

Proactive Release

This document is proactively released by Te Manatū Waka the Ministry of Transport. This document has been proactively released by the Ministry of Transport alongside other appendices that are listed in the Auckland Light Rail Business case. It should be noted that the Auckland Light Rail project was cancelled and will not be progressing in any form. This cancellation occurred before the completion of the appendices of the Detailed Business Case (of which this document forms a part). This document does not, therefore, represent government policy. This document must not be relied on in any way or treated as a finished product. A complete peer review process has not been undertaken of this document, and any analysis or conclusions contained in this document may contain errors and omissions. The Ministry accepts no responsibility for the consequences of this document being relied upon by any other party, or being used for any other purpose, or containing any error or omission.

Some information has been withheld on the basis that it would not, if requested under the Official Information Act 1982 (OIA), be released. Where that is the case, the relevant section of the OIA has been noted and no public interest has been identified that would outweigh the reasons for withholding it.

Listed below are the most commonly used grounds from the OIA.

<u>Section</u>	<u>Description of ground</u>
6(a)	as release would be likely to prejudice the security or defence of New Zealand or the international relations of the New Zealand Government
6(b)	as release would be likely to prejudice the entrusting of information to the Government of New Zealand on a basis of confidence by <ul style="list-style-type: none"> (i) the Government of any other country or any agency of such a Government; or (ii) any international organisation
6(c)	prejudice the maintenance of the law, including the prevention, investigation, and detection of offences, and the right to a fair trial
9(2)(a)	to protect the privacy of natural persons
9(2)(b)(ii)	to protect information where the making available of the information would be likely unreasonably to prejudice the commercial position of the person who supplied or who is the subject of the information
9(2)(ba)(i)	to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely to prejudice the supply of similar information, or information from the same source, and it is in the public
9(2)(ba)(ii)	to protect information which is subject to an obligation of confidence or which any person has been or could be compelled to provide under the authority of any enactment, where the making available of the information would be likely otherwise to damage the public interest
9(2)(f)(ii)	to maintain the constitutional conventions for the time being which protect collective and individual ministerial responsibility
9(2)(f)(iv)	to maintain the constitutional conventions for the time being which protect the confidentiality of advice tendered by Ministers of the Crown and officials
9(2)(g)(i)	to maintain the effective conduct of public affairs through the free and frank expression of opinions by or between or to Ministers of the Crown or members of an organisation or officers and employees of any public service agency or organisation in the course of their duty
9(2)(h)	to maintain legal professional privilege
9(2)(i)	to enable a Minister of the Crown or any public service agency or organisation holding the information to carry out, without prejudice or disadvantage, commercial activities
9(2)(j)	to enable a Minister of the Crown or any public service agency or organisation holding the information to carry on, without prejudice or disadvantage, negotiations (including commercial and industrial negotiations)



Auckland
LIGHT RAIL
Bringing us closer

DRAFT

Management Case: Appendix X – Benefits Management Plan

Obtain registered code from Document Control and enter below

Document number: 123

Revision: 0.2

18 September 2023

Important Notice:

The development of the Management Case is dependent on the development of the other four Cases., and therefore lags in its development.

Key dependencies for the Management Case include:

- **Strategic Case**
- **Economic Case**
- **Integration with other transport projects**
- **Development of urban development scope**
- **Ownership, funding and operations for future stages**

As such, the September WIP draft for the Management Case sets out an outline of deliverables. Tailored content will be prepared as the other four Cases are further developed.

This document should be read in this context. Yellow highlighted text indicates content/tables/figures that will be developed in due course.

DRAFT



Issue and revision record

Document control					
Report title		Management Case: Appendix X – Benefits Management Plan			
Document number		123			
Rev	Date	Revision details/status	Author	Reviewer	Approver
0.1	2023-05-15	Work in progress			
0.2	2023-09-18	Work in progress			
0	2023-05-15				
0	2023-05-15				
Current revision		0.2			

Approval			
Author signature		Approver signature	
Name		Name	
Title		Title	

Security Classification

This document is issued for the party which commissioned it and for specific purposes connected with the above-captioned project only. It should not be relied upon by any other party or used for any other purpose.

We accept no responsibility for the consequences of this document being relied upon by any other party, or being used for any other purpose, or containing any error or omission which is due to an error or omission in data supplied to us by other parties.

This document contains confidential information and proprietary intellectual property. It should not be shown to other parties without consent from us and from the party which commissioned it.



Table of contents

1.	Introduction.....	3
1.1	Document purpose.....	3
2.	Project Approach to Measuring and Achieving Benefits.....	4
2.1	Approach to economic appraisal.....	4
2.2	Benefit risk reviews.....	5
2.3	Connecting with key stakeholders through development.....	5
2.4	Benefit review activities.....	6
2.5	Benefit change process.....	6
3.	Background and Context.....	8
3.1	Project Background.....	8
3.2	Strategic Context.....	8
3.3	Project Output and Objectives.....	9
3.4	Opportunities and Constraints.....	10
3.4.1	Opportunities.....	10
3.4.2	Constraints.....	11
4.	Overview of Benefits.....	11
4.1	Project Benefits.....	11
4.2	Benefit Register.....	12
4.3	Benefit Metrics.....	Error! Bookmark not defined.
5.	Governance Approach.....	1
5.1	Roles and Responsibilities.....	1
5.2	Ongoing Management and Handover Requirements.....	7
5.3	Risks, Assumptions and Dependencies.....	5
5.4	Monitoring, Measuring, Reporting and Refining.....	5
5.4.1	Monitoring and Refining.....	5
5.4.2	Identifying emerging benefits.....	5
5.4.3	Reporting and realising early benefits.....	6
5.5	Realising Benefits, Reporting and Learning.....	6
5.5.1	Lessons Learned.....	7

Appendices:

Appendix A Benefits Register



Figures

No table of figures entries found.

