# **WelTAG Supplementary Guidance**

# **Checklists for review groups and gateway reviews**

This note provides checklists for project managers and review groups to help plan work, monitor progress and review documents.

This is one of a series of notes that supplement WelTAG. It assumes that you have read and are familiar with WelTAG.

Please note that these supplementary guidance notes are still in development. We would welcome any comments or feedback to [weltag@gov.wales](mailto:weltag@gov.wales).

## Guidance

These checklists are designed to help review groups and decision-makers (such as Welsh Government officials acting on behalf of Welsh Ministers) review WelTAG reports to ensure that they of the appropriate quality and contain the required information.

If those reports do not address the issues in the checklists, they should be revised and resubmitted before progressing the policy, programme or project.

These checklists can be adapted to meet the specific needs of the project, policy or programme, for example by adding specific requirements such as Gateway Reviews.

It might be useful to refer to the checklists in any procurement documentation so that bidders know in advance what is expected.

Note: ‘they’ refers to the team or person who prepared the report. These can be consultants or in-house staff.

The checklists cover:

* general requirements – all reports
* stage 0 case for change,
* scoping (including engagement plan and brief),
* WelTAG lite,
* WelTAG standard stage reports,
* Integrated Well-being Appraisal,
* WelTAG plus, and
* projects using TAG that require funding from Welsh Government.

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## Checklists

### General requirements - all reports

Have they taken WelTAG into account?

Is the document within the maximum word limit?

Is it easy to read and clear? Has all repetitive or formulaic information been removed?

Does it provide an informed argument rather than just numerical scoring tables?

Do the annexes provide appropriate supporting information?

Will the document enable Welsh Government (or other funders) to assess value for money using the five criteria?

### Stage 0 case for change checklists

#### The context and background

Have they set out the relevant priorities in the Wales Transport Strategy (WTS) and other strategic documents?

Have they explained how these relate to their local and regional planning and transport priorities?

Have they identified local opportunities to deliver against those priorities, eg. an Active Travel Network Map (ATNM)?

Has there been any prior stakeholder engagement around this issue, and if so, have they identified the issues that were raised?

Has there been any previous work relating to this issue and what did it conclude?

#### The problem

Have they described the problem that needs to be addressed and why it needs to be addressed? This includes what problems might arise in the future if no action is taken now. Problems should be related to meeting our WTS priorities and targets for modal shift and decarbonisation.

Do they understand the root cause of the problem including the mechanisms that are contributing to it? Is it a transport problem or do the issues lie somewhere else (for example in land-use planning)?

Have they identified specific local barriers that need to overcome to solve the problem? For example, is the issue lack of infrastructure or are the issues related to other barriers such as remote location, poverty, attitudes to cycling or accessibility?

#### The objectives

Are there clear objectives for intervention?

Are those objectives SMART - specific, measurable, achievable, realistic and time-bound?

Are those objectives specific enough to differentiate between options as the project develops?

What will happen if no action is taken?

Do those objectives reflect the WTS priorities?

Do those objectives reflect local, regional or national planning priorities set out in Future Wales or the Local Development Plan (LDP)?

Do they reflect regional transport priorities?

Is there an assumption that the solution will increase car or road usage or is the project, programme or policy open to other solutions?

#### Engagement

Have the authors spoken to key stakeholders about the case for change?

Do they have broad agreement from those who may be affected about the need for action?

Is there evidence from previous stakeholder engagement exercises and if so, has that been used to inform the case for change?

#### Next steps

Have they identified how the final, policy, programme or project will potentially be funded?

If so, is there more than one potential funding source and do they have different requirements (eg. a project potentially funded by UK Government might need to use TAG)?

Have they explained who will make the decision on that funding and the criteria that will be used?

Have they identified how the development work be funded?

Have they explained who will do the scoping work for the potential policy, project or programme and who will need to approve the scoping work?

### Scoping exercise

#### Case for Change

Is there case for change and has it been approved internally and by the relevant funding body?

#### Scoping process checklist

What information already exists that can help inform this project, policy or programme? Is there previous modelling, evaluation, appraisal reports or other data?

