

National Transport Reforms Evaluation Framework

June 2023

Evaluation framework for national transport reforms

National Transport Commission

Contents

E>	cecu	itive su	Immary	5
1	Purpose of Evaluation framework			
	1.1	What is	s the purpose of this framework?	6
2 Introduction to evaluation and structure of the framework			ion to evaluation and structure of the framework	7
	2.1	Overvi	ew	7
	2.2	Contex	t of the national transport reforms	8
			ire of the Evaluation framework	10
3	Est	ablishi	ing the foundations of the framework	12
			ew and checklist	12
			e of the Evaluation framework	13
		-	he framework within a policy cycle	13
		-	tion framework principles	14
	3.5	Establi	shing an evaluation culture	16
	3.6	Establi	shing evaluation governance	17
4	Pre	paring	for an evaluation	18
	4.1	Overvi	ew and checklist	18
	4.2	Define	reforms for evaluation purposes	18
	4.3			19
		4.3.1	Choosing and initiating reforms for evaluation	19
		4.3.2	NTC internal prioritisation selection framework	20
		4.3.3	Ensuring sufficient information and evaluation capability capacity is available for evaluation	22
	4.4	Useful	references used to develop section 4	22
5	Und	dertaki	ng an evaluation	24
5.1 Overview and checklist5.2 Clarify evaluation objectives and scope		Overvi	ew and checklist	24
		Clarify	evaluation objectives and scope	25
		5.2.1	Evaluation objectives	25
		5.2.2	Evaluation scope	25
		5.2.3	Overview of timing of key ex-post evaluation tasks	32
	5.3 Ex-post evaluation method		t evaluation method	33
		5.3.1	Outcome evaluation	33
		5.3.2	Causal analysis	35
		5.3.3	Economic evaluation and impact analysis	35
	5.4	Determ	nine stakeholder engagement approach	37
	5.5		evidence and data	38
		5.5.1	Data collection approach	38
		5.5.2	Maintenance of key data sets	39
		5.5.3	Data storage and confidentiality	39

6	Developing findings and recommendations	. 40
	6.1 Evaluation report	40
7	Finalising the evaluation	. 41
8	Communicating the outcomes of the evaluation	. 42
9	Applying learnings from the evaluation	. 43
A	cronyms and abbreviations	. 44
Li	ist of tables and figures	

Report outline

Title	National Transport Reforms Evaluation Framework
Type of report	Policy and guidelines
Purpose	The Evaluation framework sets out requirements, recommendations and guidance for the National transport Commission to plan and conduct the evaluation of regulatory reforms.
Abstract	The 2021 Review of the National Transport Commission recommends that the NTC should play a "stronger role in evaluating the outcomes of national transport reforms".
	This Evaluation framework provides guidance on how the National Transport Commission (NTC) can enhance its current evaluation approach to align with the recommendations in the 2021 Statutory Review. It focuses on ex-post assessment and complements evaluation processes that currently occur before the reforms are implemented (i.e. an ex-ante assessment in the form of a Regulation Impact Statement) and during reform implementation (in the form of the annual National Transport Reform Implementation Monitoring report).
Attribution	This work should be attributed as follows, Source: National Transport Commission, National Transport Reforms Evaluation Framework. If you have adapted, modified or transformed this work in anyway, please use the following, Source: based on National Transport Commission, National Transport Reforms Evaluation Framework.
Key words assessment	National Transport Reforms, Evaluation framework, ex-post
Contact	National Transport Commission Level 3/600 Bourke Street Melbourne VIC 3000 Ph: (03) 9236 5034 Email: <u>kkolar@ntc.gov.au</u> <u>www.ntc.gov.au</u>

The Evaluation framework set out in this document provides guidance on how the National Transport Commission (NTC) can enhance its current evaluation approach to align with the recommendations in the 2021 Statutory Review of the National Transport Commission (NTC). In particular, the Statutory Review recommends that that the NTC should play a "stronger role in evaluating the outcomes of national transport reforms".

Consistent with this recommendation, the Evaluation framework is intended to focus on expost assessment, which is after the reform has been in operation for some time. This complements evaluation processes that currently occurs before the reform is implemented (i.e. an ex-ante assessment in the form of a Regulation Impact Statement) and during reform implementation (in the form of the annual National Transport Reform Implementation Monitoring report).

The framework provides guidance on:

- Establishing the foundations of the Evaluation framework. This includes: clarifying the framework's purpose; illustrating how it is to be applied; setting Evaluation framework principles; and establishing an evaluation culture and governance arrangements.
- Preparing for an evaluation. This includes providing guidance on how reforms could be selected for evaluation. This helps NTC to support the Infrastructure and Transport Ministers' Meeting (ITMM) and its advisory body, the Infrastructure and Transport Senior Officials' Committee (ITSOC), as the NTC may provide advice on which reforms could be selected for evaluation. The guidance on selecting reforms for evaluation considers a range of strategic, stratification and risk criteria. The guidance also emphasises that selecting reforms for evaluation should consider the availability of information and expertise to undertake the evaluation.
- Undertaking an ex-post evaluation for a specific reform. This includes establishing the evaluation objectives and scope, supported by a reform logic and key evaluation questions (KEQs). The framework provides for two types of evaluations: an outcome evaluation; and an economic evaluation and impact analysis. Guidance is also provided on the appropriate method of evaluation that supports these types of evaluations and KEQs.
- Preparing an evaluation report. Supporting evaluation report templates provide guidance on developing reports for: an outcome evaluation; and an economic evaluation and impact analysis.

The Evaluation framework has been developed by Marsden Jacob Associates in cooperation with the National Transport Commission.

1 Purpose of Evaluation framework

This section explains the purpose of the Evaluation framework and how it can be used by the NTC.

1.1 What is the purpose of this framework?

The National Transport Reforms Evaluation framework (Evaluation framework) sets out the policies and guidelines in evaluating the effectiveness of national transport reforms. The Evaluation framework, through quantitative and qualitative assessment, enables the National Transport Commission (NTC) to provide independent advice on the achievement of reform outcomes to the Transport Ministers.

The Evaluation framework will be used to build evidence to support achievement in national land transport reform in support of all Australian governments to improve safety, productivity, environmental outcomes, and regulatory efficiency.

The framework has been developed by Marsden Jacob Associates in co-operation with the National Transport Commission.

2 Introduction to evaluation and structure of the framework

Key Points

This section provides an overview of Evaluation framework, including the context and the structure of this Evaluation framework.

2.1 Overview

Evaluation is an important part of the policy cycle through assessing the performance of government programs and activities, while also informing future policy and program design.

The recent 2021 Statutory Review of the National Transport Commission (NTC) recommended that the NTC enhance its role in evaluation through playing a stronger role in assessing the outcomes of national transport reforms (sometimes referred to as ex-post assessment):

"The NTC should play a stronger role in evaluating the outcomes of national transport reforms, in particular whether economic and safety benefits were achieved and to what extent. This would allow Ministers to determine the need for further actions and reforms. Transport Ministers should also periodically invite the NTC to suggest reforms for evaluation. Suggestions identified by stakeholders during this review could be considered as part of this process".

Consistent with this recommendation, the Evaluation framework is intended to focus on expost assessment, which occurs after a reform has been in operation for some time. This compliments NTC's current evaluation processes:

- Before a reform is implemented: a Regulation Impact Statement (RIS) is undertaken by the NTC. This contains different types of ex-ante analysis to support the RIS.
- During the implementation and/or ongoing delivery phase: the NTC prepares an annual progress report on the implementation status of nationally agreed reforms.

Ex-post assessment of reforms will provide for a more meaningful assessment of reform implementation as it applies a more thorough approach to understanding reform outcomes.

