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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)



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Management Case: Appendix X – Post Implementation Review Plan

Obtain registered code from Document Control and enter below

Document number: 123

Revision: 0

[Publish Date]



Issue and revision record

Document control					
Report title		Management Case: Appendix X – Post Implementation Review Plan			
Document number		123			
Rev	Date	Revision details/status	Author	Reviewer	Approver
0	2023-05-15				
0	2023-05-15				
0	2023-05-15				
0	2023-05-15				
Current revision		0			

Approval			
Author signature		Approver signature	
Name		Name	
Title		Title	

Security Classification

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1. [Document purpose etc.]

[Include document purpose section – common approach across all Project Plans.]

[Note: Still to be determined whether assurance should be included in this Project Plan or in the Governance Project Plan. It is currently located in the Governance Project Plan.]

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2. Introduction

2.1 Evaluation subject

[Include summary of rationale based on July WIP Strategic and Economic Cases]

The Auckland Light Rail (**ALR**) project is the evaluation subject. ALR is managed by **XXX**.

[Include summary of project based on July WIP Strategic and Economic Cases]

An indicative project logic map for ALR is shown below. This illustrates the intended flow of cause and effect from ALR inputs and activities through to outputs and outcomes. The investment logic map will be validated during the evaluation.

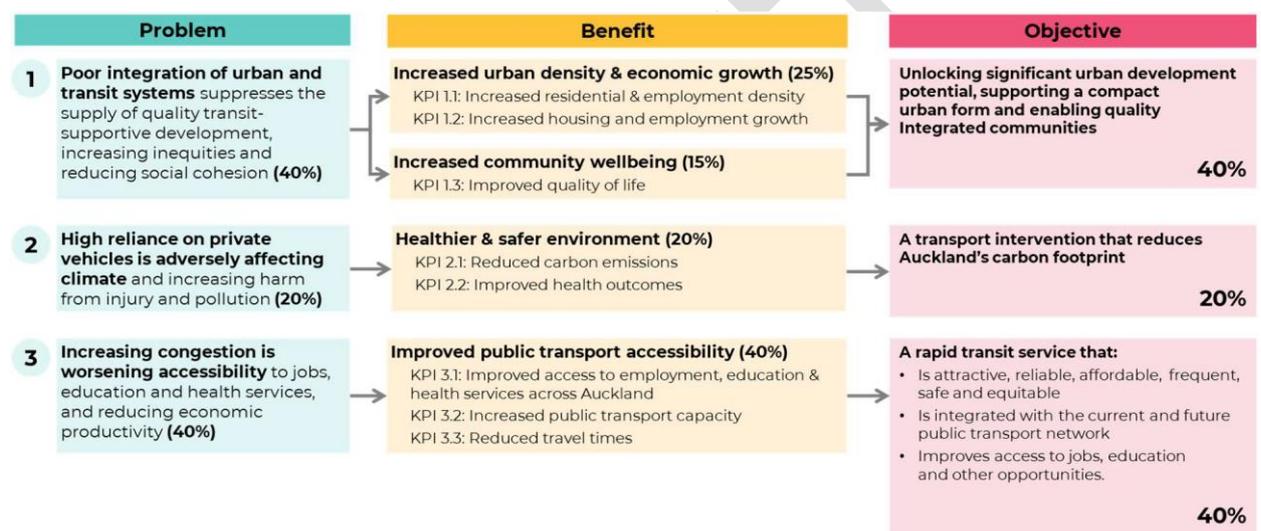


Figure 2.1 Project logic map

2.2 Evaluation purpose

The purpose of the evaluation is to assess the appropriateness, effectiveness and efficiency of ALR project. The evaluation will consider both the implementation of the ALR project and the outcomes it has delivered. Consequently, the evaluation has formative and summative dimensions. The evaluation will inform future project proposal evaluation, along with the **XXX's** approach to project delivery.

The primary audience for the evaluation report includes:

XXX

2.3 Evaluation resources

The evaluation will be commissioned by **XXX**, and will be conducted by an independent evaluation expert or firm. The **XXX** will be responsible for managing the evaluation project. The human resources and materials required will be supplied by the external evaluator and **XXX's** project team responsible for managing the evaluation process.

The XXX will contribute data and expertise to the evaluation, including all data regarding ongoing monitoring of project performance.

2.4 Content of the Evaluation Plan

The remainder of the evaluation plan includes the following content:

- Evaluation criteria and questions;
- Data requirements;
- Methods;
- Risk;
- Reporting and dissemination; and
- Budget and timeframe.

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3. Evaluation criteria and questions

3.1 Evaluation criteria

The evaluation will consider the appropriateness, effectiveness and efficiency of ALR.

- Appropriateness includes consideration of the suitability of ALR to meet its objectives.
- Effectiveness includes consideration of the extent to which ALR has achieved its objectives.
- Efficiency includes consideration of the value-for-money of ALR both in its delivery and the outcomes achieved.

In considering the appropriateness, effectiveness and efficiency of ALR, consideration is given to the following aspects of the project:

- Construction impacts
- Design outcomes
- City-shaping outcomes
- Level of stakeholder engagement
- Integration with the broader public transport network
- Asset management, operations and incident management

These criteria are explored further through the evaluation questions provided below.

