

Proactive Release

This document is proactively released by Te Manatū Waka the Ministry of Transport alongside other Auckland Light Rail Business Case documents. 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 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

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)



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Management Case

Document number: ALRPC-ALRA-XXXXXXXX-XXX-BC-MGC-RP-RPT-000001

Revision: 0.4

18 September 2023



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Important Note to Reader:

This CBC Management Case is in development with an aim to provide more certainty on the likely best entity option for ALR CC2M's deliverables and outcomes and write up the supporting Case plans. Further information and recommendations are needed from the preceding Cases and wider technical work to progress the Management Case.

This Work-in-Progress (WIP) draft version of the Management Case and associated appendices (Project Plans) focuses on the outline structure and commentary on what is to follow and how. It does not take into account the latest (unseen) versions of Strategic, Economic, Commercial and Financial Cases.

Our focus is on developing the appendices (Project Plans). The appendices (Project Plans) are the detailed artifacts that are carried forward post the Corridor Business Case. The Management Case chapter will provide a high-level summary of key points from the appendices (Project Plans). The chapter will be further developed in parallel to the further development of the plans.

This document should be read with this context in mind and that it remains subject to potentially significant changes following the findings / outputs of other workstreams. ca

When reading this September WIP draft version of the Management Case:

- **Yellow text** is intended as a note to the reader, particularly to identify where future work is planned to inform future revisions of this document.
- Black text outlines current work in progress content and messaging

Note the instructions received from Ministry of Transport (signed 29th August; received 13th September) have not yet been incorporated into this version of the Management Case. We suggest this is done post-election (October 2023).



Issue and revision record

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0.4	2023-09-18	Latest WIP	Simon Buxton / Kathryn Coufts	Samin Huq	Andy Thackwray
Current revision					

Approval			
Author signature		Approver signature	
Name	Simon Buxton / Kathryn Coufts	Name	Andy Thackwray
Title		Title	

Security Classification

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Appendices:

Addendum 1: July WIP Assumptions

Appendix A: Governance Management

Appendix B: Project Management

Appendix C1&C2: Change Management

Appendix D: Benefits Realisation

Appendix E: Risk Management

Appendix F: Post Implementation Evaluation

Appendix G: Case Studies

Figures

To be added in final version

Tables

To be added in final version

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1 Executive summary

Note to John Williamson: Simon to add a short summary here on 26/09.

[Drafting note: This section will be prepared after the remainder of the Management Case chapter and supporting management plans have been further developed.]

It is intended to provide an overview of the governance and management arrangements for the Project. It will link with the key messages from preceding Cases. Graphics will be included where possible to assist in summarising information.]

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2 Introduction

2.1 Purpose

The purpose of the Management Case is to describe the management arrangements that will be used to successfully manage and deliver the Auckland Light Rail City Centre to Māngere project (**ALR CC2M** / the **Project**).

This Management Case provides an overview of the management approach for the Project post completion of the Detailed Business Case (**DBC**), including:

- governance frameworks and structures to manage the Project, ensure its objectives are met and the outcomes and benefits of the investment are realised;
- key management plans to progress and monitor the implementation of the Project, including the overarching Project Management Plan (**PMP**) which defines how the Project will be managed, executed and controlled, and the suite of supporting management plans; and
- key next steps for implementation of the Project beyond completion of the DBC.

2.2 Background

ALR CC2M is a 24-kilometre passenger fully autonomous railway running between Te Waihorotiu Station and Auckland Airport including surface and tunnel running track. It is intended to be the first part of Auckland's future rapid transit network and establish the spine of the network. It will eventually link into the Northwest Rapid Transit and the Waitematā Harbour Connections projects.

The Project will enable the City Centre to Māngere Corridor (CC2M Corridor) to accommodate significantly higher growth in a way that enhances the quality of life, equity, social cohesion and environment. It will also provide critical connectivity to jobs, education, health and social services, and amenities.

The Project is a significant investment for Auckland, and is of a scale that will challenge the market and New Zealand's financial and delivery capacity. These factors suggest a bespoke delivery model will be required, tailored to the project risks, staging and phasing, market capacity and conditions, stakeholder requirements, and the availability of funding.

2.3 Overview of the Management Case

Managing and delivering the Project will require clear governance frameworks, robust project management and proactive communications and stakeholder engagement.