The Evaluation framework set out in this document provides guidance on how NTC can enhance its current evaluation approach to align with the 2021 Statutory Review. In particular, the framework provides guidance on:

- establishing the foundations of the framework
- preparing for an evaluation, including selecting reforms for evaluation
- undertaking an ex-post evaluation for a specific reform, and
- preparing an evaluation report.

The National Transport Commission (NTC) is a national transport reform agency that works with all Australian governments to advance social and economic outcomes through an efficient, integrated and nationally consistent land transport system.

The NTC is a key contributor to the national reform agenda with accountability to the Infrastructure and Transport Ministers' Meeting (ITMM) and its advisory body, the Infrastructure and Transport Senior Officials' Committee (ITSOC). The NTC has a legislative requirement to develop, monitor and maintain uniform or nationally consistent regulatory and operational arrangements for road, rail and intermodal transport.

The *National Transport Commission Act 2003* (NTC Act) and the Inter-Governmental Agreement for Regulatory and Operational Reform in Road, Rail and Intermodal Transport (the IGA) establish the NTC, and its role and purpose.

The NTC Act provides the NTC with ongoing responsibility to develop, monitor and maintain uniform or nationally consistent regulatory and operational reforms relating to road transport, rail transport and intermodal transport. The NTC Act also provides a mechanism for the making regulations, in accordance with the IGA.

The primary objective of the IGA is to improve transport productivity, efficiency, safety and environmental performance and regulatory efficiency in a uniform or nationally consistent manner. The IGA sets out the ongoing responsibilities and functions of the NTC to achieve this objective, including to:

- develop uniform or nationally consistent regulatory and operational arrangements for road, rail, and intermodal transport
- develop road use charging principles for heavy vehicles and proposed reforms in relation to Heavy Vehicle Road Use Charges based on charging principles agreed by ITMM
- monitor implementation of agreed reforms and regularly report on these to ITMM
- maintain and review agreed reforms
- recommend other matters to ministers that will promote the objectives of the IGA and undertake any other responsibilities and functions that are determined by ITMM.

Some examples of recent reforms developed by the NTC for governments are shown in Table 1.

Table 1.	Example of recent reforms
----------	---------------------------

8th amendment package of The amendments include:	
 the Heavy Vehicle National Law, which was approved in 2018 harmonised penalties and make-good provisi- vehicles that exceed the general mass limits consequential amendments arising from the e- the Commonwealth <i>Road Vehicles Standards</i> which will repeal the <i>Motor Vehicle Standards</i> (<i>Cth</i>) changes to improve consistency between a version 	enactment of 's Act 2018, 's Act 1989

Example of recent reform	Details
	notice and a self-clearing defect notice
	 enabling recognition of modifications to heavy vehicles approved in non-participating jurisdictions
	 providing that the giving advice, information, and education are functions of the Regulator and authorised officers
	 changes to improve productivity by allowing certain semitrailers greater access to the road network where mass is not a constraint.
5th Amendment package of the Rail Safety National Law (RSNL) (South Australia) (Rail Safety Work) Amendment Act 2019, which was approved in 2019	The amendments seek to align definition of 'rail safety work' with the objects of the RSNL, captures only work that could pose a risk to railway operations, current or future, and clearly distinguish between risk from the work and risk to the person performing the work. The amendments also remove risks to workers that are not specific to railway operations and therefore are adequately addressed under workplace health and safety laws.
13th Amendment package of the Australian Road Rules, which was approved in 2019	 The package includes: creating an offence for a driver to interrupt a funeral procession inserting technology neutral terminology about payment of parking fees providing model rules about the use of 'Bus Only' lanes providing model rules and signage about parking of electric vehicles, including when being charged clarifying rules about motorcyclists with respect to signalling a change of direction and removal of feet from footrests.
Heavy Vehicle Registration Charges for 2021–22, which was approved in 2021	The amended heavy vehicle charges are reflected in the Heavy Vehicle Charges Model Law which sets out a set of national heavy vehicle registration charges.
The 5th amendment package of the Australian Light Vehicle Standards Rules, which was approved in 2020	These amendments align aspects of the Australian Light Vehicle Standards with the Australian Design Rules and AS/NZ standards to remove unintended inconsistency. The package amended the Heavy Vehicle Standard Rules to enable safety improvements on heavy vehicles.

2.3 Structure of the Evaluation framework

The Evaluation framework comprises seven components (Figure 1). The framework provides guidance on each of these sections and is consistent with the evaluation principles with the Australian Government's (Department of Finance) Evaluation framework¹.

Figure 1. Evaluation framework components

1. Establishing the foundations of the framework

1a. Purpose of the framework

1b. Using the framework within a policy cycle

- 1d. Establishing an evaluation culture
- 1e. Establishing evaluation governance

1c. Evaluation framework principles

2. Preparing for an evaluation

2a. Define reforms for evaluation purposes2b. Select the portfolio of reforms for evaluation

2c. Ensure sufficient information and evaluation expertise is available for evaluation

3. Undertaking an evaluation

3a. Clarify evaluation objectives

3b. Clarify evaluation scope

3c. Determine and implement evaluation method

3d. Determine stakeholder engagement approach

3e. Gather evidence and data

4. Developing findings and recommendations

5. Finalising the evaluation

6. Communicating the outcomes of the evaluation

¹ Australian Government (Department of Finance), Evaluation in the Commonwealth (RMG 130), 2023 accessed

7. Applying learnings from the evaluation

3 Establishing the foundations of the framework

Key points

Establishing the foundations of the framework involves: clarifying its purpose; illustrating how it is to be applied within the policy cycle; setting framework principles; and establishing an evaluation culture and governance arrangements.

3.1 Overview and checklist

The key components in establishing the foundations of the framework and checklist for evaluators is shown in Figure 2.

Figure 2.	Establishing the foundations of the fr	ramework – key components and checklist

Evaluation framework component	Checklist questions for evaluators
1. Establishing the foundations of the framework	
1a. Purpose of the framework	Is the evaluator familiar with the purpose of the framework?
1b. Using the framework within a policy cycle	Is the framework being applied at the right point in the policy cycle?
1c. Evaluation framework principles	Is the evaluator familiar with the evaluation principles?
1d. Establishing an evaluation culture	Is the evaluator familiar with the evaluation culture?
1e. Establishing evaluation governance	 Have appropriate governance arrangements for evaluation been established?

3.2 Purpose of the Evaluation framework

The purpose of this framework is to provide guidance about what reforms the NTC evaluates, when and how, as well as how results of evaluations will be shared.

Evaluations are key tools to inform evidence-based decision-making which in turn leads to better outcomes that improve well-being and contribute to the goals that the government is seeking to achieve.

The Evaluation framework, with its focus on ex-post assessment, delivers five important benefits (Table 2).

Table 2.	Benefits of evaluation
----------	------------------------

Principle	Guidance
Provides an understanding of reform implementation	Evaluation can assess whether a reform has been implemented as planned and if it is producing outputs as originally intended.
Assesses whether reforms are delivering desired outcomes	Evaluation can assess whether a reform is delivering desired outcomes as originally intended
Assesses whether reforms are delivering desired net welfare benefits	Evaluation can assess whether a reform is delivered net welfare benefits as originally intended to government, the transport industry and the community, with a comparison to both benefits and costs
Develops insights into future policy design	Evaluation can provide insights into the potential for future policy changes and how it can better design policies in future
Provides a framework for accountability, thereby building confidence in government	Evaluation makes governments accountable for its reforms through a transparent Evaluation framework

3.3 Using the framework within a policy cycle

The policy cycle typically comprises three key sequential stages: policy design; policy delivery; and policy review. The results of the policy review phase feed back into future policy design.

As illustrated in Figure 3, evaluation can be conducted at each stage of this policy cycle. The NTC currently undertakes evaluation activities before, during and after the reform is implemented.

NTC's evaluation approach comprises:

• **Before** a reform is implemented: a Regulation Impact Statement (RIS) is undertaken by the NTC. This contains different types of ex-ante analysis to support the RIS.

