narrative as to how the proposed intervention will meet the objectives and its likely impacts, will assist in the planning of the monitoring and evaluation which will be carried out in Stages Four and Five.

In many cases, Stage Three will have been prepared using an estimated cost. After the procurement exercise, a final price and set of defined deliverables will be available. The Stage Three report should be updated to reflect the final agreed project price, scope and deliverables. This document should be used in the evaluation work carried out in Stages Four and Five.

The monitoring and evaluation plan should be written during Stage Three and presented in the management case. It should identify the requirement for the collection of data which needs to be carried out in advance of the project's implementation. There may be relevant evidence in the local well-being assessment. It will also allow for determining the budget required to cover the cost of conducting the monitoring and evaluation work. This should be included in the costs of the intervention and arrangements made to ensure that these funds will be available when required for the short and long term post opening evaluation.

### CONTENTS OF STAGE THREE

Each dimension of the Five Cases should be completed, with a level of detail proportionate to the scale and/or significance of the impacts and the associated risks and using the five ways of working set out in the Well-being of Future Generations Act. Issues affecting the deliverability of options, the realisation of the anticipated benefits and the mitigation of adverse impacts must be covered.



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## ACTIONS AT END OF STAGE THREE

- Determine whether a transport option exists that can address the issues identified, contributes positively to the well-being goals and objectives, and can be delivered within technical and financial constraints.
- Select the preferred option for procurement. Alternatively, decide not to continue with the preferred option and select an alternative option identified at Stage Two to take forward to Stage Three.
- Agree the monitoring and evaluation plan and describe the methods that will be used to provide the evidence required during and post-implementation. Procure any required 'before' studies. Make arrangements for the future funding of the monitoring and evaluation work.
- Document the decisions of the Stage Three Review Group, and the basis for these decisions.

### PURPOSE OF STAGE FOUR

The aim of Stages Four and Five is to record what happens so that lessons can be learnt. They may lead to alterations to the current scheme and will form valuable evidence for use in future WelTAG appraisals.

The purpose of Stage Four is to record what is actually delivered, the wider context at the time at which the scheme is delivered, and to record the impacts that actually occur during implementation.

This allows for an immediate alert if there are any unintended adverse impacts during implementation and can assist in the realisation of any benefits. It also acts as a record of what is actually delivered which is required in the Stage Five evaluation work.

Records should be kept of the impacts during implementation as these will be required to evaluate both the process of implementation and the outcomes. External events which could affect the evaluation should be recorded as they occur, such as adverse weather events, changes in legislation, the outcomes regarding key risks identified at Stage Three, and any changes made to the scheme during implementation.

### CONTENTS OF STAGE FOUR

The evaluation in Stages Four and Five should consider the areas covered in each of the five cases in Stage Three. This means that it will need to consider both the process of delivering the scheme and the impacts of the scheme itself.

The structure of the Stage Four report should follow the Five Cases. There should be a summary chapter at the beginning of the report that displays the evaluation using a logic map. A logic map should have at least four elements as illustrated in this example for a new bus lane:

Context: number of bus passengers, cyclists and car trips along the corridor before implementation; changes in bus/rail fares, fuel prices and (town centre) car park charges.

Inputs: cost of delivering the bus lanes e.g. labour and equipment.

Outputs: location of bus lane, length of bus lane.

Outcomes: actual change in bus journey times, any change in car journey times, change in number and percentage of trips made by bus, cycle and car along the corridor, reduction in carbon emissions, levels of pollution, and where possible to measure wider benefits to health, a low carbon economy,

equality of access to transportation options, safety etc, to ensure improvement of wider well-being and well-being goals.

A summary of any relevant events that occurred during implementation and any changes in the context, such as changes in fuel prices, adverse weather events which will assist in the evaluation of the process of implementation and the scheme itself in the Stage Five report.

The report then follows each of the five cases and presents a comparison of the outturn events with those anticipated in the Stage Three report. The report should also consider the impact of any changes between the predicted context and impacts of the scheme and the actual context and impacts when the scheme was implemented.

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#### ACTIONS AT END OF STAGE FOUR

The 'before' studies should be completed in good time so as to record the situation as it was before implementation. Unless a significant time has elapsed since the completion of Stage Three, this information should already have been collected for use in Stage Three and will be available in the WelTAG Impacts Assessment Report and the accompanying data store.