The Management Case builds from previous work undertaken on the Indicative Business Case (**IBC**) and sets out how the Project will be delivered, monitored and evaluated, leveraging local and international best practice management arrangements.

[Drafting note: This section to be updated as the Management Case further develops.]

The Management Case will provide:

- an overview of market precedent for projects of this nature, in terms of governance and management arrangements as part of broader project successes and challenges;

- how the Project will be governed, including a summary of the assessment to determine the preferred entity(s) options based on the Project scope;
- how the Project will be managed, including organisational arrangements, roles and responsibilities, stakeholder management and communications;
- how Project risks and opportunities will be managed, particularly where residual risks should be considered in future activities;
- how the Project will manage change, including key changes from DBC to future stages of the Project, and change control during Project delivery; and
- how the Project will be monitored and evaluated, including for performance against assumptions, trigger points for Project commencement and benefits realisation.

Each section of the Management Case summaries a key component of the management arrangements and is supported by the accompanying management plans set out in the appendices.

2.4 Approach

The Management Case reflects the integrated ambition of the Corridor Business Case (CBC), where both the transport and the urban elements have been considered together.

As directed by Sponsors:

- the transport elements have been developed to a level commensurate with a DBC; and
- the urban elements have been developed to a level commensurate with an Indicative Business Case (IBC).

Consequently, the Management Case has been developed to enable flexibility and provide some commentary on optionality (where appropriate, particularly in relation to governance arrangements), should the Project direction be further refined in relation to urban elements in the future if/when they are developed to a level commensurate with a DBC.

2.5 Indicative Business Case

The IBC for the Project, submitted in October 2021, was developed in order to investigate a rapid transit solution along the CC2M Corridor. The IBC explored a wide range of transport options, including various modes of public transport and route options.

[governance arrangements – long/short list of entity options were identified, and a recommended option determined based on assumptions.]

[entity options were retested through the DBC stage to reflect further refinement and evolution in the project's scope, updated assumptions etc.]

The Project Planning and Funding Agreement (PPFA) from 6th October 2022 outlined in detail the arrangements for ALRL. In summary it confirmed the parties expressly acknowledge and agree that:

1. (a) the Crown is not obligated to make the Final Investment Decision to proceed with the ALR Project into the Delivery Phase; and

2. (b) the Sponsors (including Sponsor Related Organisations) are not obligated to make related investment decisions which are required in order to allow the benefits of the ALR Project to be obtained.

Cabinet Paper was sent on 18th May 2022 re-confirming the need for the IBC stage to set clear roles and responsibilities for its delivery, and the form and ownership of the delivery entity taking ALR forward. All in collaboration with Council officials, the Unit and other agencies as necessary (for example Crown Infrastructure Partners, Waka Kotahi, Kāinga Ora, Te Waihangā). The paper confirmed **focus on**:

- a. Funding Principles and Tools – core Transport
- b. Funding Commercial Opportunities – Urban Development
- c. Financing Arrangements
- d. Sponsor Financial Arrangements
- e. Financial Delegations and Controls.

- The IBC did not detail the Project Management Plan pending further clarity on the exact role of the Delivery Entity.
- The IBC provided a high-level approach to the benefits management plan, however, didn't include any details of the benefits assessed in the economic case.
- The IBC did not detail the Change Management procedure pending further clarity on the exact role of the Delivery Entity.
- The IBC did not detail the Project Assurance Framework or post-implementation evaluation approach pending further clarity on the exact role of the Delivery Entity.
- The 16 March 2023 "New ALR Ltd Company Purpose and amending Sponsor Requirements" letter from Minister Wood that states "I am pleased to confirm ... that ALR's purpose is to **undertake, deliver and construct the ALR project** in the manner contemplated by, and subject to, all decisions made by the crown".