- During the implementation and/or ongoing delivery phase: the NTC prepares an annual progress report on the implementation status of nationally agreed reforms.
- After a reform has been in operation for some time: the NTC undertakes ex-post assessment or evaluation on the outcomes of reforms.

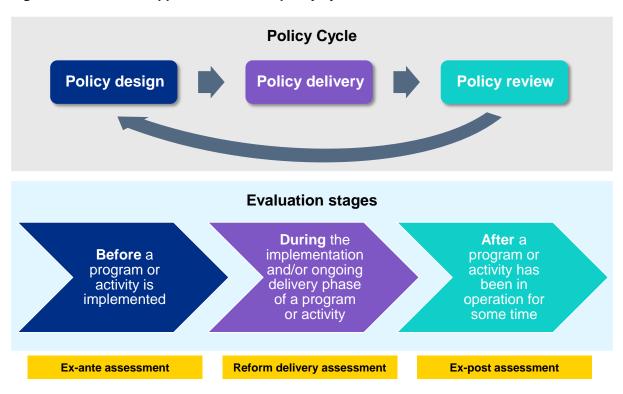


Figure 3. Evaluation approach within the policy cycle

In order for the ex-post assessment to be effective, a reform logic should be developed before a reform is implemented. Complementing this should be articulation of the data and information that should be collected along the policy cycle to assist with the ex-post assessment.

3.4 Evaluation framework principles

Adopting a set of evaluation principles facilitates best practice evaluation. These principles can be applied to ensure that the evaluation is relevant to the values and practice of NTC when planning, managing and undertaking evaluations, as well as using their outcomes.

The Ten principles that support effective evaluation of reforms are presented in Table 3. The principles were adapted from several evaluation frameworks, including:

- Australian Government (Department of Finance), Evaluation in the Commonwealth (RMG 130), 2023 accessed, <u>https://www.finance.gov.au/government/managing-</u> <u>commonwealth-resources/planning-and-reporting/commonwealth-performance-</u> <u>framework/evaluation-commonwealth-rmg-130</u>
- NSW Treasury, 2023, Policy and Guidelines: Evaluation, <u>https://www.treasury.nsw.gov.au/sites/default/files/2023-02/evaluation-tpg22-</u> <u>22.pdf</u>

- VicRoads, 2014, Investment Evaluation Framework, Post Completion Evaluation, <u>https://www.vicroads.vic.gov.au/-/media/files/documents/planning-and-</u> projects/evaluating-investments/vicroadsinvestmentevaluationframework.ashx
- U.S. Department of Transportation, Federal Railroad Administration, The Program evaluation standards, <u>https://railroads.dot.gov/sites/fra.dot.gov/files/fra_net/2167/prg-eval-stds-</u> <u>msw.pdf, accessed 2023.</u>

Table 3. Principles to guide NTC evaluations

Principle	Guidance
1. Early planning and preparation	 Monitoring and evaluation planning should start from the outset with a clear awareness of the outcomes and benefits the reform is intended to achieve, and what information is needed for decision- making and by when.
	 Adequate resourcing for monitoring and evaluation should be built into reform design and implementation.
2. Credible and robust	 Evaluations must be based upon best practice evaluation methods and rigorous evidence, using well designed methodologies.
	 Evaluations should be conducted by people who are technically capable, so that the evaluation findings achieve maximum credibility and acceptance.
	 Evaluations should adhere to appropriate standards of integrity and independence.
3. Well governed	 Establish governance structures and processes with clear responsibilities to ensure effective oversight of monitoring and evaluation design, implementation and reporting.
4. Ethical and culturally appropriate	 Appropriate ethical and cultural considerations and requirements should be incorporated into all monitoring and evaluation design and conduct, including exercising sensitivity and respect towards different beliefs, perspectives and cultures.
5. Stakeholder engagement	 Where appropriate, collaborative and inclusive approaches should be used to work with relevant stakeholders to design and conduct monitoring and evaluation.
6. Consistency	 A consistent structure, approach and language should be used in evaluations of the same types to facilitate understanding and ability to compare results.
7. Accessible and transparent	 Evaluation reports should be clear, succinct, transparent and easily understood. Information should be provided in formats meeting stakeholder needs related to communication.
8. Usability and improvement	 Evaluation outputs should be able to functionally inform decision making Improvement. There should be feedback between evaluations, reform development and delivery to ensure learning

Principle	Guidance
	and continuous improvement throughout the investment cycle.
9. Fit for purpose	 The scale and complexity of evaluations should be commensurate with the reform being evaluated.
	 Best-practice evaluation methods should be tailored to suit the initiative's size, significance and risk, and the information required for decision-making.
	 Consider what is practical and achievable
10. Value ongoing learning	 Be open to new learnings. Share lessons learned with key stakeholders and integrate into future reform design and delivery.

3.5 Establishing an evaluation culture

Evaluation is most effective when supported by an organisation's leaders, adequately resourced, and when it is part of an organisation's culture of enquiry and learning. An evaluative culture encourages reflection, looking for better ways of doing things, valuing results and innovation, sharing knowledge and learning from good practice and mistakes. Evaluation can be supported by building a culture of evaluation, developing evaluation capabilities, and integrating monitoring and evaluation into NTC's practices.

Box 1: Evaluation culture²

An organisation that values evaluative thinking:

- has strong leadership and a clear vision for achieving continuous improvement and learning from performance monitoring and evaluation
- has clear responsibilities and expectations to empower staff, along with appropriate support to build evaluation capability and practices
- builds on existing evidence when designing new policies and programs
- plans early for evaluation
- shares knowledge and encourages learning
- has a culture of reward to showcase effective evaluative approaches
- provides support for the outcomes of robust evaluation to build trust
- learns from successes as well as failures to improve performance.

² <u>https://www.finance.gov.au/government/managing-commonwealth-resources/planning-and-</u> reporting/commonwealth-performance-framework/evaluation-commonwealth-rmg-130/what-evaluation

Evaluations undertaken are approved or directed by ITMM. From an internal NTC governance perspective, responsibilities and accountabilities should be established for key NTC staff to:

- select reforms using strategic and risk-based criteria and are prioritised to meet the interests and priorities of Transport Ministers. This is further discussed in section 4.3.
- manage and maintain the Evaluation framework and ensure that it is understood by all relevant NTC staff.

Governance arrangements for a specific evaluation is discussed in section 5.2.2 as part of establishing a plan for an evaluation.

4 Preparing for an evaluation

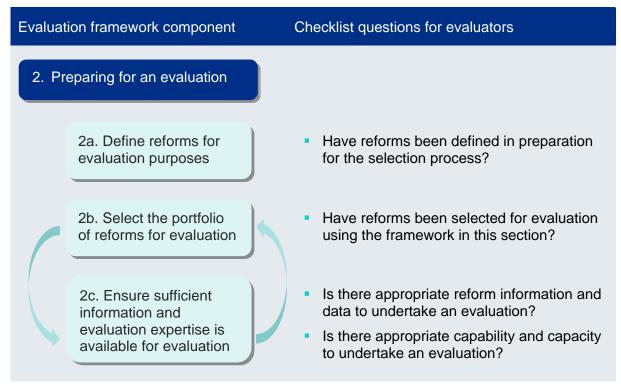
Key points

Selecting reforms for evaluation should take account of a range of strategic, stratification and risk criteria. Selection should also consider the availability of information and expertise to undertake the evaluation.

4.1 Overview and checklist

The key components in establishing an evaluation and checklist for evaluators is shown in Figure 4.





4.2 Define reforms for evaluation purposes

For the purpose of the Evaluation framework, a reform could comprise one reform change or a combination of reform changes (sometimes referred to as a reform package) that are approved for implementation. A reform could also be defined as a combination of reform packages – particularly where the reform packages are achieving similar objectives. A reform will typically include changes to legislation but could also involve changes to operating guidelines not defined in legislation.