Tables

Table 1.1	Benefit review activities	6
Table 1.1	Key change management strategies.....	Error! Bookmark not defined.



1. Introduction

1.1 Document purpose

The **XXX** is responsible for managing the development and delivery of the Auckland Light Rail (**ALR**) Project. The project includes **XXX** *[subject to confirmation of delivery entity and Preferred CBC Option section completion in the Economic Case]*

Auckland Light Rail City Centre to Māngere (CC2M) presents a once in a lifetime opportunity to help shape Tāmaki Makaurau Auckland as it grows, enabling its people to thrive in a future that is increasingly defined by uncertainty and change. It will transform the lives of many in our community by providing better access to education, jobs, and cultural amenities using Te Tiriti o Waitangi as the founding document of Aotearoa New Zealand, establishing the relationship and obligations between Māori and the Crown. It will also support the transition to net zero carbon emissions by 2050, improve air quality, reduce traffic congestion, and support active travel, health and well-being.

This Benefits Management Plan (BMP) describes how:

- the benefits of the investment in the Project have been identified, valued and developed to date;
- the project benefits link to the Strategic Objectives and Outcomes;
- the roles and responsibilities for the management and realisation of Project benefits;
- the management of the benefits throughout the project lifecycle including measurement, reporting and change management.

Specifically, this BMP outlines the value-oriented framework by which the Project progress and performance can be clearly communicated through all levels of the project delivery team and governance entity, Project Sponsors and Government Agencies and entities.

This version of the BMP has been developed for inclusion in the Auckland Light Rail Business Case and will be updated in line with the requirements of the project lifecycle phases.

The **XXX** will manage the project in accordance with the BMP and the subordinate ALR Project Management Plans. The ALR Project Management Plans are consistent with, and build upon, the **XXX's standard**, which is a high-level framework that supports the initialisation, development and delivery of transport infrastructure construction programs and projects. The **XXX** sets out the lifecycle phases and key roles, responsibilities and deliverables.

The BMP will be reviewed, updated and re-issued as required throughout the life of the project. The plan may be subsumed into the Project Management Plan (PMP) at a later date.

This document applies to all ALR personnel, consultants, sub-consultants and contractors.

[Reference alignment to NZ Treasury approach to benefits management. While content is covered, section order may be updated to better align with NZ Treasury template.]

2. Project Approach to Measuring and Achieving Benefits

The approach being undertaken for the project benefits is in line with the benefits management process within the ALR Project management framework.

2.1 Approach to economic appraisal

The economic appraisal framework for the ALR reflects the strategic role of the Project and includes the city shaping role in servicing one of the most accessible residential regions and some of the most valuable retail and commercial in Auckland. As such, a cost-benefit analysis has been developed to measure integrated transport and land use benefits, comprising both first round benefits before any land use changes are enabled, and second round benefits after predicted land use changes. Figure 1 below summarises the overall approach to economic appraisal.

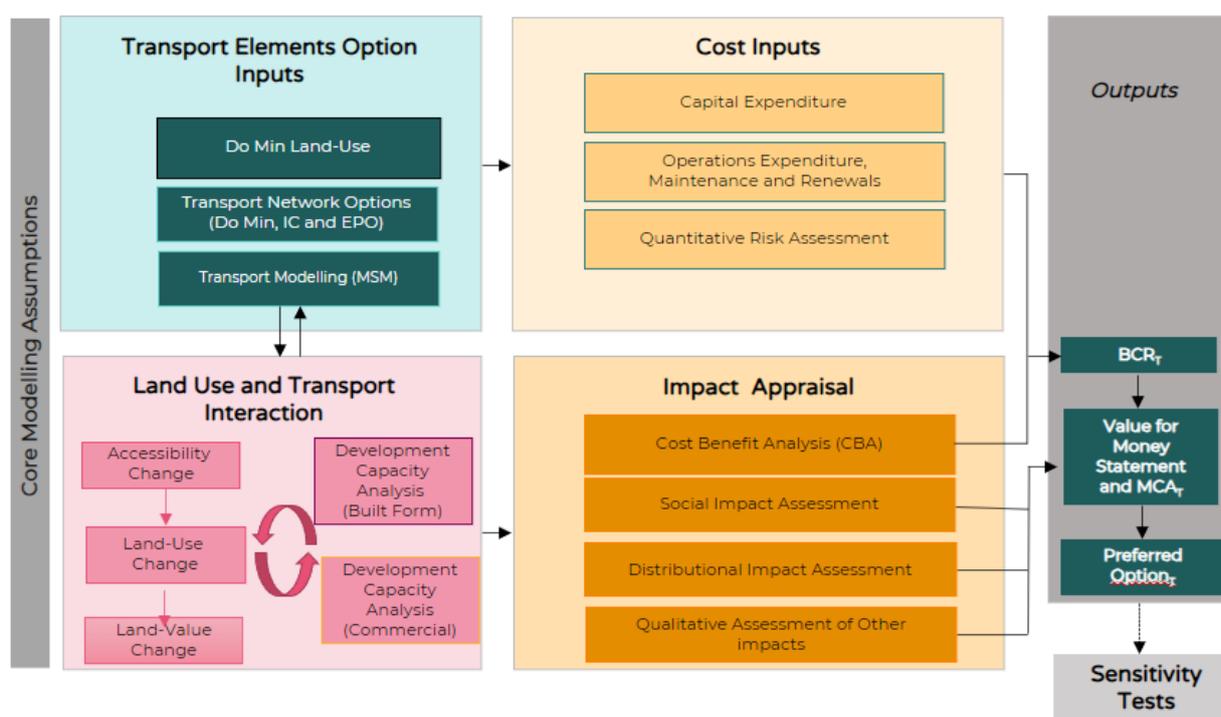


Figure 1 Overall approach and integration of economic appraisal across work streams¹

The benefit streams captured in the framework include transport user, community, wider economic (WEBs) and urban development benefits. This plan has been developed in parallel with the economic appraisal, assisting with the identification of potential benefits. The same data sources have been used for the appraisal and benefits metric calculations.