Can you use that information to establish baseline data or do you need new research?

What are the potential risks and impacts for the project?

What further background research is needed to develop the project, programme or policy (eg. data collection or review of previous schemes)?

Who will develop and design the project, programme or policy and explore options?

Will the project require planning consent? If so, are there statutory impact assessment requirements?

What technical studies are needed such as transport modelling, surveys, or carbon modelling?

What kind of engagement will be needed including consultation, a review group or other forms of engagement?

Does the project, policy or programme require other impact assessments such as equality or Welsh language?

Who will prepare the Integrated Well-being Appraisal (IWBA)? How will that feed into the design process including options selection?

What are the likely governance requirements for the project?

What are the arrangements for sign offs and check ins?

What are the key milestones and deliverables?

### WelTAG lite, WelTAG or WelTAG plus?

#### Criteria for WelTAG lite

Is the project identified in a transport policy or programme, eg. National Transport Delivery Plan (NTDP) or a Regional Transport Plan (RTP)?

Has it already been identified in a LDP, NTDP, RTP or on an ATNM that has already been through an appraisal process including public engagement and relevant impact assessments?

Is it a straightforward fit with WTS targets, priorities and ambitions?

Is there already agreement from stakeholders through earlier consultations?

#### Criteria for WelTAG standard

Is the potential project, policy or programme large or complex?

Is the potential project likely to be multi-modal?

Does it involve an innovative delivery method or compulsory land purchase?

Are there design issues that might require more than one stage to narrow down options?

Is it likely to go to public inquiry?

Is it potentially controversial?

Is there a possibility that it may not deliver against the targets, priorities and ambitions in the WTS?

Will it require statutory impact assessments before the choice of options can be finalised?

Might there be conflicts between different well-being priorities?

#### Criteria for using WelTAG Plus or TAG

Does the potential project, policy or programme require funding from UK Government?

Might there be potentially adverse well-being impacts such as higher carbon emissions or higher levels of car use?

Might it involve new road provision?

Might it involve novel and contentious solutions?

Could it be highly controversial?

#### Check list for contents of a scoping report (or implementation or execution plan)

Background information including the case for change,

Potential sources of funding including capital and revenue funds,

Scope of work to take the project, programme or policy forward including exploring options, and developing the business case,

Specific requirements eg. mode-specific standards, planning requirements or the potential for issues such as compulsory purchase,

Potential risks and impacts of the project,

The chosen approach to WelTAG (lite, standard or full) and the justification for doing so,

Arrangements for preparing the IWBA and any supporting statutory impact assessments,

Proposals for monitoring and evaluation,

Governance arrangements,

Timetable and milestones,

Next steps,

Engagement plan, and

Written briefs for consultants or delivery teams.

#### Engagement plan review checklist

Does the plan explain the background including the case for change, the purpose of engagement and who has written and been involved in developing the plan?

Has it reviewed any previous stakeholder engagement around this or related projects, and the lessons from that?

Does it identify the different groups or individuals they need to engage with and why they need to engage with them?

Does it set out the different engagement methods they will use? Are they appropriate for each group? Do those methods include active engagement rather than just formal consultation?

Does the plan address any accessibility issues?

Will the project policy or programme need a project review group and if so, have they set out the terms of reference, role and potential membership?

If there will be a Project Review group, does the plan identify the proposed membership, terms of reference and roles?

Does it explain how feedback from the engagement process will be dealt with?

Is there a clear timetable and milestones?

Who will undertake the engagement and what skills they have?

How will any risks be dealt with?

Are you confident that the engagement process will feed into the design of the eventual project?

#### Next steps

Who needs to approve the scope and any funding?

Who will take the project forward and commission any consultants?

#### Brief or specification checklist

Does it explain the purpose of the work including the case for change and any objectives?

Is the context and background to the project clearly set out including previous work?

Have the specific work requirements been set out (eg. WelTAG report, statutory impact assessment, IWBA, design work, modelling, engagement, evaluation or delivery work)?

Have they set out the methods?

Are consultants expected to use the five ways of working and if so, how?

