

# GUIDANCE NOTE

## Implementation and evaluation

*This note provides key points to consider at the implementation and evaluation stage of the policy cycle*

Both Preliminary Impact Assessments (PIA) and Regulatory Impact Statements (RIS), should include:

- an implementation and compliance plan, detailing how the preferred option will be implemented and enforced
- a strategy for monitoring and evaluating the impacts and effectiveness of a regulation after implementation.

### Implementation and enforcement

The way in which regulations are implemented and enforced can be a significant driver of costs for business and the community. Stakeholder behaviour and compliance outcomes can also be influenced, which may affect the expected impacts and effectiveness of a regulation.

An implementation and enforcement plan should detail:

**When the proposal will take effect**—immediately or phased in over time? Will the regulated parties be required to act—such as completing forms and submitting qualifications for assessment, or changing business practices and processes?

**Are there any implementation risks or issues** that may arise (e.g. timeframes or budget constraints)? List any strategies to mitigate or address them.

**Which agencies will have a role in implementing or enforcing** the recommended option (including associated resource requirements and costs)? Information should also be included on how an agency will ensure that clear and timely guidance will be provided to stakeholders on how to interpret and comply with the regulatory requirements.

**Any transitional arrangements or assistance** proposed to reduce the impact on stakeholders. *For example, a 'grace period' before commencement of enforcement actions.*

Agencies should liaise with other relevant agencies and regulators, and undertake preliminary consultation with affected stakeholders, in the development of the plan.

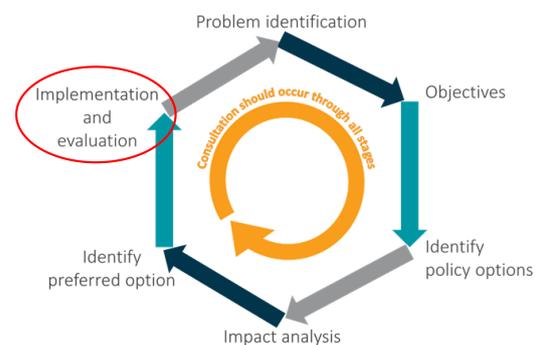
The level of detail included in the plan should be proportionate to the scope of the regulation. *For example, while a new workplace health and safety obligation may*

*require a comprehensive enforcement plan, a minor administrative matter may not.*

### Monitoring and evaluation

A PIA or RIS should outline how the proposal will be monitored and evaluated to assess if the regulation:

- is achieving its objectives (it is effective) at the least cost to the community (it is efficient)
- has led to any unintended consequences
- requires any amendments to improve outcomes.



For an evaluation to be successful, a monitoring and evaluation framework should be developed before the regulation is implemented.

The scope of the framework will depend on the scale of the projected impacts of the regulation as well as considering the following:

**Establish a baseline**, as well as key performance and progress indicators, which directly link to the regulation's objective and can be easily measured. *For example, if a regulation's objective is to improve compliance by 20% annually, information on the current level of compliance would be required.*

**The availability of information and data**—including data already collected and areas where data is lacking.

**How information and data will be gathered**—including who will collect it, how it will be collected, and how often.

**The cost effectiveness of maintaining information and datasets** as well as the compliance costs of reporting (e.g. the administrative burden of filling out a compliance survey).

**The format and frequency of evaluation** and performance reporting (e.g. progress results are provided as part of the agency's annual report).

Queensland's RIA framework also requires agencies to undertake periodic and systematic reviews of regulation including the requirement to undertake a sunset review of expiring subordinate regulation. An agency's monitoring framework should also provide information that may be useful in the 10-year review of regulation.

Please see separate guidance for information on undertaking a remake of regulation, or a sun-setting regulation.