Baselines have been set with potential sources for future actual data in mind, to enable like-for-like comparison of baselines and actuals after operational handover.

As an important input into the economic appraisal of the project solution, the ongoing operational and maintenance costs have been estimated. As referenced in section 2.5, the

¹ Source: [CBC Economic Benefits Methodology.pptx](#)



project's change control process will consider the potential impact that proposed changes may have on those whole-of-life costs as part of the change assessment and review process.

2.2 Benefit risk reviews

Risks to benefits realisation will be considered as part of the management of the Project extending the project's risk function to include any impacts to benefits. The linkage provided within the Benefit Profiles enables an understanding of the relationship between key project enablers and the benefits, bringing clarity as to where risks may lie within the realisation of benefits.

Risks to benefits will be reported in accordance with the Risk and Contingency Management Plan and Governance Plan, and recorded in the Risk and Issues Register.

Changes to agreed project baselines will be managed via the Change Control process, which will ensure that the impacts of any proposed changes are given due consideration as part of the decision- making process.

2.3 Connecting with key stakeholders through development

As part of the development of the Strategic Case (SC), the Project engaged with key stakeholders within the department to establish the foundational concepts underpinning the project's benefits.

This collaborative process aligned project objectives with strategy at various levels, demonstrating the strategic contribution the project would make. The benefits have been linked the project objectives to expected benefits, through to the enabling outputs that would achieve the required outcomes.

Building on the work done at the IBC stage, and as part of the DBC development further engagement with key departmental stakeholders was undertaken to develop the Investment Logic Map (ILM). The ILM identified the benefit contributions expected from solving the different elements of the problem statement seen in Figure 2 below:

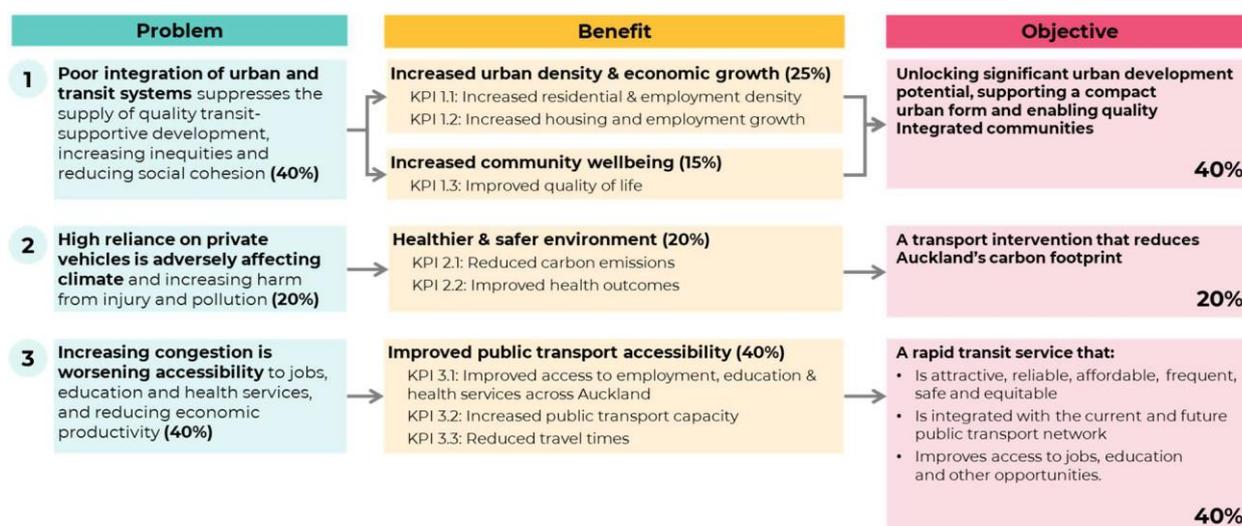


Figure 2 Investment Logic Mapping²

² Source: [2023-07-17 CBC Strategic Case v2.10.pdf](#)



The project team engaged with key operational stakeholders to ensure alignment across measurement methodologies, baselines and data sources. Agreement was reached during this process on benefit ownership and the details of each benefit profile.

[To be developed once changes are known – linked to other Case dependencies to progress (economic and strategic).]