If the observed impacts differ from the anticipated impacts then an interim Stage Four report should be produced to record this, and to offer ways of maximising any unintended benefits or to mitigate any unintended adverse impacts. The final Stage Four report will record an immediate post opening evaluation recording the actual outputs delivered and the initial impacts. This should cover the first six months of operation and be completed within 12 months after opening or implementation of the intervention.

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### PURPOSE OF STAGE FIVE

The main purpose of Stage Five is to record what actually happened, to compare this against the anticipated impacts, to learn lessons and to share this learning with those involved in the development of future interventions in the transport system.

Monitoring and evaluation of the intervention is invaluable for:

- accountability in the use of public funds; and
- learning what works and what hasn't worked, ensuring citizens/ users' experience can feed in to this
- Demonstrating progress towards the well-being objectives and goals.

If unanticipated issues arise, the Stage Five work can be used to inform measures to mitigate unforeseen adverse impacts or to build upon unforeseen benefits.

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### CONTENTS OF STAGE FIVE

The Stage Five report will be the permanent record of what was achieved and the report on the lessons learnt. It covers both the process of delivering the scheme and the impacts of the scheme itself.

There should be a summary chapter at the beginning of the report that sets out the key findings of the evaluation work and the lessons learnt. The longer term evaluation of the project should be summarised using a logic map.

A summary of any relevant events that occurred during and after implementation and any changes in the context, such as changes in fuel prices, land-use, or travel patterns which will assist in the evaluation of the process of implementation and the scheme should be presented clearly. An explanation of how these affected the scheme, the realisation of the anticipated benefits, and any adverse impacts should be provided.

The report then follows each of the five cases and presents a more detailed comparison of the outturn events with those anticipated in the Stage Three report for each of the five cases.

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### ACTIONS AT THE END OF STAGE FIVE

Produce a record of what was delivered, an evaluation of the process of delivering the option, a record of the actual impacts compared to the anticipated impacts and an assessment of the extent to which it met the original objectives.

A summary of the lessons learnt for use by others in future WelTAG appraisals, thereby completing the ROAMEF cycle.

## **Summary of the WeITAG process**

### **STAGE ONE**

Identify issue(s) that need(s) addressing

Establish SMART objectives

Develop long list of possible solutions, including non-transport interventions

Assess long list options against objectives

#### **ACTION:**

Select short list of options to take forward to next Stage

Agree methodology for impacts assessment work in next Stage

### **STAGE TWO**

Identify effectiveness of each short listed option in meeting the scheme objectives

Identify likely impacts of each option and contribution to well-being goals

#### **ACTION:**

Selection of preferred option to take forward to next Stage

Agree methodology for any additional impacts assessment work required in next Stage

### **STAGE THREE**

Complete all five cases for preferred option

#### **ACTION:**

Go / no-go decision for preferred option / take another option to Stage Three

### **STAGE FOUR**

Deliver preferred option

Record details of context of delivery

Monitor process of delivery

Monitor impacts during delivery

#### **ACTION:**

Short term monitoring and evaluation report

### **STAGE FIVE**

Record details of the context surrounding the project and its delivery

Monitor impacts of adopted solution

Evaluation of process of delivery of the adopted solution

Evaluation of actual outcomes

#### **ACTION:**

Apply lessons learnt to future scheme development and appraisals

## WELTAG FIVE CASES

The contents of each Stage Report must be presented using the structure of the Five Cases Model used by the Welsh Government and HM Treasury.

The Five Cases, as applied to transport appraisal, are described in more detail in the next chapter of this guidance. In summary the Five Cases are:

- **Strategic** case: the case for change, fit with policies and well-being objectives
- **Transport** case: does the proposal offer good public value for money and maximise contribution to the well-being goals?
- **Financial** case: is the proposed spend affordable?
- **Commercial** case: how can the scheme be procured, is it viable?
- **Management** case: is the scheme achievable? Can it be delivered?

The amount of detail available for each of the Five Cases will vary between the cases in the early stages of the WelTAG process, but by the end of Stage Three all the Five Cases should be complete.

During Stage One the strategic case will be almost fully developed as this sets out the need for change. The transport case will provide an initial assessment of the expected impacts of each of a long list of options for tackling the issue under consideration. At this Stage the assessment will be based predominately on currently available evidence. The delivery, commercial, and financial cases will be of a preliminary nature but must consider all the key issues which would affect the selection of options taken forward for further investigation.