Are there clear milestones for delivery?

How will the consultant engage with the project team, the review group or others involved in the project?

Is there an indicative budget?

Have they provided as much supporting information as possible?

Have any constraints been explained – such as confidentiality or ethical issues?

How will risks be managed?

What arrangements are in places for dealing with any potential changes during the project?

Have they explained what information potential bidders should provide?

Are there clear criteria for how bids will be assessed and for the quality and expectations of the work itself? What will happen if work falls short of that standard?

Does the brief or specification also address other relevant contractual requirements, design standards or other performance measures?

## WelTAG Lite Checklists

#### Process

Has the project team met the requirement for specific check-ins or gateway reviews, including submitting previous drafts of reports if needed?

#### Case for change

Is there a clear justification for intervention?

Have the ‘do nothing’ and ‘do minimum’ options been considered?

If the ‘do nothing’ and ‘do minimum’ options have been discarded, is there a clear justification for that? For example, how will we meet targets on modal shift if nothing is done?

Have they made use of the menu of different options for WelTAG including planning or behaviour change options? Or have they simply decided on a particular transport intervention without considering other options?

Have they used the sustainable transport hierarchy to include options that make best use of existing infrastructure before thinking about new infrastructure?

Have they thought creatively about those options? Do they include non-transport options such as behaviour-change measures or digital innovations?

Can they show how they have selected their final option and why?

#### The scheme description

Are there drawings and design work in enough detail to assess costs?

Is there a project specification?

Have they addressed barriers to access in their design?

Are there details of project costings including long term operating costs?

Is there a procurement strategy?

#### The full business case

How will the policy, programme or project deliver against the objectives in the case for change?

Is there a clear strategic fit with Welsh Government priorities and local priorities?

Is there a clear statement of the impact of their project on well-being in Wales?

Has the engagement process informed and shaped the project?

Is the work package affordable and are they clear about likely funding sources?

Can all of the elements of the work package be delivered?

Are there proper arrangements in place to oversee and monitor the delivery of the work package?

#### Supporting information

Is there an IWBA?

Does the project, programme or policy need other statutory impact assessments and have they been completed?

Has the engagement plan been updated to cover the delivery phase of the project?

Has the implementation (or execution) plan been updated to show how the project will be delivered?

Is there sufficient supporting information about the project including details of costs, project specification and procurement details?

#### Integrated Well-being Appraisal (see below for more detailed questions)

Does the IWBA address each of the four well-being ambitions in the WTS (social, environmental, economic and place-based and cultural)?

Has it provided qualitative and quantitative information based on the measures in the WTS monitoring framework?

Is it supported by the relevant statutory and regulatory impact assessments?

Have the findings of those impact assessments been considered in the design of the work package, policy or programme?

Has that information been used to design in benefits and designed out any potential harm?

Do the well-being benefits outweigh the disbenefits?

#### Engagement

Have the project team spoken to partners and stakeholders during the process of developing their project, policy or programme?

Do they have broad agreement from those who may be affected about the need for action?

#### Monitoring and evaluation

Are there arrangements in place to monitor delivery of the project, policy or programme?

Have they identified who will prepare and submit annual performance reports?

Have they identified how they will measure success?

Is there an arrangement to review the project, policy or programme after it is complete?

## WelTAG standard checklists

### Stage 1 strategic outline case checklists

#### The long list of options

Is there a clear justification for intervention?

Is it clear why the “do nothing” or “do minimum” options have been discarded? What impact will that have on for example, modal shift targets or other ambitions in the WTS?

Have they made use of the menu of different options including planning and behaviour change options?

Has the Sustainable Transport Hierarchy been used to include options that make best use of existing infrastructure before thinking about new infrastructure?

Have the team thought creatively about options for delivering the objectives or have they simply chosen one?

Do the options include non-transport options such as behaviour-change measures or digital innovations?

#### The short list of options

Is there a short list of options?

Are they transport options? Or are there other ways of best achieving their objectives?

Have the options been selected against the five value-for-money criteria, especially strategic fit and well-being?

How will the options meet the original objectives?