2.4 Benefit review activities

Table 2.1 Benefit review activities

Activity	Purpose	Timing	Status
Benefit Mapping	Engage with key stakeholders to establish the strategic objectives of the project, expected outcomes to be achieved and map out critical outputs for the project with corresponding expected benefits and dis-benefits for further exploration.	As part of DBC	Complete
Benefit Profiling	Determine appropriate benefit types, discuss qualitative and quantitative measures and indicators and determine inclusions/exclusions for incorporation into the Economic Case.	Prior to the development of the Economic Case	Complete
Benefit Review and Baseline	Assess the Economic Case and benefit for the project; determine baseline, refine, and agree change control process.	Prior to the finalisation of the Detailed Business Case and completion of assurance process.	In progress
Benefit Review and Secondary Baseline	Examine the development progress and validity of benefits, including scope changes and design development that has occurred and may impact upon the original benefit estimation. Identify and profile new benefits or dis-benefits that may have arisen and were previously unforeseen. Designate benefit roles and responsibilities.	Prior to the commence of the procurement process	Not commenced
Benefit Risk Workshop	Benefit owners to identify and manage any risks to realising benefits.	Yearly during delivery	Not commenced – ongoing through Procurement and Delivery Phases
Benefits Realisation and Measurement	Collate and determine the final overall Project benefit post completion and realisation of individual benefits. Review benefit process and determine lessons learned.	During operations, at completion of data collection for each benefit	Not commenced – through Delivery and Realisation Phases

2.5 Benefit change process



As the project progresses, where a change occurs that impacts a benefit, and the expected realisation of a targeted benefit outcome, a formal change request will be raised and approval sought using the change process outlined in the Change Control Plan. This will include changes that impact the assets' whole-of-life costs, including operational expenditure and maintenance costs.

In the Procurement and Delivery phases of the project, benefits will be factored into the change control process such that if any changes eventuate, or are required on the project, which materially impact the planned benefits, the benefit owner must formally approve the proposed change.



3. Background and Context

3.1 Project Background

Tāmaki Makaurau Auckland is Aotearoa New Zealand's most populous and economically productive city. Home to 1.7 million people, and contributing 30% to the country's GDP, its airport is also the nation's gateway to the world.

Much of the growth that the city has seen over the past century has been accommodated through expansion of its physical land area.

This has resulted in a very large and dispersed urban form relative to the city's population. This model of growth has been underpinned by private vehicle travel and significant investment in road infrastructure. In turn, it has embedded a heavy reliance on private vehicle travel.

The CC2M corridor is home to 11% of Tāmaki Makaurau Auckland's population (over 170,000 people), and 11% of the city's Māori population. Linking the City Centre, Wesley-Mount Roskill, and Māngere spatial priority areas, the 28km corridor is a key focus for the city's future growth.

The CC2M corridor also contains vitally important economic contributors – the CBD itself, the airport, and two of its major tertiary institutions – and a quarter of all jobs in Tāmaki Makaurau Auckland.

The CC2M corridor is one of three corridors identified by Auckland Transport as the focal points of a future network of rapid transit connections – currently lacking in rail connections, residents currently rely upon buses, and (overwhelmingly) cars.

It is also a place of significant contrasts, with prosperity and transport access shared unequally, and the quality of housing varying widely.

Elements of the above are included in this plan; additional details can be found in the Project Management Plan.

3.2 Strategic Context

The project's outcomes align strongly with key Government priorities.

A selection of the most relevant policies and plans, which guide planning for Auckland and national investment in cities and infrastructure, has been compared to the project objectives. This comparison demonstrates that the project objectives align closely with key government priorities and directions.

The organisation standards are assumed to align with the following:

Housing: liveable communities and sustainable development

- Government Policy Statement on housing and urban development (GPS:HUD)
- MAIHI Ka Ora, the Māori Housing Strategy
- Auckland Plan 2050
- Future Development Strategy

Urban transport: supporting equity, productivity, and carbon outcomes

- Government Policy Statement on land transport (GPS: Transport)

- Auckland Transport’s Future Connect

Environment: the need for integrated transport and land use

- Emissions Reduction Plan
- Te Tāruke-ā-Tāwhiri: Auckland’s Climate Plan

Other key relevant priorities and policy context

- Resource Management Act 1991
- National Policy Statement on Urban Development 2020 (updated May 2022)
- The National Policy Statement on Urban Development Capacity (2019)
- Housing and Business Assessment (HBA) Policy.
- Cost - benefit analysis for a National Policy Statement on Urban Development. Final report for the Ministry for the Environment; July, 2020
- Resource Management Act 1991 (RMA),
- Local Government Act 2002 (LGA),
- Land Transport Management Act 2003 (LTMA).

The following table illustrates the strength of alignment of each policy with the project objectives *[To be developed once changes are known – linked to other Case dependencies to progress.]*

Table 2 Alignment of strategic context with project objectives

STRATEGIC PLAN / POLICY DOCUMENT	 Unlocking Urban Development	 Transport Intervention (lower carbon footprint)	 Rapid Transit Service
National Policy Statement on Urban Development 2020	●	●	●
National Policy Statement on Urban Development Capacity	◐	◐	◐
Housing and Business Assessment (HBA) Policy	○	○	○

- No alignment between Project objectives and policies/plans
- Strong alignment between Project objectives and policies/plans

3.3 Project Output and Objectives

The project objectives have been developed to focus on outcomes not only for commuters but also for communities. XXXXX project objectives were developed to guide the development of the project’s IBC and DBC, and reflected in the Client Business Requirements.

These objectives have been specified to improve productivity, efficiency, connectivity and safety to address the chronic levels of congestion on the Corridor. They also reflect a desire to minimise the project’s impacts during construction and operations, as well as maximise city-shaping opportunities.

The project objectives are outlined in the following table.

Table 3 Investment Objectives

 Unlocking Urban Development (40%)	Unlocking significant urban development potential, supporting a compact urban form and enabling quality integrated communities
 Transport Intervention (lower carbon footprint) (20%)	A transport intervention that reduces Aucjland’s carbon footprint
 Rapid Transit Service (40%)	A rapid transit service that: <ul style="list-style-type: none"> - Is attractive, reliable, affordable, frequent, safe and equitable - Is integrated with the current and future public transport network - Improves access to jobs, education and other opportunities

These outputs and objectives have been developed in conjunction with key stakeholders, with agreed business requirements documented in the Client Business Requirements. The objectives are tailored to address the key elements of the problem statement within the Detailed Business Case and are aligned with contributing to the overall strategic objectives and outcomes, as outlined above.