By the end of Stage Two the strategic and transport cases must be virtually complete and more information provided on the delivery, commercial, and financial cases for the shortlisted options.

By the end of Stage Three all Five Cases need to be complete.

For Stages Four and Five, the appraisal work should compare actual events against anticipated impacts and report on what has actually happened in the areas covered by each of the Five Cases. The monitoring of outcomes during implementation in Stage Four will allow for adjustments to be made, if required, to realise the benefits of the intervention and mitigate any unforeseen adverse impacts. The longer term evaluation provided in Stage Five covers both the process of delivering the scheme and the outcomes achieved. This makes WelTAG a learning process and future WelTAG appraisals will benefit from the sharing of experience gained elsewhere.

## STRATEGIC CASE

### *Do we need it?*

The strategic case tells us if we need change and why. It presents an evidence based description of the current situation, describes the likely future situation if no action is taken, and presents the reasons why an intervention is required. It includes details of the wider context for the proposed intervention, including key trends in non-transport areas such as job availability and the environment. It is critical that long-term trends, impacts and consequences are considered so that decisions being made today have a positive impact on future generations.

An analysis of the factors that are contributing to the problem is required, as this will assist in the development of possible solutions. This analysis should be narrative based, supported by evidence, and present the mechanism by which the factors identified are contributing to the issue under consideration. Links between transport and other sectors should also be explored. Consideration should also be given to preventative solutions so that the problem reduces over time. Innovative solutions should also be sought.

The strategic case establishes **Specific Measureable Achievable Realistic Time-bound (SMART)** objectives that have been established for the particular issue under consideration in the WeITAG appraisal. These are the objectives against which the proposed solutions will be judged. These objectives will come from:

- The well-being goals, the national objectives set by the Welsh Government such as those included in the Well-being of Future Generations Act
- objectives for the transport system as set out in the Wales Transport Strategy
- more focussed objectives, e.g. local well-being objectives, or objectives developed for the particular issue under consideration.

The strategic case needs to set out, in summary form, the narrative as to how each of the proposed solutions is intended to change the situation. This includes a description of the mechanisms by which the solution will lead to the desired change.

The strategic case describes the key constraints which will affect the design and implementation of solutions to the challenge identified. It is also necessary to explain any key dependencies, with other transport measures, or changes in other sectors and areas, which could affect the success of otherwise of the solution achieving the anticipated outcome. Any significant adverse impacts on particular groups of people or locations should be identified, as well as any major risks which could affect the delivery of the scheme, the realisation of the anticipated benefits, or the mitigation of adverse impacts. Due consideration should be given to the need to resolve potential conflicts between the impacts. The five ways of working should be used to consider and evidence these.

## **Strategic Case Checklist**

The Scope, Case for Change and Objectives should be completed at Stage One, updated and verified in Stages Two and Three.

### **Scope**

- Description of the study area, what is in scope, what is not in scope
- Maps and plans

### **The Case for Change**

- Current situation including the wider context – what are the problems and opportunities and how have they been arrived at?
- Likely 'do nothing' situation if no action is taken
- The key factors behind the current situation
- Long term trends
- How can the problems be prevented from getting worse or occurring in the first place?
- Who are the key stakeholders and how will they be involved?
- What is the strategy to engage and consult on the proposed changes?
- What other policy areas should be considered (integration) and who will you collaborate with to maximise benefits?

### **Objectives**

- National general objectives including the well-being objectives and goals
- Fit with the well-being objectives of other public bodies
- National transport objectives based on the Welsh Transport Strategy
- Local objectives (eg. well-being)
- SMART objectives for this problem
- Measures of success – how will success be measured?

### **Long list of options: (at Stage One)**

- How the long list was developed
- List of options, showing evidence of consideration across modes and non-transport sector solutions
- For each option:
  - Description
  - How it tackles the problem
  - To what extent it meets the objectives, including contributing to local, regional and/ or national well-being objectives
  - Other relevant issues (key risks, adverse impacts, constraints and interdependencies)

### **Short list of options: (from Stage Two onwards)**

- How the short list was derived
- For each option:
  - Description
  - How it tackles the problem
  - To what extent it meets the objectives, including contributing to local, regional and/ or national well-being objectives
  - Other relevant issues (key risks, adverse impacts, constraints, and interdependencies)



## TRANSPORT CASE

### ***What is the impact?***

The transport case tells you what the expected impacts of the project are, how the project will contribute to the well-being goals and whether a project will provide value for public money. This is the equivalent of the 'Economic Case' (Option Appraisal) in HM Treasury's Green Book. This is calculated by thinking about social, cultural, environmental and economic costs and benefits of each option.