In this document for simplicity, the term 'reform' could encompass one reform change or a combination of reform changes.

To illustrate, with reference to work undertaken by NTC related to the Heavy Vehicle National Law (HVNL), an example of how a reform could be defined for evaluation purposes is shown in Table 4.

Example reform definition	Example application to HVNL reforms
One component of a reform package	Harmonised penalties and make-good provisions for vehicles that exceed the general mass limits (component of the 8 th amendment package of the Heavy Vehicle National Law).
One reform package	8 th amendment package of the Heavy Vehicle National Law.
Several related reform packages	6 th , 7 th and 8 th amendment package of the Heavy Vehicle National Law.

4.3 Select the portfolio of reforms for evaluation

4.3.1 Choosing and initiating reforms for evaluation

An evaluation of a national reform could be initiated in different ways. For example, the evaluation could be:

- nominated by ITSOC/ITMM
- agreed as part of a funding or other agreement with governments or
- recommended by NTC.

To support ITSOC/ITMM and government processes, the NTC may provide advice to ITSOC/ITMM and governments on which reforms could be selected for evaluation.

In providing this advice, the NTC will undertake an internal prioritisation of reforms for evaluation. This section of the Evaluation framework provides guidance on undertaking this internal prioritisation.

Selecting reforms is important as the NTC does not intend to evaluate every reform. Rather its evaluation program – and hence the number of reforms chosen for evaluation each year – will be scaled based on available NTC resources and meeting the needs of ITMM. Indeed, the Commonwealth Evaluation Policy recognises that:

"It is not feasible, cost effective or appropriate to fully evaluate all government programs. The cost of evaluation must be balanced against the risk of not evaluating, noting that sometimes robust performance monitoring by itself will While this Evaluation framework is intended to be used to evaluate the outcomes of reforms, the framework could also be used by the NTC to assess reforms that provide support to its ongoing operations and provide the foundation for future reforms.

4.3.2 NTC internal prioritisation selection framework

Reform eligibility for evaluation

To meet the recommendations of the 2021 Statutory Review of the NTC, reforms approved for implementation should be grouped together as a pool of distinct reforms. From this pool, reforms will be selected for evaluation. In addition, for the purpose of selecting reforms, some reforms may be grouped together as part of the assessment process as they may collectively make up part of a broader reform program.

The pool of reforms will comprise only those that have been approved or directed by ITMM for implementation. However, while the pool would ideally relate to recent approvals (e.g. those in the last five years), no specific timeframe is placed on this since some reforms can take several years to be implemented by governments and also have an impact on the transport industry.

Selecting reforms

In selecting reforms for evaluation, a range of criteria will be considered to ensure a strategic and risk-based approach is undertaken to achieve an appropriate mix of reforms across its portfolio of reforms, while also helping to provide useful insights for future reform development. These criteria and how they could be applied are described in Table 5.

The selection will be annually reviewed and as part of a rolling process across years to ensure a balance of reforms are selected that reflect the interests and priorities of Transport Ministers.

This approach will ensure appropriate stratification across national reform groups. In other words, the reforms selected for evaluation will reflect an appropriate mix of reforms across different types of reform groupings (such as heavy vehicle road reform, rail reforms, maintenance and safety).

³ https://www.finance.gov.au/quick-reference-guide-evaluation-planning-new-policy-proposals

Table 5. Key criteria in selecting reforms for evaluation

Criteria	Explanation and application
Size of reform	 The portfolio of reforms reflect a mix of reform sizes to be representative of the range of reforms undertaken. The size of reform could reflect: The total reform expenditure by the NTC used to undertake the reform The size of the likely benefit or impact from the reform.
	This approach will allow the NTC to assess how it is performing in undertaking reforms which require different NTC resource levels and scale of impacts.
Stakeholder interest	The portfolio of reforms reflect stakeholder interest. Some reforms are likely to be of greater interest to some stakeholders because of their impact on them. Stakeholder preferences should be determined by engaging with industry and government stakeholders.
Types of reform	 The portfolio of reforms reflect a mix of the types of reform – such as: Heavy vehicle reforms Rail reforms Maintenance of existing reforms.
Types of impact	 The portfolio of reforms selected could reflect a mix of the types of impact – such as: Transport productivity Transport safety Environment.
Users and governments impacted	The portfolio of reforms selected could reflect a mix of reforms that impact different transport users and governments across Australia.
New type of regulatory reform	A higher priority could be given to selecting reforms which exhibit a new type of regulatory reform. This could be useful in understanding potential future reforms of a similar nature.
Upcoming policy initiatives or current strategic reform areas	A higher priority could be given to selecting reforms that may provide insights into upcoming policy initiatives or reflect current strategic reform areas of governments.
Previous evaluation activity and focus	A higher priority could be given to selecting reforms which have not previously been evaluated, noting that there may sometimes be a benefit in ongoing evaluation of a specific reform through longitudinal analysis.
Risk	The portfolio of reforms selected could reflect a mix of reform complexity, where complexity is an indicator of risk in delivering the

reform.

Choosing reforms considering risk **could** also place a higher priority on reforms that may be running into problems and, therefore, require a decision to either terminate or adjust.

Selecting reforms **could** place a higher priority on reforms in policy areas that are continuing to experience a high degree of change, whilst also being cognisant of the risks associated with undertaking an evaluation in those circumstances.

4.3.3 Ensuring sufficient information and evaluation capability capacity is available for evaluation

Once reforms have been selected based on the criteria in Table 5, the NTC will assess whether there is sufficient information and availability of expertise to undertake an evaluation for all reforms selected. Some reforms may be difficult to evaluate because of risks with undertaking an evaluation. For example, some stakeholders may not be willing to participate in an evaluation. Additionally, data may not have been collected for a sufficiently long period of time to undertake the required analysis or may be impractical to collect.

Where issues arise with expected data and information limitations or available expertise for some reforms, these reforms could be removed from the selection process or parked for future evaluation once information and expertise is available. Reform selection could then be revisited using the criteria in Table 5 by excluding these reforms.

4.4 Useful references used to develop section 4

Some important sources that were used to inform the Evaluation framework in section 4 include:

- ACCC (Australian Competition and Consumer Commission), 2011, Methods and Data for the Evaluation of Infrastructure Reforms, Network, <u>https://www.accc.gov.au/system/files/Network%20-%20lssue%2040.pdf</u>
- Australian Government (Department of Finance), 2023 accessed, Quick Reference Guide, Evaluation planning for new policy proposals, <u>https://www.finance.gov.au/quick-</u> reference-guide-evaluation-planning-new-policy-proposals
- Australian Government (Department of Finance), Evaluation in the Commonwealth (RMG 130), 2023 accessed, <u>https://www.finance.gov.au/government/managing-</u> <u>commonwealth-resources/planning-and-reporting/commonwealth-performance-</u> <u>framework/evaluation-commonwealth-rmg-130</u>
- Council of Rural Research and Development Corporations, 2018, Cross-RDC Impact Assessment Program: Management Procedures, <u>http://www.ruralrdc.com.au/wp-content/uploads/2018/08/201804_RDC-IA-Procedures-V.2-1.pdf</u>
- Guidelines for an Effective NCHRP (National Cooperative Highway Research Program) Research Impact Assessment, 2022, <u>https://onlinepubs.trb.org/onlinepubs/nchrp/docs/NCHRP20-</u> <u>44(09)FinalReport.pdf</u>