Do the short-listed options fit with local regional or national planning and transport priorities?

Have the team assessed the impact of those options on well-being using the four well-being ambitions in the WTS and the IWBA framework?

Will those options solve the problem now and in the future?

Can those options be delivered?

#### Engagement

Have the team spoken to key stakeholders about different options?

Do the team have broad agreement from those who may be affected about the need for action?

#### Stage 1 Integrated Well-being Appraisal

Is there an initial IWBA?

Does it begin to address the targets and ambitions in the WTS?

Have the team thought about more detailed appraisal at stage 2 and what measures will be used?

#### Next steps

Do the team know how they will go on to choose their preferred option?

Do the team know what evidence they must consider and how it can be collected?

What are the key impacts and issues that they will use to select their preferred option?

Are there any specific legislative requirements that they must think about?

Have the team documented their decisions?

### Stage 2 Outline business case checklists

#### Selecting the preferred option or work package

Have the team narrowed down their long list of ideas or options to a short list?

Do each of the short list of options have a strategic fit with the WTS, and with local, regional and national planning priorities?

Did the team do that using the five criteria – strategic fit, well-being, affordability, deliverability and management?

Does it meet their original objectives?

Have the team designed in well-being benefits and designed out harm?

Can the team demonstrate how the five ways of working have been used in the process?

Is there sufficient evidence – both qualitative and quantitative – to support their choices?

Have the team thought creatively – have they been able to combine options?

Have the team considered the need for behavioural change measures as well as new services or infrastructure?

#### Stage 2 Integrated Well-being Appraisal

Is there an updated IWBA?

Has it been used to help narrow down the list of options?

Have they thought about more detailed appraisal at stage 3 and what measures will be used?

#### Engagement plan

Did the team involve key stakeholders in selecting their final option/work package?

Do the team have broad agreement from those who may be affected about the proposals?

#### Next steps

What information will the team need to turn their preferred option into a full work package? Is there design work? Service specifications? Statutory impact assessments? Surveys? Further data collection?

What other information will the team need before they can write their business case? For example, a procurement strategy? Tender documentation?

What other information will the team need to complete an IWBA? Have the team identified specific social, environmental, economic or cultural impacts that they need to investigate further?

Will the project need planning consent and /or Statutory Orders and if so, is that work underway?

### Stage 3 Full business case checklists

#### Scheme description or project design

Is there an overall description of the project (or programme or policy) that describes the work packages and what they will achieve?

For new services - have the team set standards, timetables and specifications?

Are designs in place for any new capital works? Have the project team undertaken statutory impact assessments?

For digital interventions, have service standards and requirements been defined?

Does the project policy or programme include behaviour change measures such as improving access to services?

#### Full business case (projects)

Is there a clear justification for taking action?

Will the work packages will meet the objectives?

Is there is clear **strategic fit** with the WTS, NTDP and RTPs?

Is there a summary of how the programme or project will contribute to **well-being** in Wales, based on an IWBA (see below)?

Is the work package **affordable** and are they clear about likely funding sources?

Are the project team confident that all the elements of the work package can be **delivered**?

Are there arrangements in place to oversee and monitor the delivery of the work package?

#### Full business case requirements for policies and programmes

Transport policies such as RTPs do not need a separate business case but should still address the five dimensions of a business case within the main text.

Does the policy or programme include an explanation of how it will:

Fit with the priorities in the WTS and other relevant strategic priorities?

Contribute to the well-being ambitions and targets in the WTS and any other local well-being priorities based on an IWBA (see below)?

Deliver tangible outcomes such as sustainable transport services or infrastructure?

Be affordable, taking into account short- and long-term costs?

Be properly governed or managed to address risks, deliver outcomes and demonstrate progress? How will it be evaluated?

#### Engagement

Has there been adequate engagement, participation and consultation through the programme or project, including during the IWBA process?

Are there key groups who may not have been included but who could be significantly impacted by the work? If so, how will they engage them?

Do they have broad agreement from those who could be affected?

#### Monitoring and evaluation

Is there an evaluation plan or arrangements for annual reporting? How will they be secured (for example are they a condition of funding?)