The transport case is an evidence based assessment of

- what the impacts will be;
- the scale of those impacts;
- where and when they will occur; and
- who / what will experience them.

A WeITAG appraisal should consider the wide range of current impacts caused by the problem under examination, the likely impacts into the future if no action is taken, the difference that the proposed intervention would make now and in the long term, and any other impacts that would result from the implementation of the proposed solution.

The significance and scale of the impacts of each option should be presented using a seven-point scale, as follows:

- Large beneficial (+++)
- Moderate beneficial (++)
- Slight beneficial (+)
- Neutral (0)
- Slight adverse (-)
- Moderate adverse (- -)
- Large adverse (- - -)

Where an impact has not been analysed yet, this should be made clear by using NYA (not yet analysed). Care must be taken to present all of the impacts which would affect the decision as to which options are taken forward to the next stage.

An examination of possible impacts should range widely so as to capture as many impacts as possible. Impacts should be presented in an Appraisal Summary Table. The impact assessments (statutory and non-statutory) should be integrated with consideration of the contribution of each option to the well-being goals. We expect those options that are taken forward to be those that maximise contribution to all four aspects of well-being.

At Stage One, the assessments of the impacts are likely to be mainly qualitative with indications provided of the numbers of people affected. Much of the evidence used will come from existing data sources and evaluations of relevant previous projects elsewhere. A small amount of primary data collection may be required such as passenger, pedestrian, cyclist or traffic counts and surveys of conditions on the transport network such as queue lengths and overcrowding levels. Where the project is designed to deal with a less tangible problem, exploratory qualitative surveys may be required to uncover the extent of the problem and suggest possible solutions.

During Stage Two, the level of quantification of the impacts should increase for those impacts which are relevant to the decisions that need to be made. By Stage Three all relevant impacts should be quantified, alongside qualitative assessments, if appropriate methods for doing so are available. At these stages, the more detailed assessment of impacts may require the collection of more evidence. This may come from additional quantitative or qualitative surveys or from the output of a model of the transport system. In each case, the proposed means of providing this additional evidence should be set out in the Management Case of the previous Stage Report.

The choice of model structure and the methods and data used to build that model depends upon the nature of the problem under consideration, the scale of investment and the type of anticipated impacts. The Department for Transport publishes detailed technical advice on transport modelling in their WebTAG documents which may be of assistance.

The aim of the transport case at each stage is to present decision makers with a summary of each potential impact, indicating the nature of the impact, its severity and which groups of people or locations will be affected. The impacts may well be beneficial for some groups but adverse for others and the WebTAG Stage Reports should set this out clearly. Every effort should be made to resolve potential conflicts. The level of analysis needs to be sufficient to provide the relevant information for the decisions that need to be taken at the end of each Stage.

The appraisal work should not assign weightings to the impacts but may prioritise the SMART objectives in order to differentiate between options.

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## VALUE FOR MONEY

The benefit cost ratio informs the value for money assessment which is one of many criteria used to inform the decision on whether to proceed with the proposed intervention. The core benefit cost ratio should include the same monetised benefits as included in the DfT's TUBA software. Additional items, such as wider economic impacts, can be included in a second figure known as the wider benefit cost ratio. Full details of the methods used to assemble the evidence used in the strategic and transport case should be provided in the WebTAG Impacts Assessment Report.

The value for money assessment should take account of the full life costs and the non-monetised costs and benefits of options, including their wider social, environmental and cultural benefits.

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## METHODS FOR ASSESSING IMPACTS

WelTAG is not prescriptive about the methods that should be used to assess impacts as this is a continually developing field, but the methods used should be appropriate for understanding the extent and severity of each impact. The proposed methods to be used for assessing impacts during the next Stage should be set out in the Stage Report for the previous stage and agreed by the Review Group.