3.4 Opportunities and Constraints

The following opportunities and constraints have been identified for the project:

3.4.1 Opportunities

Urban

- Quality compact urban growth that fosters thriving communities
- Efficient use of resources, focusing growth around transport capacity
- Lower ongoing costs of service provision and expenditure on travel Transport

Transport

- Accessible, attractive public transport that connects people with jobs and opportunities
- Agglomeration & productivity gains
- Higher levels of amenity, safer streets Environment

Environment

- Lower transport, development, and lifestyle related carbon emissions



- Resilient infrastructure in the face of climate-related weather events.
- Reduce Tāmaki Makaurau Auckland’s carbon footprint

3.4.2 Constraints [to be completed once Strategic Case and Economic Case finalised]

- XXXXXx; and
- XXXXXXXX.

Further details on the opportunities and constraints are outlined in the Detailed Business Case, along with design development considered to address these where possible. Overview of Benefits

3.5 Project Benefits

The economic analysis of the benefits expected from the project are presented in the following table. Present values (PV) are presented, in \$ Billion, using 4% discount rates.

	Separated light rail		Street-running light rail	
	Low	High	Low	High
Public transport users travel time savings	\$3.1B	\$3.6B	\$2.5B	\$3.0B
Public transport journey reliability	TBC ³³		TBC	
Public transport experience	\$0.2B	\$0.3B	\$0.3B	\$0.4B
Active transport (public transport users)	\$3.2B	\$3.8B	\$2.3B	\$2.9B
Residual asset value	TBC		TBC	
User benefits	\$6.6B	\$7.7B	\$5.1B	\$6.2B
Traffic benefits	\$2.2B	\$2.4B	\$1.3B	\$1.6B
Road journey reliability	TBC ¹⁷		TBC ¹⁵	
Crash cost savings	\$0.7B	\$1.0B	\$0.4B	\$0.5B
Active transport (primary users)	TBC ¹⁷		TBC ¹⁵	
Vehicle emissions reduction	\$0.3B	\$0.5B	\$0.3B	\$0.5B
Embodied and operational carbon	\$-0.2B	\$-0.3B	\$-0.05B	\$-0.1B
Other carbon impacts	TBC ¹⁷		TBC ¹⁵	
Land value uplift (rezoning or other land use change)	\$0.9B	\$1.0B	TBC ¹⁵	
Land value uplift (option / non-use value)	\$1.9B	\$2.3B	TBC ¹⁵	
Non-user benefits	\$5.8B	\$6.9B	\$1.9B	\$2.3B



Agglomeration	\$5.9B	\$6.6B	\$4.2B	\$5.1B
Imperfect competition	\$0.3B	\$0.4B	\$0.2B	\$0.3B
Increased labour supply	TBC ¹⁷		TBC ¹⁵	
Movement to more productive jobs	TBC ¹⁷		TBC ¹⁵	
Wider economic benefits	\$6.3B	\$6.9B	\$4.4B	\$5.4B
Total benefits	\$18.7B	\$22.0B	\$11.3B	\$13.9B

3.6 Benefit Register [will be updated as economic case develops further, urban TBC]

This section presents the key benefit categories and the metrics that may be used for measuring their success. It is not expected that all metrics will be measured, baselined and tracked. Those benefits that are recommended for realisation and tracking through the project lifecycle and are included in the Benefits Realisation Register. For each of the measurable benefits identified the metric, measure, frequency and responsible party have been identified below. The benefits are further detailed within the Benefit Register.

Additional benefits will be identified and defined as the project progresses.

The combination of the abovementioned metrics is also pivotal when considering the overall benefits the Project will deliver.