Does it explain how the programme or project will be monitored during the delivery phase, including governance, review points etc?

Does it explain how the programme or project will be evaluated when it is complete? By whom, when and how?

Has it considered the qualitative and quantitative measures in the IWBA?

#### Next steps

Do elements of the project need planning permission and/or Statutory Orders and if so when and how will this be obtained?

Is additional or formal consultation needed? If so, how will that be managed and by whom?

How will funding be secured and what are the steps?

How will any issues that arise through any of these processes be considered in project planning?

### Integrated Well-being Appraisal checklists

All business cases should be accompanied by an IWBA, using the measures in the WTS monitoring framework. This includes projects that use WelTAG lite, WelTAG standard and Weltag plus. New policies and programmes should also be accompanied by an IWBA.

#### Quality checklist

Is there an IWBA supporting the business case?

Is it succinct and easy to read, with detail in supporting annexes?

Does it cover social, environmental, economic, place-based and cultural impacts of the policy, programme or project?

Does it provide a clear explanation of how those impacts have been addressed, or does it simply use tick box tables?

Does it make use of the WTS monitoring measures?

Is there an appropriate mixture of quantitative and qualitative information to support the arguments?

Has the programme or project used that information to design in benefits and designed out any potential harm?

Is it supported by the relevant statutory or regulatory impact assessments?

Have the findings of those impact assessments influenced the design of the final project, programme or policy?

Do the benefits outweigh the disbenefits?

How have people been involved in the process and how has their feedback been taken on board?

**For each of the four well-being impacts (see below), does the report explain:**

What benefits the project, policy or programme will potentially deliver?

What negative impacts the project policy or programme may have?

Whether there are any potential conflicts between different well-being ambitions or goals and how they will be addressed?

How those negative impacts have been avoided or reduced during the design process?

How the well-being benefits will be secured during delivery and monitored or evaluated afterwards?

How the project policy or programme will be monitored to avoid any negative impacts that may arise?

#### The four well-being impacts

##### What is the impact on people and communities?

Does the IWBA use evidence to show how the policy, programme or project will:

Remove physical, attitudinal, environmental, systemic or linguistic barriers that prevent people using public transport?

Improve air quality and reduce environmental noise associated with transport?

Contribute to higher activity levels through more people walking and cycling?

Contribute to people feeling confident, safe, secure and welcome using the sustainable transport mode of their choice?

##### What is the impact on the environment?

Does the IWBA use evidence to show how the policy, programme or project will:

Deliver a significant reduction in greenhouse gas emissions from transport?

Maintain and enhance biodiversity and increase ecosystem resilience through transport operations and infrastructure projects?

Make better use of existing infrastructure to reduce waste associated with transport?

Are there other impacts on for example or water or soils?

##### What is the impact on places and the economy?

Does the IWBA use evidence to show how the policy, programme or project will:

Help local communities by meeting the needs of different parts of Wales including rural communities?

Support operational, technological and digital innovations that enable and encourage more people to use sustainable transport?

Help create a more sustainable system of distributing goods and freight in Wales?

Make sustainable transport options more affordable?

##### What is the impact on culture and the Welsh language?

Does the IWBA use evidence to show how the policy, programme or project will:

Help the Welsh language to thrive?

Enable more people to enjoy arts, sports and natural and cultural heritage in Wales using sustainable transport?

Protect and enhance Wales’s historic environment?

#### The five ways of working

Does the IWBA show how the five ways of working have been used in developing the policy, programme or project?

#### Impact on transport targets in Wales

How will the policy, programme or project contribute to the modal shift target of 3% journeys by active travel and 13% journeys by public transport by 2040?

How will the policy, programme or project contribute to reducing emissions from passenger transport by 22% in 2025?

How will the project contribute to reducing car miles travelled per person by 10% by 2030?

Will the policy, programme or project contribute to other targets including increasing the efficiency of transport freight, or moving towards zero emissions bus fleet or taxis and private hire vehicles?