- Infrastructure Australia, 2018, Assessment Framework, For initiatives and projects to be included in the Infrastructure Priority List, <u>https://www.infrastructureaustralia.gov.au/sites/default/files/2019-</u> 06/infrastructure_australia_assessment_framework_2018.pdf
- International Conference on National Evaluation Capacities, 2009, Presentation, https://nec.undp.org/sites/default/files/2021-06/Sri-Lanka-1%20%282%29.pdf
- Minnesota Department of Natural Resources, 2011, Development and Implementation of a Habitat Restoration Evaluation Program for Legacy Projects, <u>https://www.lsohc.mn.gov/materials/resource_doc_plan/Rest_Eval_Program_Legacy.pdf</u>
- NSW Treasury, 2023, Policy and Guidelines: Evaluation, <u>https://www.treasury.nsw.gov.au/finance-resource/evaluation-policy-and-guidelines</u>

5 Undertaking an evaluation

Key points

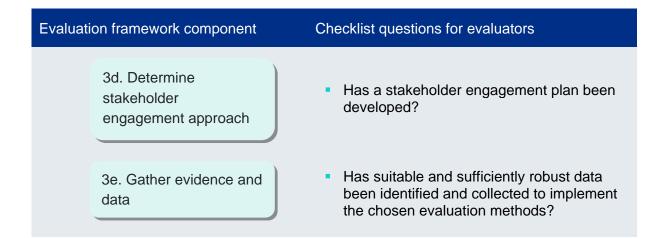
Undertaking an evaluation should first begin by clarifying evaluation objectives and scope and then applying an appropriate evaluation method to address the key evaluation questions using suitable and sufficiently robust data.

5.1 Overview and checklist

The key components in establishing an evaluation and checklist for evaluators is shown in Figure 5.

Figure 5. Undertaking an evaluation – key components and checklist

Evaluation framework component	Checklist questions for evaluators
3. Undertaking an evaluation	
3a. Clarify evaluation objectives	 Is there a common understanding of what reform is being evaluated? Has this been approved or directed by ITMM?
	 Has a reform logic been developed for the reform? Has an evaluation plan been developed? Has the type of evaluation been chosen
3b. Clarify evaluation scope	 and is it fit for purpose? Have the key evaluation questions been decided? Has the timeframe for the evaluation been established?
	 Are there governance arrangements in place for the evaluation? Is there appropriate staff resourcing to undertake the evaluation?
3c. Determine and implement evaluation method	 Has an appropriate evaluation method(s) been chosen and applied correctly?



5.2 Clarify evaluation objectives and scope

5.2.1 Evaluation objectives

A sound evaluation process begins with clarity on what reform is being evaluated. Selecting and defining reforms for evaluation can be supported by the selection process described in section 4.3 and will require approval by ITMM.

5.2.2 Evaluation scope

Scope of the reform

The Evaluation framework can be applied to the entirety or an aspect of a reform. Therefore, it is important to be clear on boundaries – i.e. what is within and out of scope.

These boundaries can have many dimensions including:

- Outputs and outcome are all outputs and outcomes within scope?
- Extent of implementation are only those state and territory governments that have implemented the reform within scope?
- Time are only reform components that have occurred within specific timeframes included in the evaluation?
- Spatial dimensions are there physical geographic boundaries to what is within or out of scope for example regional, state and national?

Reform logic

Where possible, a reform logic will be developed to provide clarify which activities, outputs and outcomes are in scope for evaluation. The reform logic will assist with identifying benefits to be valued in an economic evaluation.

Ideally, the reform logic will be developed as part of the ex-ante assessment (i.e. in parallel with a regulation impact statement) and then, if necessary, be revised once the reform has been implemented by state and territory governments.

The reform logic is a diagram that illustrates:

- a problem statement and reform objective which describes the issue or problem that the reform is designed to address and what the reform aims to achieve
- how inputs and activities leads to outputs and outcomes. The outcomes are typically expressed as short, medium, and long term
- the benefits that are likely to derive from the outcomes.

An important part of undertaking the logic is clearly mapping the consequential logic of changes that occurred. This means mapping the flow of individual components of the reform through to the final outcomes of each. The reform logic should, ideally, be developed in consultation with key stakeholders and those associated with outcomes of the reform under evaluation.

A reform logic template is shown in Figure 6. For illustrative purposes, the reform logic diagram can be simplified to focus on activities, outputs and outcomes given the complexity often associated with illustrating the logic.

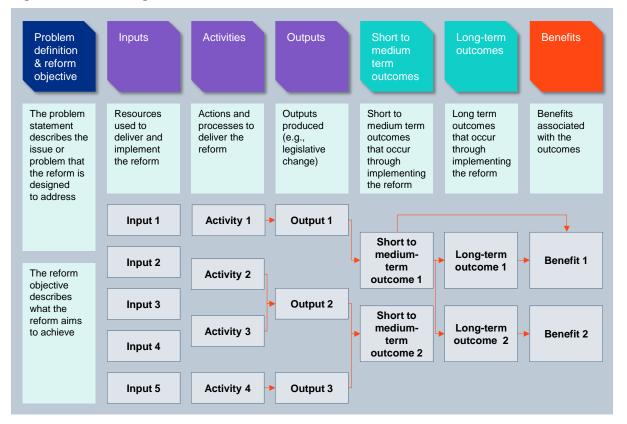


Figure 6. Reform logic

Focus of the evaluation (when and what type)

The recent 2021 Statutory Review of the NTC concluded that:

"The NTC should play a stronger role in evaluating the outcomes of national transport reforms, in particular whether economic and safety benefits were achieved and to what extent."

Consistent with this recommendation, the Evaluation framework is intended to focus on expost assessment, which occurs after the reform has been in operation for some time (Figure 7). This complements evaluation processes that currently occur before the reform is implemented (i.e. an ex-ante assessment in the form of a Regulation Impact Statement) and during reform implementation (in the form of the annual National Transport Reform Implementation Monitoring report).

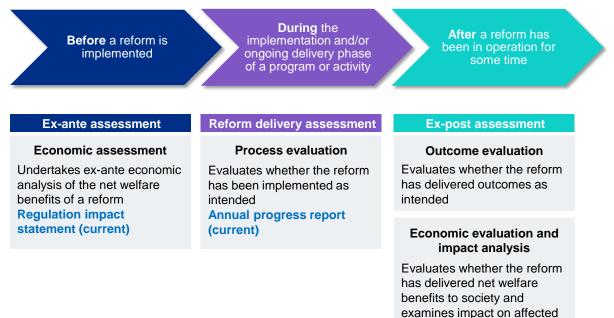
In practice, there may be some blurring of lines between the delivery stage and operational phase as some state and territory governments may implement at different times. Considering this complication and that it may take some time for the reform changes to impact the transport industry, the ex-post assessment could comprise more than one review, such as:

- an initial review completed once enough governments have implemented to conduct a meaningful evaluation, and
- a subsequent review at a later point once there is greater clarity on impact on the transport industry.

The ex-post assessment could comprise one or both of two types of assessments:

- An outcome evaluation and/or
- An economic evaluation and impact analysis.

Figure 7. Evaluation timing and type



A further explanation of the appropriate types of assessment at different stages of the reform design, implementation and operation is shown in Table 6.

parties

Table 6. Types of evaluation at different stages of the reform

Type of evaluation	Explanation	
Ex-ante assessment		
Economic and impact assessment Examines expected	The economic and impact assessment measures the expected impact of a reform in terms of net welfare benefits to society with comparison to an alternative course of action (the 'counterfactual').	
reform impacts prior to the reform being implemented	In addition, the assessment may examine the distribution of benefits and costs among different groups.	
	For large reforms, it may be appropriate to undertake economy wide analysis using dynamic models to examine the impact on gross value added and employment.	
	NTC currently prepares a Regulation Impact Statement (RIS) which contains an ex-ante assessment.	
Reform delivery assess	nent	
Process evaluation	The reform delivery assessment examines reform implementation and delivery. This assessment focuses on whether the reform outputs were delivered by state and territory governments.	
Examines reform implementation and delivery		
	NTC currently prepares an annual National Transport Reform Implementation Monitoring.	
Ex-post assessment		
Outcome evaluation	The reform delivery assessment examines whether the reform	
Examines whether a reform is leading to intended outcomes	has led to changes and how these outcomes compare to what was originally intended prior to the reform being implemented.	
Economic evaluation and impact assessment	The economic and impact assessment measures the impact of a reform in terms of net welfare benefits to society with comparison to an alternative course of action (the 'counterfactual').	
Examines reform impacts after the reform has been implemented	In addition, the assessment may examine the distribution of benefits and costs among different groups.	
	For large reforms, it may be appropriate to undertake economy wide analysis using dynamic models to examine the impact on gross value added and employment.	