Benefits	Problem Statement	KPIs		Criteria	Measure	Expected outcomes		Benefits realisation plan	
						Separated Light Rail	Street-Running Light Rail		
Increased urban density & economic growth 25%	Poor integration of urban and transit systems suppresses the supply of quality transit-supportive development, increasing inequities and reducing social cohesion (40%)	KPI1.1	Increased residential & employment density	Residential and Employment Density	Amount of residential and/or commercial GFA (existing and realisable) within each Potential Station Zones (PSZs)	Population density (CC2M)	+13-39%		
				Employment density (CC2M)					
		KPI1.2	Increased housing and employment growth	Potential to realise urban change	Amount of public/crown owned land (sqm) including RfR land within the defined PSZs	Household growth (CC2M)	+XXk		
				Potential to realise urban change	Amount of private sector large plots (sqm) within the defined PSZs	Jobs Growth (CC2M)	+XXk		
KPI1.3	Improved quality of life	Access to places of cultural and economic importance, recreation and knowledge	Places of cultural and economic importance, recreation and knowledge within each PSZ	Public transport capacity to accommodate further growth	Significant additional capacity for growth				
			Improved social connectedness						
Increased community wellbeing 15%									
Healthier & safer environment 20%	High reliance on private vehicles is adversely affecting climate and increasing harm from injury and pollution (20%)	KPI2.1	Reduced carbon emissions	Transport infrastructure related embodied carbon	Indicative length of linear infrastructure required (tunnel or surface) to connect PSZs				
				Transport infrastructure related embodied carbon	Number of stations required (tunnelled or surface) to connect PSZs	Whole of life carbon emissions	TBC	TBC	
				Enabled carbon emissions	Likely ability to enable carbon reduction through mode shift, trip reduction and active travel growth (Informed by CBC1.1.1, CBC 2.2.1, CBC3.2.1)				
KPI2.2	Improved health outcomes	Potential for increase in active travel	Population and employment within the PSZ (existing and realisable)	# annual active travel kilometres across Auckland	+9%				
Improved public transport accessibility 40%	Increasing congestion is worsening accessibility to jobs, education and health services, and reducing economic productivity (40%)	KPI3.1	Improved access to employment, education	Transport accessibility	Population living within 45 minutes of key social and economic opportunity areas by public transport	City centre:	+6%		
						University:	+25%		
						Airport:	+132%		
						Mangere:	+184%		
		KPI3.2	Increased public transport capacity	PT Ridership potential	Anticipated number of boardings (weekday daily)	Public transport capacity (CC2M)	Up to 24,000 passengers per direction per hour		
						Annual trips CC2M	38.3m	17.9m	
						Private vehicle kilometres travelled	(-1 to -2%)		
		KPI3.3	Reduced Travel Times	Travel time by Public Transport compared with car	Indicative travel time of PT Journey compared with car during the AM peak	Key Corridor Public Transport Travel Time Saving (M2C, R2C) ¹⁸	M2C-Peak: (-48mins)		
							M2C-Off-Peak (-35mins)		
							R2C-Peak (-30mins)		
				R2C-Off-Peak (-23mins)					
Feasibility and RMA-led Criteria				Deliverability	Engineering Feasibility	Major barriers to the ultimate engineering design			
				Affordability	Transport Capital Cost Impact	Anticipated capital costs compared to other options presented			
					Transport Operational Cost Impact	Anticipated operational costs compared to other options presented			
				Te Ao Maori	Likelihood of impact on Te Ao Maori	Anticipated Maori land impacts including areas of significance. Consideration of wider Kaitiakitanga			
				Social and Community	Likelihood of impact on existing communities and businesses	Anticipated impact on existing communities and businesses along the corridor			
				Property Impacts	Extent and magnitude of property impacts	Anticipated extent and magnitude of property impacts			
				Natural Environment	Likelihood of impact on sensitive natural environments or areas of hazard	Potential impacts on sensitive natural environments and significant hazard areas			
				Culture and Heritage	Likelihood of impacts on sites of significance, archaeology, special character, and heritage	Potential for impacts on sites of significance, archaeology, special character, and heritage			



4. Governance Approach

4.1 Roles and Responsibilities

[Typical roles and responsibilities but will need to be updated once the Delivery Entity is known and understood.]

Role	Responsibility
Sponsor	<p>The Sponsors' role is critical to provide the vision and requirements for the Project and to hold the Delivery Entity to account against performance measures. Ultimate decision-makers on the outcomes being sought (subject to any decisions retained by Cabinet) and the nature and scope of the Project. They should include a mix of local and national representation and provide transport and urban focus, and Mana Whenua representation. The proposed Sponsors are the Minister of Finance, the Minister of Housing, Minister of Transport, Auckland Council elected members and Mana Whenua representatives.</p> <ul style="list-style-type: none">• Sponsors have decision making responsibility on significant matters that shape the Corridor Business Case, including on the route and station locations.• Sets project outcomes and benefits.• Defines the high-level objectives of the project and is accountable for its business case.• Agrees project scope and requirements to achieve stated benefits (in concert with SRO).• Secures organisational support and funding for the project.• Sets project performance requirements (in concert with SRO).• Agrees and signs off any changes to original scope that impact benefits during the development of the project.• Agrees the trade-off and balance between changes to business requirements and impacts on stated benefits.• Provides leadership and direction throughout the project lifecycle.• Ensures adequate funding is available, including coordinating any submissions seeking investment authorisation. <p>Consults with key senior stakeholders and managing the project's relationship with external stakeholders.</p>



Role	Responsibility
Senior Responsible Officer	<p>The Senior Responsible Officer (SRO) or Project Owner, represents the business and is accountable for the success of the project or program of works. The SRO is ultimately responsible for the delivery of the project and ensuring that the project meets its objectives and delivers the benefits for the business.</p> <p>The SRO is responsible for:</p> <ul style="list-style-type: none"> • Providing leadership, support and direction for the project, and direction to the project team and project managers throughout the project lifecycle. • Ensuring that an appropriate solution is developed in response to the identified problem, and that the project benefits are realised. • Consults as necessary with relevant stakeholders in defining the project's objectives, scope and requirements, and develops options in conjunction with internal operators. • Approves project scope, estimates and timelines, including ensuring that the project is technically and financially viable and compliant with relevant policies, standards and strategic business plans. • Monitors project financial status and performance with support from project managers and Work Stream Leads. • Provides oversight of the integrity of the project's value proposition throughout the project lifecycle. • Defines governance mechanisms necessary for providing direction and oversight of the project. • Reviews and approves key project documents. • Provides decisions for major risks, issues and changes impacting the business case of the project. • Escalates to relevant governance bodies any risks or issues that are critical to project objectives. • Manages interface with key senior stakeholders. • Provides final acceptance of project work product/output. <p>Accountable for ensuring the correct resources for the project are engaged.</p>
Executive Leadership Team	<ul style="list-style-type: none"> • Provide leadership and strategic advice to ensure the project achieves its overall objectives. • Ensure the project's scope aligns with the requirements of key stakeholder. • Review and make decisions on Project Change Requests within its agreed tolerances. <p>Escalate Project Change Requests exceeding ELT tolerances.</p>