As a general rule, the methods used to assess quantifiable impacts should follow the advice set out by the Department of Transport in their Transport Appraisal Guidance (WebTAG), including use of the Health Economic Assessment Tool (HEAT) to calculate the benefits of increased walking and cycling. This does not preclude the additional use of innovative appraisal techniques where these can provide further insights into the likely impacts of a scheme or support the narrative as to how the proposed intervention will lead to the anticipated outcomes.

The sources of evidence provided to predict future impacts should make use of both quantitative and qualitative research methods. During Stage One much of the appraisal work will be based on secondary data (data sources already available) but as the appraisal continues new, primary data will be needed.

For some schemes transport, environmental and financial models will be used to provide evidence on impacts in the future both of not intervening in the transport system and the outcomes of the alternative interventions under consideration. All such models should be fully documented in the WelTAG Impacts Assessment Report and copies placed in a data store.

Evidence from case studies elsewhere in the UK and further afield may be useful in the appraisal work, although relevant differences in the context of the case study and the proposed application in Wales should be explained.

## **Transport case checklist**

### **Introduction**

- Outline approach
- List options tested and assumptions made

### **Impact Assessment**

- List of social, cultural, environmental and economic impacts considered
- Summary of methods used to assess impacts, including five ways of working
- Who/ what is affected and how?
- Summary of the key qualitative / quantitative supporting evidence
- Consideration of how each option contributes to all of the well-being goals.
- Consideration of resolution of any potential conflicts.
- Costs: likely range of values of total lifetime costs and a central estimate. Identify costs to public sector. Specify risk allowance and optimism bias.
- Benefits: including social, cultural, environmental and economic: likely range in value of total lifetime benefits and central estimate; providing qualitative / quantitative supporting evidence. Identify key risks leading to changes in realisation of benefits and appearance of adverse impacts.

### **Value for money assessment**

- Benefit Cost Ratio (BCR) for each option
- Adjusted BCR
- Value for money band – poor/ low/ medium/ high/ very high

### ***Is it affordable?***

The financial case tells you whether an option is affordable in the first place and the long term financial viability of a scheme. It covers both capital and revenue requirements over the life time of the project and the implications of these for the balance sheet, income and expenditure accounts for public sector organisations.

Any funding gap must be made clear. Potential sources of external funding to meet capital and revenue shortfalls should be identified and the key requirements and criteria of those funding bodies stated.

Risks affecting the level and timing of income from third parties such as fares income from users should be identified and where these revenue streams come from the private sector, links should be made with the details provided in the commercial case.

### **Financial Case Checklist**

The following considerations should be made in outline at Stage One, completed by Stage Two, updated and verified in Stage Three:

#### Lifetime costs of the project

- When will they occur?
- Price at time when they will occur, including appropriate allowance for inflation
- Who will pay what costs and when, including maintenance liabilities?
- Details of risk allowances and contingencies
- Whole-life cost if available, including costs for re-use, disposal at end of life etc.
- Also environmental, social and cultural impacts and externalities.

#### Source of funding

- Where will the money come from when it is needed over the lifetime of the project?
- Who is liable for any repayments for borrowed funds?

#### Accounting implications

- On whose balance sheet will the costs and revenues appear?

## COMMERCIAL CASE

### *Is it viable?*

The commercial case tells you if a scheme will be commercially viable, whether it is going to be possible to procure the scheme and then to continue it in to the future. It focuses in particular on the level and type of involvement of the private sector in each option. This includes items that affect the delivery of the option and its on-going viability, for example, will there be an on-going need for revenue support, will there be any charges levied on users or non-users and the allocation of risk for the provision of the project and during its on-going operation.

The commercial case details how, and to what extent, the private sector can be involved in the procurement and on-going delivery of each option. The commercial case also covers any issues relating to key contractual arrangements and the possible transfer of staff under TUPE agreements.

If third party finance and contributions are needed to raise the funds for the scheme or to allow for its on-going operation, then the commercial case must set out the commercial arrangements for providing this finance, its likely cost and any issues affecting the likelihood of obtaining this finance.

### **Commercial Case Checklist**

The following considerations should be made in outline at Stage One, completed by Stage Two, updated and verified in Stage Three:

- Specification of required outputs
- Procurement options – promoting local where possible
- Suppliers: private and / or public sector; number and experience of likely suppliers
- Payment mechanism e.g. linked to performance and availability
- Details of any income produced and charging levels
- Risk allocation and transfer
- Contract length
- Human resource issues such as impact on existing staff, TUPE regulations

## MANAGEMENT CASE

### *Is it achievable?*

The management case tells you if an option is achievable. This case covers the delivery arrangements for the project and then its management during its life time. It covers the arrangements for the procurement, construction and on-going operation of the intervention, details of the monitoring arrangements and the undertaking of the evaluation plan. The management case should embed the five ways of working.