Evaluation plan

Once the decision has been made to undertake an evaluation, an evaluation plan should be prepared. Ideally, this plan would be developed prior to the reform being implemented to enable suitable baseline information and data to be collected. Reforms that have already been implemented will not have an existing evaluation plan and, therefore, an evaluation plan will need to be developed.

This plan should comprise the following components:

- A description of the reform being evaluated and the scope of the evaluation.
- **Project plan and timing of the evaluation.** The project plan will indicate the expected timeframe for undertaking evaluation tasks and completing the evaluation.
- Type of evaluation. The type of ex-post assessment: outcome evaluation; and/or economic evaluation and impact analysis. Guidance on the appropriate type of evaluation for the reform is provided in Box 2.
- The key evaluation questions. These are the key questions that will be addressed by the evaluation and are shown in Table 7 for each of the two types of ex-post assessments. The evaluation questions that are already being addressed by the NTC during the ex-ante assessment and delivery stages are also shown in Table 7.
- Governance arrangements for the evaluation. Appropriate accountabilities and responsibilities for undertaking the evaluation, including appropriate authorisations for key decisions over the course of the evaluation.
- **Staff resourcing.** The scale of resources allocated to the evaluation. This will likely be dependent on the size of the reform and other factors such as risk profile.
- **The method of evaluation.** The method of evaluation for the two types of assessment. The different methods are shown in section 5.2.3.
- **Stakeholder consultation.** Stakeholder consultation approaches are discussed in section 5.4.
- Data collection. Data collection approaches are discussed in section 5.5.
- The timing of key ex-post evaluation tasks. This is explored in section 5.2.3.

Box 2: Choosing the type of evaluation

In deciding on the appropriate type of ex-post assessment (outcome evaluation or economic evaluation and impact analysis), key issues to consider are:

- Both types of ex-post assessment could be undertaken and combined into the one assessment if undertaken simultaneously.
- An economic evaluation should be undertaken if the benefits and costs of a reform are easily quantified.
- Undertaking an outcome evaluation may be more appropriate (and not an economic evaluation) where it is difficult to value benefits and costs or where the costs of collecting data to value benefits and costs is not commensurate for the size of the reform.
- If constructed appropriately, an outcome evaluation can provide evidence for an economic evaluation.

Example 1: Fatigue management reforms

This type of reform could benefit from both types of evaluation. An outcome evaluation could provide evidence on, say, changes in work time in a 24-hour period by the transport industry and, therefore, whether reforms are contributing to safety outcomes. An economic evaluation would examine the benefits and costs of the reform based on these changes by the transport industry.

Example 2: Heavy vehicle charges

With respect to an economic evaluation, valuing net welfare benefits associated with reforms to heavy vehicle charges is challenging and rarely undertaken for this type of reform. An impact analysis should suffice in terms of economic analysis. Economy wide analysis would likely not be necessary given the scale of changes. An outcome evaluation may also be appropriate, especially where there is substantial changes to the price calculation methodology or approach.

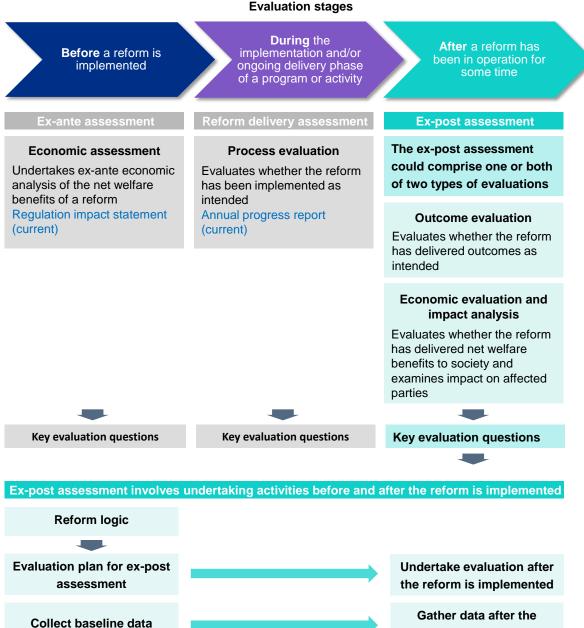
Table 7. Key evaluation questions

Type of evaluation	Key evaluation questions	
Ex-ante assessment		
Economic and impact assessment Regulation impact statement (current)	Net welfare benefits	 What is the expected net welfare benefits to society of the reform?
	Distribution of impact	 What is expected impact of the reform on the distribution of benefits and costs among different impacted groups?
	Economy wide impacts (large reforms)	What is the expected impact of the reform on gross value added and employment?
Reform delivery assessment		
Process evaluation Annual progress report (current)	Implementation	 Have the reforms been implemented by governments?
Ex-post assessment		
Outcome evaluation	Outcomes realisation	 What are the actual changes (outcomes) delivered by the reform (and for different impacted groups)?
		 How do the actual changes (outcomes) compare to what was originally intended or reflected in the reform logic?
		 When are outcomes being realised and how does this compare with what was originally intended?
	Broader transport objectives	 How has the reform contributed to broader transport objectives of government?
Economic evaluation and	Net welfare benefits	 Has the reform delivered net welfare benefits to society?
impact analysis	Distribution of impacts	 What is the distribution of benefits and costs among different impacted groups?
	Economy wide impacts (large reforms)	What is the impact of the reform on gross value added and employment?

5.2.3 Overview of timing of key ex-post evaluation tasks

An overview of timing of key ex-post evaluation tasks is shown in Figure 8. The Evaluation framework is focused on evaluating reforms once they have been implemented (i.e. 'expost'), noting that a reform logic and an evaluation plan should ideally be initiated prior to a reform being implemented to ensure that there is clarify on the reforms expected outputs and outcomes. Establishing an evaluation plan prior to a reform's implementation also enables a plan to be developed for collecting suitable and robust information and data before and after the reform has been implemented.

Figure 8. Timing of key ex-post evaluation tasks



reform is implemented

There are two types of ex-post evaluation in the Evaluation framework:

- Outcome evaluation
- Economic evaluation and impact analysis

The evaluation methods to be applied for these two types of evaluation are discussed in this section.

5.3.1 Outcome evaluation

An outcome evaluation examines the extent of outcomes or changes resulting from the reform and whether these changes were consistent with expectations prior to the reform being implemented. The assessment could include an assessment of short, medium and long-term outcomes. If an evaluation is undertaken after the reform has been delivered, the assessment may examine actual realised short-term outcomes and future expectations of medium to long-term outcomes.

The outcome evaluation should also examine why outcomes are different to what was originally intended, thereby enabling unforeseen issues to be identified which may have impacted the realisation of outcomes.

The outcome evaluation should be undertaken with reference to a reform logic. This enables comparison of expected outcomes (as per the reform logic) and actual outcomes. The outcome evaluation should also examine how the reform contributes to achieving broader transport objectives of government, which could be included in the reform logic.

A more detailed explanation of the key steps in an outcome evaluation are shown in Figure 9.