Role	Responsibility
Project Directors & Work Stream Leads	<ul style="list-style-type: none"> • Accountable for the overall execution, management and delivery of the project (scope, budget, schedule). • Responsible for the project documentation/artefacts. • Facilitates the implementation of the defined project governance activities. • Provides leadership and direction to the project team, and resources supporting the project. • Responsible for progressively estimating resource requirements for their teams. • Plans, coordinates and manages project activities and resources. • Manages project schedule and costs, as relevant. • Manages stakeholders and communications. • Manages and resolves issues and risks (within levels of delegation). • Provides decisions for medium project risks, issues and changes impacting on the business case of the project. • Escalates to the SRO any issues that have a major impact on the project's objectives. • Manages operational handover and final output acceptance. <p>Manages contracts with vendors (supported by Procurement and Contracting resource).</p>
Director, Business & Governance	<ul style="list-style-type: none"> • Implements governance and mechanisms to ensure appropriate decision making, direction and oversight of the project. • Ensures the process and framework for managing risks and issues that are critical to project objectives are implemented and communicated. • Provides leadership and support for key project activities including risks, reporting and assurance matters. • Escalates to the SRO any issues that have a major impact on project objectives, or project controls. <p>Liaises with Executive in other parts of the department or with external stakeholders to ensure the objectives of the project are met.</p>
Project Manager(s)	<p>The Project Manager is the individual or group assigned (by the SRO, or leading organisation) to lead the workstreams responsible for the delivery of the project objectives.</p> <ul style="list-style-type: none"> • Oversees the project and manages the outcomes to ensure that the planned benefits are delivered. <p>Works with Benefits Owner to establish measures for the benefits.</p>
Benefits Owner (The person accountable for the realisation of a benefit)	<p>The individual or group who are accountable for the benefits realisation.</p> <ul style="list-style-type: none"> • Authorises the Benefit Profile. • Consulted on the Benefits Realisation Plan. • Accountable for the delivery of the benefits. • Monitors business changes. <p>Approves data to evidence benefits realisation.</p>
Business Change Manager (The person responsible for benefits management from identification to realisation)	<ul style="list-style-type: none"> • Responsible for ongoing delivery of the Benefits Realisation Plan. • Defines the benefits of the programme. • Embeds the capability into the business operations. <p>Ensures business ownership, understanding, commitment and adoption.</p>



Role	Responsibility
Work Stream Members	<ul style="list-style-type: none"> Support the project Work Stream Leads by providing advice and input on various general or technical aspects of the project. Responsible for maintaining high quality documentation/outputs/training as required by the project. Develops the Benefits Realisation Plan in consultation with the benefits stakeholders. Drives the progress of the benefits realisation during the initiative life. <p>Ensures benefits realisation is adequately planned for following hand over to the benefits owner at project completion.</p>
Key Stakeholders	<ul style="list-style-type: none"> Provide advice and input to existing and potential issues affecting the project objectives and the project's impact to various stakeholders. Identify opportunities to optimise the project output for consideration in the project scope. Define the functionalities required from the project output. <p>Participate in relevant user acceptance testing/trials of project output.</p>
Project Support	Various out-posted resources assigned to provide specific assistance to the project (e.g. procurement, contracting, finance, legal, training, administration).

Decisions and changes potentially impacting on benefits will be managed via the governance structure, change control, and processes described in the Governance Plan and Project Management Plan.

Deliverable	Description	Project Sponsor	Business & Govern.	Project Directors	Benefit Owner	Finance
Benefits Management Plan	Defines benefits categories, governance and reporting	A	R	C	C	I
Benefits Profiles	Defines and describes individual benefits	I	R	C	A	I
Benefits Register	Living document to track benefits and any actions	I	R	A	C	I
Benefits Dashboard	Report that is periodically prepared to show status of benefit, risks and updates	C	R	A	I	I
Benefits Evaluation Report	Outlines the initiative and its achievements and evaluates Project benefits	C	R	A	I	C
Benefits Realisation Handover Plan	Details recommendations, actions and treatment for benefits, for ongoing benefits management.	C	R	C	A	C

*RACI categories:

- Responsible (R) – responsible for performing the tasks and delivering the work packages associated with the activity
- Accountable (A) – will be held accountable for the result of the activity
- Consulted (C)– will be consulted to agree the result for that activity; or
- Informed (I) – will be informed of progress and/or the outcome of the activity.



4.2 Risks, Assumptions and Dependencies

Risks relating to project benefits will be managed in accordance with the Risk and Contingency Management Plan. High-level risks relating to the benefits outlined above include:

Benefit Realisation Area	Risk
Increased urban density and economic growth (25%)	
Increased community wellbeing (15%)	
Healthier and safer environment (20%)	
Improved public transport accessibility (40%)	

4.3 Monitoring, Measuring, Reporting and Refining

Risks relating to project benefits will be managed in accordance with the Risk and Contingency Management Plan. High-level risks relating to the benefits outlined above include:

4.3.1 Monitoring and Refining

Programs/projects should be monitored throughout the Procurement and Delivery phases to ensure they are on track to deliver the intended Outputs stipulated in the Detailed Business Case, and the proposed changes and enablers are on track to enable benefit realisation.

This monitoring should occur in parallel with the required change processes for the project, adhering to the required reporting procedures to key stakeholders. Where there are changes in scope or expected impacts to outputs and enablers (including delivery timeframes), benefits should be revisited as these will have an impact on the approved benefit, and expected value to be realised upon completion of the project.

Any changes should be managed via the process outlined in the Change Control Plan, recorded and reflected in the Benefits Management Plan and Benefits Realisation Register in **Appendix A** with formal notification and discussion with the project's governing body as appropriate.

When reporting, it is useful to indicate early if benefits are at risk of not being realised. This is where the tolerance levels, set in the Governance Plan, Change Control Plan, Risk Management and Contingency Management Plan can act as a trigger for when the risk of non-realisation of benefits should be highlighted and how they are to be escalated.