#### Next steps

Is any additional impact assessment work required before the project goes ahead, for example have all the relevant statutory assessments been done?

How will the commitments in the IWBA be monitored during the delivery phase?

If the policy, project or programme will be evaluated at completion, how will the IWBA commitments be evaluated and who will do this?

### Stage 4 delivery checklists

#### Project delivery

Have all the necessary statutory consents been obtained?

Are there any conditions or constraints that might impact on the programme or project?

Has the project been successfully procured?

Have the delivery partners got the right skills and capabilities?

Have the project team secured the delivery of wider benefits eg. community benefit, skills, or compliance with environmental or heritage controls

Is their delivery partner effectively engaging with key groups?

#### Policy, programme or project management

Are there regular meetings with the project, programme or policy delivery partners?

Are the project team meeting timescales and standards?

Is expenditure being monitored and managed effectively?

Are the commitments in the IWBA being monitored to ensure compliance?

Are they effectively managing any changes?

Do those meetings address risks and delivery issues?

Are they reporting back to us or other funders on any changes?

Who is collecting data for the annual progress report and any evaluation?

#### Next steps

Who will prepare the annual progress reports (see below)?

If the project, policy or programme needs to be evaluated, is there an evaluation plan in place? Is the relevant data being gathered during the project?

### Stage 5 Monitoring and evaluation checklists

Most projects will simply require an annual progress report to be submitted to Welsh Government. Projects using WelTAG plus will require an evaluation report. Policies and programmes using WelTAG lite may also require evaluation.

#### Annual progress report

What has their project delivered?

What difference has their project made?

Did it meet their original objectives, and if so, so what difference has it made?

What obstacles did they encounter and how were they overcome?

Which of the activities have been particularly successful?

Who did they engage with during the project, and what difference did they make?

Who did they collaborate with during the project?

Did the project change as they went along, and if so, why? What difference did that make?

What lessons have they learned for the future?

#### Evaluation report

What contribution has their project, policy or programme made to our wider ambitions and priorities for transport in Wales, using the WTS monitoring measures?

Have they gathered qualitative or quantitative evidence to support that?

How has their project, policy or programme contributed to the WTS priorities?

Did they reach the groups that they targeted and in sufficient numbers?

Was this intervention a useful way of changing travel behaviour?

Is this programme something that should be implemented more widely?

Has this intervention represented good value-for-money?

Have they identified lessons for future policies, projects or programmes?

#### Next steps

Have annual progress reports been submitted?

Has any evaluation report been completed and submitted?

How will the evaluation report be saved and made available for future projects?

## WelTAG plus checklists

WelTAG plus projects should use the WelTAG standard checklist. However, there may be a need for additional data and modelling, including benefit-cost ratios and future forecasting.

### Additional modelling and quantitative data (WelTAG plus)

Has the IWBA provided quantitative data or modelling that shows how the project, policy or programme will deliver against the WTS ambitions, priorities and monitoring measures?

Has the modelling addressed induced demand and how any increased road capacity for example, might result in additional traffic?

If the project has prepared benefit-cost ratios in line with TAG, have they produced a second set that excludes journey time savings for private cars?

What contribution will the programme or project make to addressing the modal shift targets in the WTS?

For programmes and projects that include increased roads capacity, how has the modelling addressed the assumption in Net Zero Wales that the number of car miles travelled per person will reduce by 10% by 2030?

Does the business case show how the project will be evaluated in the long term to assess whether it delivered against those metrics and how it has contributed to the WTS ambitions and priorities, using the WTS monitoring measures?

### Projects using TAG that require funding from Welsh Government

In addition to meeting TAG appraisal requirements, there should be a summary report that shows how proposed project will also:

Fit with the WTS priorities and targets, and other relevant Welsh policy priorities.

Contribute to meeting the targets in the WTS including targets for modal shift.

Deliver against targets in Net Zero Wales to reduce the car miles travelled per person by 10% by 2030.

Deliver against the four well-being ambitions in the WTS using the WTS monitoring measures.

If the project has prepared benefit-cost ratios in line with TAG, have they produced a second set that excludes the potential benefits of any travel time savings?