Evaluation step	Explanation and application	Checklist for evaluators
Outcomes realisati	on	
1. Identify short/medium / long term outcomes from the reform logic	The outcomes that were originally intended should be specified in the reform logic. This logic should ideally be developed before the reform is approved and implemented.	 Has the reform logic been developed and does it contain expected reform outcomes? Note: If the reform logic was not developed prior to the reform being developed it should be developed retrospectively at the start of the evaluation.

Figure 9. Key steps in an outcome evaluation

Evaluation step	Explanation and application	Checklist for evaluators
2. Assess what actually changed as a result of the reform	Actual outcomes from the reform should be identified. These may or may not align with the reform logic. For example, the reform may have delivered additional outcomes that were unintended. Actual outcomes should be expressed qualitatively (e.g. a traffic light assessment) and quantitatively where data is available.	 Have the actual outcomes of the reform been identified?
-		
3. Assess whether the outcomes have been achieved compared to the reform logic	A direct comparison of the intended outcomes articulated in reform logic should be compared to the actual outcomes. This assessment should be expressed qualitatively (e.g. a traffic light assessment) and quantitatively where data is available.	 Have the actual outcomes been assessed against what was originally intended?
4. Assess the timing of outcomes and how they align with the reform logic	The timing of actual outcomes should be compared with what was originally intended. The timing of what was originally intended could be sourced either from the reform logic or from the Regulation Impact Statement.	 Have the timings of actual outcomes been assessed against the original timeline?
5. Examine reasons why actual outcomes were different to what was originally intended	Actual outcomes may be different to what was originally intended. The reasons for this difference should be examined. For example, the reform may have had unintended consequences which impacted outcome realisation.	 Have the reasons why actual outcomes are different to what was originally intended been examined?

Evaluation step	Explanation and application	Checklist for evaluators
Broader transport	objectives	
6. Examine how the reform contributed to broader transport objectives of government	Examining performance against broader transport objectives of governments should be expressed qualitatively (e.g. a traffic light assessment) and quantitatively where data is available.	 Have the actual outcomes of the reform been assessed against broader transport objectives?

5.3.2 Causal analysis

A key challenge in undertaking an outcome evaluation is how to attribute a reform's role in producing a change. For example, many different government reforms are likely to contribute to lowering the number of road crashes. In order to assess the incremental impact that can be attributed to the reform, an outcome evaluation will need to consider what changes have occurred with the reform and what changes would have occurred without the reform.

Two examples of methods that could be used to examine causal attribution include:

- Examining the change in key transport metrics before and after the reform is implemented.
- Examining key transport metrics relevant to a reform in a geographic region that has implemented a reform compared to a geographic region that has not implemented a reform.

5.3.3 Economic evaluation and impact analysis

Net welfare benefits

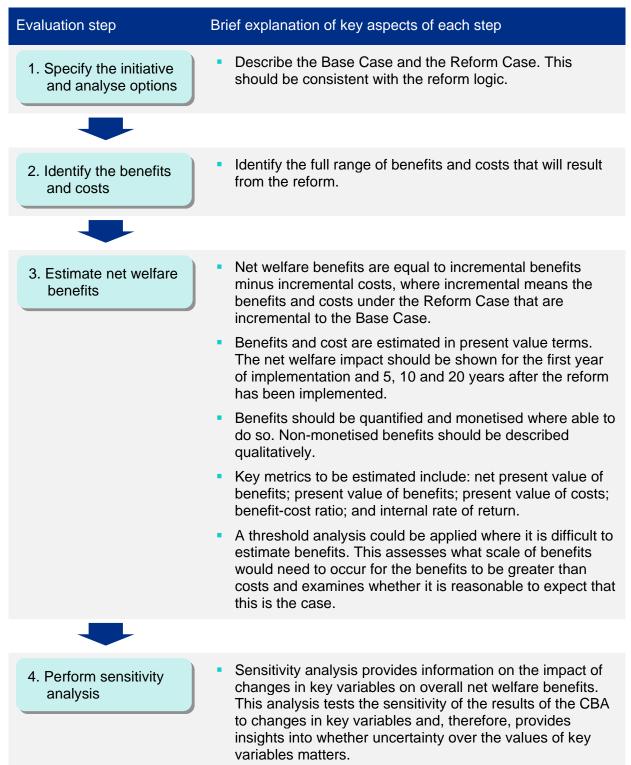
Net welfare benefits (or increases in societal welfare) are to be assessed using cost-benefit analysis (CBA). A CBA measures the additional (or incremental) benefits and costs that result from the reform (the Reform Case) relative to what would have occurred without the reform (the Base Case). A CBA is a comprehensive examination of a reform's impacts on welfare (including economic, social, environmental and cultural impacts).

The CBA should be undertaken in a way that is consistent with the following:

 The Australian Transport Assessment and Planning (ATAP) Guidelines, <u>https://www.atap.gov.au/tools-techniques/cost-benefit-analysis/index</u> The Department of the Prime Minister and Cabinet, Office of Best Practice Regulation, Cost-benefit analysis Guidance note, March 2020, <u>https://oia.pmc.gov.au/sites/default/files/2021-09/cost-benefit-analysis.pdf</u>

Consistent with the ATAP Guidelines, the key steps in undertaking a cost-benefit analysis for an ex-post assessment are shown in Figure 10.

Figure 10. Key steps in an economic evaluation – cost-benefit and	alysis
---	--------



An alternative to cost-benefit analysis is cost-effectiveness analysis. This type of analysis considers whether the achievement of the outputs and outcomes was least cost compared to alternative options. Considering that the objective of the Evaluation framework is to assess the outcomes of reforms after a reform has been implemented, cost-benefit is considered the preferred approach to an economic evaluation for an ex-post assessment.

Distribution of impacts

The reform may have differing impacts across groups of individuals. This is often referred to as distributional impacts or equity effects. These differing impacts could be in terms of benefits or costs associated with a reform.

Distributional analysis can be undertaken to illustrate these differing impacts. Some examples of potential differing impacts are:

- The distribution of benefits and costs across different governments.
- The distribution of benefits and costs across different groups within the transport industry. Differing impacts could occur across different regions, vehicle types, mode types, etc.

Economy wide impacts (large reforms)

Analysing economy wide impacts may be appropriate for very large reforms, especially where the size of benefits and costs is expected to have a material impact on gross value added, either nationally or at a regional level, or where there are expected substantial impacts on employment.

Some examples of models that could be used to examine economy wide impacts with respect to gross value added and employment include:

- Computable general equilibrium (CGE) models, which have an economy wide focus and can show the impact of economic shocks.
- Input-output models, noting that this type of analysis can have limitations compared to CGE analysis since CGE analysis allows for price movements resulting from interactions between the supply and demand side of the economy.

5.4 Determine stakeholder engagement approach

The evaluation plan discussed in section 5.2.2 includes developing an approach to stakeholder engagement.

Stakeholders could include a range of organisations, groups or individuals that have an interest in the reform – such as governments, the transport industry, non-government organisations and the general community.

The stakeholder engagement approach considers how stakeholders are engaged in implementing the Evaluation framework and for each evaluation that is undertaken. Some process examples of how stakeholders are engaged at different steps in implementing the framework are shown in Table 8.

Table 8. Potential stakeholder involvement in implementing the Evaluation framework

Evaluation framework component	Potential stakeholder involvement
2b. Select the portfolio of reforms for evaluation	 Stakeholder preferences are considered when selecting reforms for evaluation.
3a. Clarify evaluation objectives	 Stakeholders could be consulted on the scope of a reform that is being evaluated.
3e. Gather evidence and data	 Depending on the nature of a reform being evaluated, stakeholders may need to be consulted on the outcomes, benefits and costs that resulted from the reform being implemented.
6. Communicating the outcomes of the evaluation	 Communication of the results of an evaluation should occur once the evaluation has been completed.