The costs of the monitoring and evaluation work should be included in the transport and financial case and the arrangements for providing the funding for these tasks when required, and details of how these services will be delivered, should be described in the management case.

At Stage One, the management case should set out which organisation and groups will sit on the Review Group that meets at the end of each WelTAG Stage. This group will consider the contents of the Stage Report and decide on the actions to be taken at the end of each Stage.

The Review Group also considers the methods to be used in assessing the impacts of the option(s) to be taken forward to the next stage. The recommendations on additional evidence and modelling requirements are made in the management case. The Review Group may wish to make use of specialist technical assistance on the choice of assessment methods, particularly for major schemes or schemes with major impacts on particular groups of people or locations.

### **Management Case Checklist**

- Project plan with milestones, including key assurance and approval checks
- Is delivery based on tried and tested methods, what is innovative?
- Are there any legal requirements e.g. environmental assessments, health impact assessments, planning consents, legal powers?
- Links to needs identified in well-being assessments
- Governance, organisational structure and roles during subsequent stages
- Project reporting arrangements
- Communications and stakeholder management plan
- Benefits realisation plan
- Monitoring and evaluation plan, including the need for any before studies
- Risk management strategy
- Contingency plan

## WELTAG REPORTS

### INTRODUCTION

There are three types of reports that should be produced in a WelTAG process:

- Stage reports;
- WelTAG impact assessment report; and
- Monitoring and evaluation plan.

### STAGE REPORTS

The Stage reports should be a concise summary of the WelTAG work. They should be clear and easy to read, use non-technical language, and use maps and diagrams where appropriate. The Stage reports should set out the key findings from the detailed evidence collected throughout the WelTAG process, and make reference to the location of the detailed evidence behind the statements made.

The WelTAG reports at Stages One, Two, and Three present a summary of the expected impacts of the proposed interventions, who or what will experience these impacts and the potential to realise the positive benefits and mitigate any adverse effects and resolve conflicts. In Stages One and Two, areas of incomplete knowledge should be made clear in the Stage Report. By the end of Stage Three, the report should include complete information on all the anticipated impacts at the level of detail appropriate for the scale of the impact under consideration. Low risk schemes can combine Stage One, Two and Three reports.

The Stages Four and Five reports should summarise the evidence on the impacts that actually occurred. These reports should contain details of the wider context surrounding the implementation that affected the scheme such as weather conditions during construction, conditions on other travel models, fare and fuel prices.

The reason for recording the actual impacts that occurred is to evaluate the implemented scheme and to provide the data needed to compare the expected impacts and outcomes with what actually happened. The purpose of this exercise may lead to modifications of the scheme but will also provide feedback to people planning future interventions. It is this feedback which makes WelTAG a learning process.

The feedback may lead to modifications/ improvements in the design of future interventions to support positive change, and / or changes in the methods used to understand what the likely impacts of an intervention will be.



### INTRODUCTION

It is crucial that decision makers, stakeholders and the general public are aware of the wider circumstances and context of the issue which is the subject of a WeITAG appraisal. This information will cover a wide range of subject areas, not just transport, and should highlight key dependencies with other factors.

The detailed evidence, data and analysis underlying the statements made in the WeITAG Stage reports are presented in a separate document known as the WeITAG Impact Assessment Report (IAR).

The IAR is a live document that builds up during the five WeITAG stages. It contains the analysis underlying each stage and is written for a technical audience. It presents detailed evidence on the anticipated impacts of each option under consideration and underpins the summaries of those impacts presented in the WeITAG stage document. The level of detail in the assessment will increase through the WeITAG stages and the IAR should state clearly any gaps in the evidence and set out the plans for filling these gaps. It should also integrate with any other relevant assessments that have been undertaken for that issue or location.

The IAR should contain details of the judgements made and assumptions behind the assessments provided in the Stage Report. It should also provide a clear statement of the assumptions made and an analysis of the uncertainty surrounding the assessments.