3.2 Questions the Evaluation will Seek to Answer

The table below provides the evaluation questions, including an indication of corresponding evaluation criteria and whether they form part of the formative, process or summative evaluation streams.

[Include table]

[Include logic map from July WIP Strategic Case]

4. Data requirements

4.1 Baseline Data

The evaluation will require baseline data that will subsequently be used for comparison with results achieved in future years. This in turn will provide an indication of project effectiveness. The benefits management process incorporates problem-related baseline data and tracking of actual benefits realised relative to those baselines.

The period that this evaluation relates to is from the establishment of the XXX, through to operational handover.

The remainder of this section describes quantitative and qualitative data requirements for the evaluation, including how these data will be obtained.

4.2 Quantitative Data Requirements

The quantitative data requirements of the ALR evaluation primarily relate to the following:

Data relating to safety, including:

- Number of fatal incidents:
 - XXX
- Financial information and other project implementation data, including:
- Budget versus actual expenditure;
- Benchmark data for comparable projects in other jurisdictions (desirable); and
- Site safety (incidents, near misses etc) statistics.

4.3 Qualitative Data Requirements

The qualitative data requirements of the ALR evaluation primarily relate to the following:

Stakeholder views of project appropriateness, effectiveness and efficiency (including improvement suggestions); these stakeholders include:

- Agencies contributing funding to transport infrastructure construction projects:
 - XXX
- Community and transport user attitudes towards improved safety and efficiency.

The methodology described below details the process that will be followed in the collection and analysis of evidence to respond to the evaluation questions.

5. Method

5.1 Overview

The evaluation will occur over the following phases of work:

- Plan and prepare
- Research and analyse
- Reporting and dissemination

The figure below provides an overview of the planned approach.

[Include figure]

5.1.1 Plan and prepare

This phase involves planning and preparing for the evaluation. It would constitute an initiation meeting between the evaluation team and XXX to discuss details of the project and confirm the planned approach. An evaluation plan would then be agreed and finalised, modelled on the approach outlined herein. Finally, the project logic would be reviewed and refined as necessary, based on input from XXX. The data collection required specifically for the evaluation would be developed by the XXX.

5.1.2 Research and analyse

Desktop review

Data collection and analysis

Quantitative data

Quantitative data will be obtained from:

XXX

Qualitative data

Qualitative data will be obtained from:

XXX

Analysis

Analysis will correspond to the causal links on the project logic. That is, through quantitative and qualitative analysis of the data described above, the analysis will indicate how ALR is (or is not) contributing to its intended outcomes.

Specifically, this will involve the following:

XXX

Reporting and dissemination

XXX

The evaluation report is to be disseminated to:

XXX

There are material linkages with the benefits management process, particularly around the quantitative data requirements outlines in section XXX above. The Benefits Management Plan outlines baselines, measures and reporting around the key benefits that demonstrate the project's delivery of its intended outcomes.

The lessons learned process embedded in the XXX also covers a significant portion of the intentions of the evaluation. To that end, there may be efficiencies realised by combining the Post-Implementation Review process with the benefits management and/or lessons learned processes.

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6. Ethics and risk

6.1 Ethics

The key ethical considerations in the evaluation relate to consent and privacy.

6.1.1 Consent

Representatives of agencies with responsibility for the transport system and law enforcement would be expected to contribute their views to the project within the context of their professional duties. Their consent to participate can be assumed, subject to interviews being arranged.

For other stakeholders, particularly public transport users who are private citizens, informed consent would be required. This would involve the evaluation informing these participants of the purpose of the evaluation, and how the information they provide would be used and presented.

6.1.2 Privacy

The analysis of any datasets that include individual names would be de-identified. Specifically, it will not be possible to link accident data to individuals with these data.

Similarly, survey responses will not identify individuals. Interviews or focus groups would use names for the purpose of conducting the discussion, but would not retain names or attribute individual views in the report. The report would be written so as to not identify individuals.

6.2 Risk

The key risks requiring management through the evaluation include:

[Include points]

The table below briefly expands on these risks and provides mitigation strategies.

[Include table]

7. Budget and timeframe

There is a continuum of options for evaluation budget and timeframe, ranging from lower to higher cost and intensity. In framing an approach, relevant considerations include the scale of funding allocated to ALR in comparison to other transport infrastructure construction projects in New Zealand, and the fact that it is the first mega project undertaken in New Zealand history [statement to be confirmed].

The evaluation is a discrete task focussed specifically on the impact of the project on the XXX, and needs to be conducted on a scale commensurate with the magnitude of the project.

It is therefore suggested that the evaluation combine an extended period of performance monitoring, data to be provided by the transport analytics group, followed by an intensive phase of project evaluation and assessment.

Following a period of performance monitoring of approximately XXX years, a more intensive evaluation phase would occur incorporating a broader range of data sources, including qualitative data, as outlined above.

The duration of this phase would be approximately three months. It would result in a draft and final evaluation report. The monitoring phase would be undertaken by XXX as part of the benefits management process.

The three-month evaluation phase would require a budget of approximately \$XXX-XXX, depending on the amount of primary data collection required specifically for the evaluation.