4.3.2 Identifying emerging benefits

During Procurement and Delivery, additional benefits may be identified that had previously been excluded or not considered as part of the Initial Business Case and Benefits Management Plan. Where these are identified, a Benefit Profile should be created in the



Benefits Management Plan and included in the Benefits Realisation Register with stakeholder approval for realisation following the completion of the key change or enabler.

This process should include both emerging benefits and dis-benefits.

4.3.3 Reporting and realising early benefits

Benefits reporting is conducted when benefits start to be realised and measured. It is a continuous process that commences as soon as business change starts to be delivered. The focus early in the project life will be on reporting progress in achieving intermediary outcomes of the project e.g. new capabilities successfully delivered, change outcomes achieved, etc. In the Realisation phase, (reporting should continue beyond project closure) the focus is on the achievement of the desired business and strategic benefits.

Reporting continues over the entire lifecycle of the project, and beyond project closure. Performance against Strategic Objectives and Outcomes is usually realised well beyond the project delivery lifecycle as stipulated in the Benefits Realisation Register for each benefit.

The reporting contains information for each benefit that recognises the realised contribution that has been made to the overall project, and subsequently to the Strategic Objectives and Outcomes to which the benefit is aligned. The realisation of benefits should be completed using the Benefits Realisation Register, and information collected post implementation to enable the measurement of success. Each benefit will have a different measurement method as stipulated in section 4.4.

Once the realised benefit has been determined and documented in the Benefits Register, it should be compared with the baseline target measure for that benefit, and any discrepancy explained, including variances (both positive and negative), changes that may have impacted the realisation of the benefit (as documented in the change control register) such as external interfaces outside of direct project control, impacts on enablers, delays or cost changes. Each benefit should be assessed independently and included in the Project closure report as part of the transition to the Realisation Phase.

4.4 Realising Benefits, Reporting and Learning

The Benefits Register stipulates the benefits that are practical to realise upon completion of the project and defines the measurement methodology and information required to make an assessment as to the value of the benefit realised.

During the realisation of benefits, it is important to attribute the results to the benefits aligned with Strategic Objectives and Outcomes, particularly where benefits may have multiple methods of measurement (including monetary and non-monetary).

It is also important to document and note any external factors that may have influenced the realisation of the benefit, to ensure that the realised benefit is attributed to the right initiative and change. To determine if the benefit target is achieved as a direct result of the investment, ask the questions:

- Would the benefit target result have been achieved without the investment in the project?
- Were there any other reasons outside the investment that may have influenced the achievement of the benefit?



These questions should be answered, and results included alongside each benefit in the Benefit Realisation Register.

Where benefits have not been achieved in line with expectations, an explanation for the deviation from targets should be sought, documented and discussed with key stakeholders. Any suggested corrective actions should be agreed with the project manager and outcome/benefits owners. Corrective actions may involve further investment in the project and will need to be formally approved, with adequate roles and responsibilities defined for completion.

4.4.1 Lessons Learned

During the entirety of the Benefits Management process, the identification of lessons learned should be undertaken and recorded for distribution through the wider project team, to embed any resultant learnings into BAU.

Wherever possible, relevant lessons from other projects should be applied as soon as possible in the life of the initiative. This is important because it assists in optimising the value of the benefits by removing obstacles that diminish them.

The final review of the lessons learned considers adjustment to practices and the Benefits Management process that help the project to continue to optimise its benefits management. These may be specific to types of programs/projects or more general and affect all programs/projects.

Lessons learned should be captured in the Lessons Learned Register.

4.5 Ongoing Management and Handover Requirements [to be drafted once owner assessment completed]

Upon completion of the project and successful commissioning, the responsibilities around operation and maintenance of the assets will be handed over to the relevant asset owner/operator through the control gateways. At the point of handover, the governance of benefits realisation and associated owners will need to be reallocated to the appropriate authority or entity.

To ensure that benefits are tracked, realised and managed throughout the entire project lifecycle, a primary and ultimate benefit owner have been assigned to the benefits that have been included in the BMP for realisation. The table below shows the appropriate owner, proposed handover gate and the primary benefactor for the benefits set for realisation.

It is proposed that the Project Sponsor has overall authority for the realisation of benefits and is ultimately accountable and responsible for ensuring that the relevant bodies track and report on benefits assigned to them as part of the control process.

Benefit	Primary Owner	Ultimate Owner	Control Handover	Primary Benefactor
Increased urban density and economic growth (25%)				
Increased community wellbeing (15%)				



Benefit	Primary Owner	Ultimate Owner	Control Handover	Primary Benefactor
Healthier and safer environment (20%)				
Improved public transport accessibility (40%)				

- a) Charged with ensuring that the benefit is tracked throughout the project lifecycle up to operational handover, monitoring for changes that may impact on the benefit outcome or measurability
- b) Charged with ensuring the benefit is tracked and realised during operation and maintenance. The ultimate owner is also tasked with ensuring the final realised benefit value is captured and reported to the departmental executive

As the project progresses, it is the responsibility of each benefit owner to ensure that any changes that have occurred or impacted on a benefit, as well as the current status, have been recorded ensuring that at the time of handover the proposed measure methodology in the BMP can be assessed, modified, and implemented to ensure that appropriate benefits can still be realised and reported.

It is key that the requirements of tracking and measuring benefits are included within procurement documents, ensuring that the handover of assets to the owner / operator maintainer encompasses the requirement for the ultimate owner to have access to data sets and figures from operation / maintenance that may be used in the realisation of benefits.



[Page intentionally left blank]

Appendix A Benefits Register

DRAFT

[Page intentionally left blank]

DRAFT