The IAR contains a catalogue of the items deposited in the accompanying data store. This data store contains a copy of all the data and other evidence used in the appraisal work such as census data, surveys and analytical models. Transport and other models often develop in detail over time so a copy of any models should be placed in the project's data store, as they were at the end of each stage i.e. when the relevant Stage Report was written. In this way they become a record of the supporting evidence available at the time decisions were taken at the end of each Stage.

The IAR becomes a permanent record of the appraisal work on the proposed transport intervention. It contains the detailed evidence behind the summary information provided to decision makers in the Stage reports. A record should be kept of the IAR at the end of each Stage, as a record of the evidence used to make the decisions at each Stage.

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## EVIDENCE BASED PROCESS

Wherever possible, digital data should be stored in common file formats such as csv or shapefiles that can be opened using open source software, such as QGIS. This will enable those carrying out work at later WelTAG stages, such as the Stage 5 evaluation work, to be able to re-create the original work and carry out the evaluation work using the same, current, version of any software being used. This will assist in the production of comparable outputs, even if there have been software changes since the initial work was undertaken.

A copy of all evidence used by those writing any Stage Reports must be kept by the authors of those reports. It is acceptable to use secondary data and analysis produced by others but a full reference to the original source of this evidence must also be provided in the IAR and, wherever possible, a copy of the material provided in the data store.

Details of the quality assurance, verification and validation checks of any models used to provide evidence for a WelTAG appraisal should be provided. This includes models constructed using spreadsheets as well as those built with specialist software. The checks should ensure not only that the model is implemented without errors but that the correct form of analysis has been carried out.

It is the responsibility of those using any non-Welsh Government websites to check the source of the data provided on these sites and to keep fully referenced copies of the data downloaded from them for future use.

There will always be uncertainty over analysis work. The key sources of uncertainty and how these could affect the analysis and any recommendations should be set out in the Stage Reports. The IAR will contain further details over these uncertainties and the work carried out to understand how these would affect any recommendations, such as the results of sensitivity tests on key inputs and model parameters.

Scenario analysis may be useful for considering how robust the analysis is to changes in the context of the problem under consideration, current trends in travel behaviour and the key inputs into any transport modelling work undertaken such as fuel prices, income levels and population projections.

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## EXPECTED IMPACTS

The WelTAG reports at Stages One, Two, and Three present a summary of the expected impacts of the proposed interventions, who or what will experience these impacts and the potential to realise the positive benefits and mitigate any adverse effects.

The WeITAG Impacts Assessment Report should contain full details of the evidence, data and methods used to support the statements made in the Stage reports. The level of detail in the assessment will increase through the WeITAG stages and the WeITAG Impacts Assessment Report should state clearly any gaps in the evidence and set out the plans for filling these gaps.

By the end of Stage Three, there should be complete information on all the anticipated impacts at the level of detail appropriate for the scale of the impact under consideration. In Stages One and Two, areas of incomplete knowledge should be made clear in the Stage Report. The WeITAG Impacts Assessment Report should contain details of the judgements made and assumptions behind the assessments provided in the Stage Report. It should also provide a clear statement of the assumptions made and an analysis of the uncertainty surrounding the assessments.

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## REALISED IMPACTS

The reports at the end of WeITAG Stages Four and Five should contain evidence of the impacts that actually occurred. This should contain details of the wider context surrounding the implementation that affected the scheme such as weather conditions during construction, conditions on other travel modes, fare and fuel prices.

The reason for recording the actual impacts that occurred is to evaluate the scheme implemented and to provide the data needed to compare the expected impacts and outcomes with what actually happened. The purpose of this exercise may lead to modifications of the scheme but also will provide feedback to people planning future interventions. It is this feedback which makes WeITAG a learning process.

The feedback may lead to modifications in the design of future interventions and / or changes in the methods used to understand what the likely impacts of an intervention will be.

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## DATA STORE

The data store forms a record of the appraisal work undertaken. It should contain a review of the evidence taken from other sources used in the appraisal process and copies of any new evidence produced. This new evidence may be qualitative, such as the results from surveys and focus groups or quantitative, such as the analysis of patronage and fares data and the outputs of transport, financial, environmental or other models.

The data should be clearly catalogued and documented. Wherever possible, data should be stored in standard file formats such as text or csv files rather than file formats used by commercial software. Full notes should be provided on the software used to produce any models and sufficient information and data presented so that the models and their outputs can be reproduced by others in the future.