5.5 Gather evidence and data

Gathering data and information helps assess the impacts of the reform after it has been implemented. The type of data and information to be collected will depend on the evaluation methods chosen in section 5.2.3.

5.5.1 Data collection approach

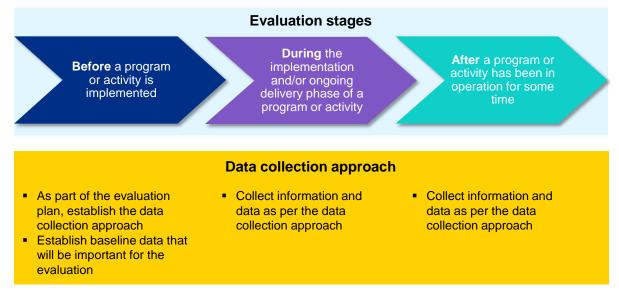
An overview of the data collection approach is shown in Figure 11. The evaluation plan, which ideally is developed before a reform is implemented, should contain a data collection approach. This approach will articulate:

- Data and information to be collected prior to the reform being implemented. This helps establish a baseline from which future impacts can be assessed.
- Data and information to be collected when performing the evaluation. This would occur after the reform has been implemented. It could also occur during reform implementation period if the evaluation is undertaken during a period when not all governments have implemented.

Where appropriate, the data collection approach should be communicated to governments, and potentially ITSOC/ITMM, as early as is practical to ensure there is clarity and agreement over: what data needs to be collected; who will collect the data; and when it will be collected and shared with the NTC.

In the case where an evaluation plan (which should include the data collection approach) has not been established prior to a reform being implemented, the evaluation plan will need to be established when the evaluation is initiated. In this case, the data collection approach will be developed after the reform is implemented.

Figure 11. Overview of data collection approach



A range of data collection methods from those impacted by the reform could be applied to provide an appropriate evidence base for undertaking the evaluation methods, such as:

- Workshops and/or interviews with key stakeholders
- Surveys with impacted parties
- Case studies

This is complemented by available published data.

Ideally, an evaluation collects data and information using a range of quantitative and qualitative methods.

5.5.2 Maintenance of key data sets

Key time series data sets will be established by the NTC that are likely to be used across multiple evaluations. This data will be maintained over time by the NTC. Examples include:

- Transport movement data
- Safety accident and crash data
- State and territory government data on transport related infrastructure expenditure and number of vehicles registered.

5.5.3 Data storage and confidentiality

Note, some data and information may contain sensitive and confidential information. Data collection and storage systems will be established to ensure that this type of data and information has an appropriate level of restricted access and is used carefully in the evaluation so as to respect any sensitivities or conditions under which it was obtained.

6 Developing findings and recommendations

The results of the evaluation will be summarised in the evaluation report (Figure 12).

Figure 12. Findings, recommendations, and actions – key components and checklist

Evaluation framework component	Checklist questions for evaluators
4. Developing findings and recommendations	 Has the evaluation template been applied to develop the evaluation report?

6.1 Evaluation report

The report findings and recommendations will be presented in the evaluation report. The report should be written in plain English and answer the key evaluation questions. The report should provide a list of recommendations and actions, thereby providing insights and learnings for future reforms and evaluations.

The scale and complexity of the evaluation report should be commensurate with the reform being evaluated.

7 Finalising the evaluation

Once the evaluation is complete, the evaluation report and other working documents is to be appropriately stored within the NTC's information systems. Additionally, information and data obtained through the project should also be appropriately stored within the NTC's information systems, with care taken to ensure appropriate restricted access for confidential and sensitive information collected during the project (Figure 13).

Figure 13. Finalising the evaluation – key components and checklist

Evaluation framework component	Checklist questions for evaluators
5. Finalising the evaluation	 Have actions been taken to finalise the evaluation, including appropriately secure storage of all data and information?

8 Communicating the outcomes of the evaluation

The results of an evaluation will be communicated to key interested stakeholders (Figure 14), including ITSOC and ITMM. While the evaluation report can be useful for this, the results of the evaluation could be further tailored to different stakeholders, depending on their interest in the reform.

Figure 14. Communicating outcomes of the evaluation – key components and checklist

Evaluation framework component	Checklist questions for evaluators
6. Communicating the outcomes of the evaluation	 Have the evaluation outcomes been communicated to key interested stakeholders?

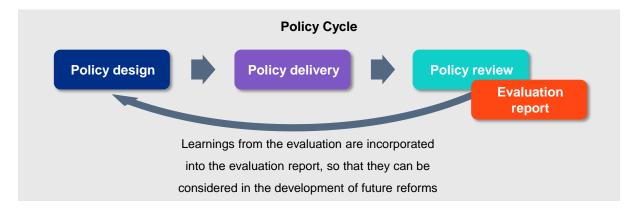
9 Applying learnings from the evaluation

Following the finalisation of an evaluation, the learnings from the evaluation should be considered by the NTC in future reforms to help improve policy design (Figure 15 and Figure 16). All relevant NTC staff should be made aware of the results of an evaluation and any learnings for future reform development.

Figure 15. Applying learnings from the evaluation - key components and checklist

Evaluation framework component	Checklist questions for evaluators
7. Applying learnings from the evaluation	 Are the learnings from the evaluation incorporated into the evaluation report, so that they can be considered in the development of future reforms?
	 Have all relevant NTC staff been made aware of the results of the evaluation?

Figure 16. Applying evaluation learnings to future policy design



Acronyms and abbreviations

Acronym	Full title
ATAP	Australian Transport Assessment and Planning
CBA	Cost Benefit Analysis
CGE	Computable General Equilibrium
HVNL	Heavy Vehicle National Law
IGA	Inter-Governmental Agreement for Regulatory and Operational Reform in Road, Rail and Intermodal Transport
ITMM	Infrastructure and Transport Ministers' Meeting
ITSOC	Infrastructure and Transport Senior Officials' Committee
NTC	National Transport Commission
RIS	Regulation Impact Statement
RSNL	Rail Safety National Law

List of tables and figures

Tables

Table 1.	Example of recent reforms		
Table 2.	Benefits of evaluation	13	
Table 3.	Principles to guide NTC evaluations	15	
Table 4.	Example of how a reform could be defined with reference to HVNL reform		
Table 5.	Key criteria in selecting reforms for evaluation	21	
Table 6.	Types of evaluation at different stages of the reform		
Table 7.	Key evaluation questions	31	
Table 8.	Potential stakeholder involvement in implementing the Evaluation framework	38	
Figures			
Figure 1.	Timing of key ex-post evaluation tasks Error! Bookmark r	Error! Bookmark not defined.	
Figure 2.	Evaluation framework components	10	
Figure 3.	Establishing the foundations of the framework – key components an	d	
	checklist	12	
Figure 4.	Evaluation approach within the policy cycle	14	

Figure 4.	Evaluation approach within the policy cycle	14
Figure 5.	Preparing for an evaluation – key components and checklist	18
Figure 6.	Undertaking an evaluation – key components and checklist	24
Figure 7.	Reform logic	26
Figure 8.	Evaluation timing and type	27
Figure 9.	Timing of key ex-post evaluation tasks	32
Figure 10.	Key steps in an outcome evaluation	33
Figure 11.	Key steps in an economic evaluation – cost-benefit analysis	36
Figure 12.	Overview of data collection approach	39
Figure 13.	Findings, recommendations, and actions - key components and checklist	40
Figure 14.	Finalising the evaluation – key components and checklist	41
Figure 15.	Communicating outcomes of the evaluation – key components and	
	checklist	42
Figure 16.	Applying learnings from the evaluation – key components and checklist	43
Figure 17.	Applying evaluation learnings to future policy design	43

National Transport Commission

Level 3/600 Bourke Street Melbourne VIC 3000 Ph: (03) 9236 5000 Email: enquiries@ntc.gov.au www.ntc.gov.au