The WeITAG Impacts Assessment Report should contain a catalogue of the data, models and other evidence sources used in the appraisal and held in the data store. It should record which items are publicly available and those which have restricted access due to issues such as personal or commercial confidentiality.

The data store should be complete at each stage of the Transport Appraisal, provided in appropriate electronic format to the project promoter, and should be agreed before moving to the next stage.

The project promoter should retain the data store in an appropriately recorded location until at least the completion of Stage Five. Given the potential size of the data store the most appropriate method of storage may be a standalone memory device.

## MONITORING AND EVALUATION PLAN

A detailed monitoring and evaluation plan should be drawn up in Stage Three. This plan should describe what evidence will be used in the project's evaluation report and how it will be collected. Evidence is required on the actual inputs used when implementing the scheme and during its on-going operation, what was actually delivered, the impacts experienced, to what extent the intervention met its objectives and how they were achieved.

The monitoring and evaluation plan should also set out the timetable and resources required for producing the evaluation reports produced during Stages Four and Five.

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## CONTEXT INFORMATION

Information of the context surrounding the intervention should be prepared using available evidence, such as changes in fuel prices, general growth in traffic levels and public transport usage in the wider area. It is recommended that a project diary or log is maintained during the implementation and operation of the intervention. This can be used to record events such as the weather, when there are changes in fuel prices, public transport fares and/or car park prices, and when new developments opened, which could be expected to affect the realisation of and level of impacts caused by the intervention.

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## AVAILABLE EVIDENCE

The evidence used to present the context, inputs, outputs, intended outcomes and actual impacts should be based as far as possible on currently available data. The monitoring and evaluation plan should describe how use will be made of relevant

data that is already collected and will be available when the evaluation report is written.

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## BESPOKE EVIDENCE

The monitoring plan will detail where data will be collected specifically in order to evaluate the proposed intervention. This may include surveys such as focus groups with users and non-users of the intervention and qualitative surveys. Where a significant sum of money is proposed for surveys, either in absolute terms or as a proportion of the total cost of the intervention, then a detailed description of the proposed survey and a justification of the need for the surveys should be presented in the monitoring plan.

The level of use of any part of the transport system is subject to daily variation and evidence should be provided on the degree of daily variation generally found in the area. This information can be obtained from automatic traffic counters, public transport operator data and automatic cycle counters.

The WeITAG reports produced at Stages Four and Five should present the evidence on the impacts of the scheme. Both beneficial and adverse impacts should be recorded. The report should also include any impacts which occurred but were not anticipated during the early stages of the appraisal but were observed during and after implementation.

## REVIEW GROUP

A Review Group should be appointed for each WeITAG appraisal. The purpose of the Review Group is to consider the contents of the WeITAG Stage Reports, assess each of the options presented, and decide on the actions to be taken at the end of that WeITAG stage. The WeITAG Impacts Assessment Report contains the more detailed analysis that lies behind the material presented in the Stage Reports. This should also be made available to the Review Group.

The size and composition of the Review Group should be set out in the management case in the Stage One report, and should seek to involve individuals from a range of backgrounds and expertise including across the four aspects of well-being (social, cultural, environmental and economic). In many organisations the same Review Group will consider all the WeITAG appraisals being produced. Over time this Group will learn from the experience of previous appraisals. Even for low risk schemes a Review Group should be held as this provides an opportunity for peer review of the appraisal.

Depending on the scope of the intervention under consideration, it is recommended to designate an independent reviewer for the project. That role should be fulfilled by someone with experience or knowledge of the issues but who is not part of the programme team. Their role is to provide an impartial and independent review of the evidence and the development of the case. All medium and high risk projects should include a review panel member with a high degree of active travel expertise.

The following table is a guide to the type of assessment and Review Group for different scales of projects:

<b>Project Risk</b>	<b>Project characteristics</b>	<b>Assessment Type</b>	<b>Review Group</b>
High	Large, novel, complex, significant impact, sensitive, significant resources required	Gateway Review or equivalent	Project Manager, SRO/ Project Board, Experienced independent practitioners from a range of backgrounds
Medium	Previously tested approach, moderate level of impact, some sensitivities, some degree of resource commitment	Peer Review	Project Manager, SRO/ Project Board
Low	Routine, well tested, experienced, minimal resource, low impact, clear project boundaries	Self Assessment	Project Manager, SRO

## REFERENCES

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