2.6 Overview of existing (Sept 2023) arrangements for Detailed Business Case

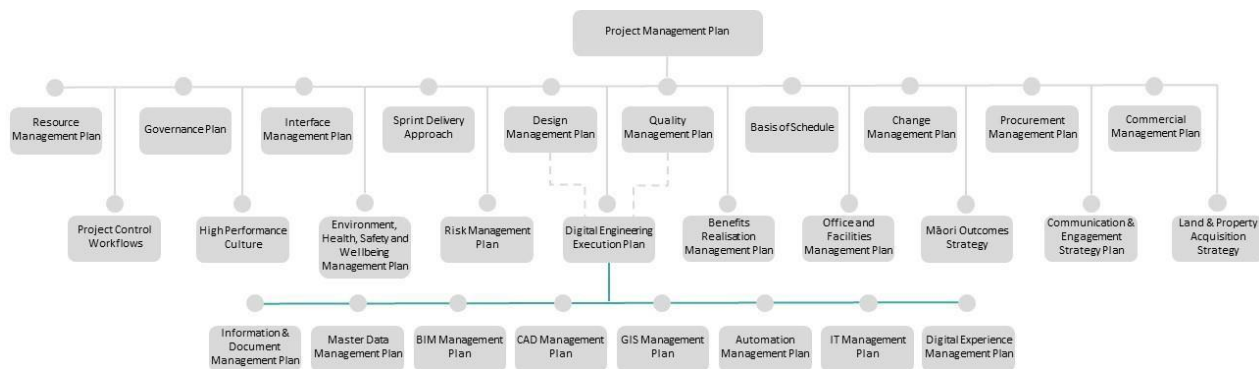
The existing governance structure for the CBC phase of the Project (as at September 2023) is illustrated in the following figure.

[Insert existing structure diagram, and summary points below of arrangements.]

Key aspects of the governance arrangements are summarised below:

-
-

In relation to the broader management arrangements for the CBC phase of the Project (as at September 2023), various project plans are in place, as shown in the following figure.



The existing governance and management arrangements and have been considered as part of developing this Management Case, including the supporting management plans.

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3 Summary of recommended Project option

[Drafting note: This section is a placeholder to include a summary of the recommended project option based on key elements from the preceding cases. It is intended to provide context upfront in the Management Case to enable the Management Case to be read in isolation of the other cases. It is optional and can be further considered (or removed) as the Management Case is further developed.]

- 3.1 Overview of recommended project option
- 3.2 Scope and staging
- 3.3 Packaging and procurement
- 3.4 Affordability and funding

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4 Governance arrangements

[Drafting note: This section is work in progress and will be completed once the DBC recommended project option is more understood.]

It will summarise the assessment process of entity options and the recommended entity(s) option. The recommended entity(s) option will summarise the governance structure(s), roles and responsibilities and appropriate capabilities, capacity and culture to deliver.

WIP Management Case Key Considerations: Assumptions for the July WIP version are included in Addendum 1 and these and the following governance arrangements will be further updated, post-election (October 2023), in the next version of the Management Case. Once preceding Cases conclude, information on required legislation, powers, skills, capabilities and capacity will also be added.]

4.1 Purpose

The purpose of this section is to define the governance arrangements required for the successful management and delivery of the preferred option for the Project.

Based on the recommended Project option in the Detailed Business Case, governance arrangements have been assessed to identify a recommended entity(s) option.

The governance structure and processes for the recommended entity(s) option have been developed to guide the management and delivery of the Project and ensure the objectives, outcomes and benefits of the investment are achieved.

Out of Scope

4.2 Assessment of governance arrangements

4.2.1 Context

The entity and governance analysis arrangements included in the Indicative Business Case was based on key assumptions that [have been or may be] subsequently updated by the recommended project option in the Detailed Business Case.

Examples of such Indicative Business Case assumptions include:

separation in delivery of transport and urban solutions – focused on delivery of the transport components of the Project, and responsible for securing the urban outcomes, but will partner with other agencies for the delivery of urban development.

Auckland Transport nominated as the agency in charge of procuring, contracting and integrating operational and maintenance services for the transport components of the Project, and will own the assets following completion.

no consideration of operational and maintenance services for the urban development components of the Project.

Crown financing – no private financing.

While it is not intended nor considered appropriate to re-assess a long list of entity options in this Detailed Business Case, an assessment of a shortlist of entity options is considered

appropriate to determine the best-for-project governance arrangements based on the recommended project option.

As such, sections 4.2 to 4.4 set out the assessment process, summary of a short of entity options and assessment of the entity options against the assessment criteria. The assessment is supported by international case study analysis of recent and relevant comparable projects to the ALR project and specifically consideration of key successes factors, challenges and lessons learnt. Refer to **Appendix A** for further details..

[Drafting note: For consideration as the Management Case is further developed, the assessment process of entity(s) options could be included as an appendix with a summary included in the Management Case chapter.]

4.2.2 Overview

The assessment process of entity(s) options that bridges the Indicative Business Case to the Detailed Business Case is set out in the following diagram.

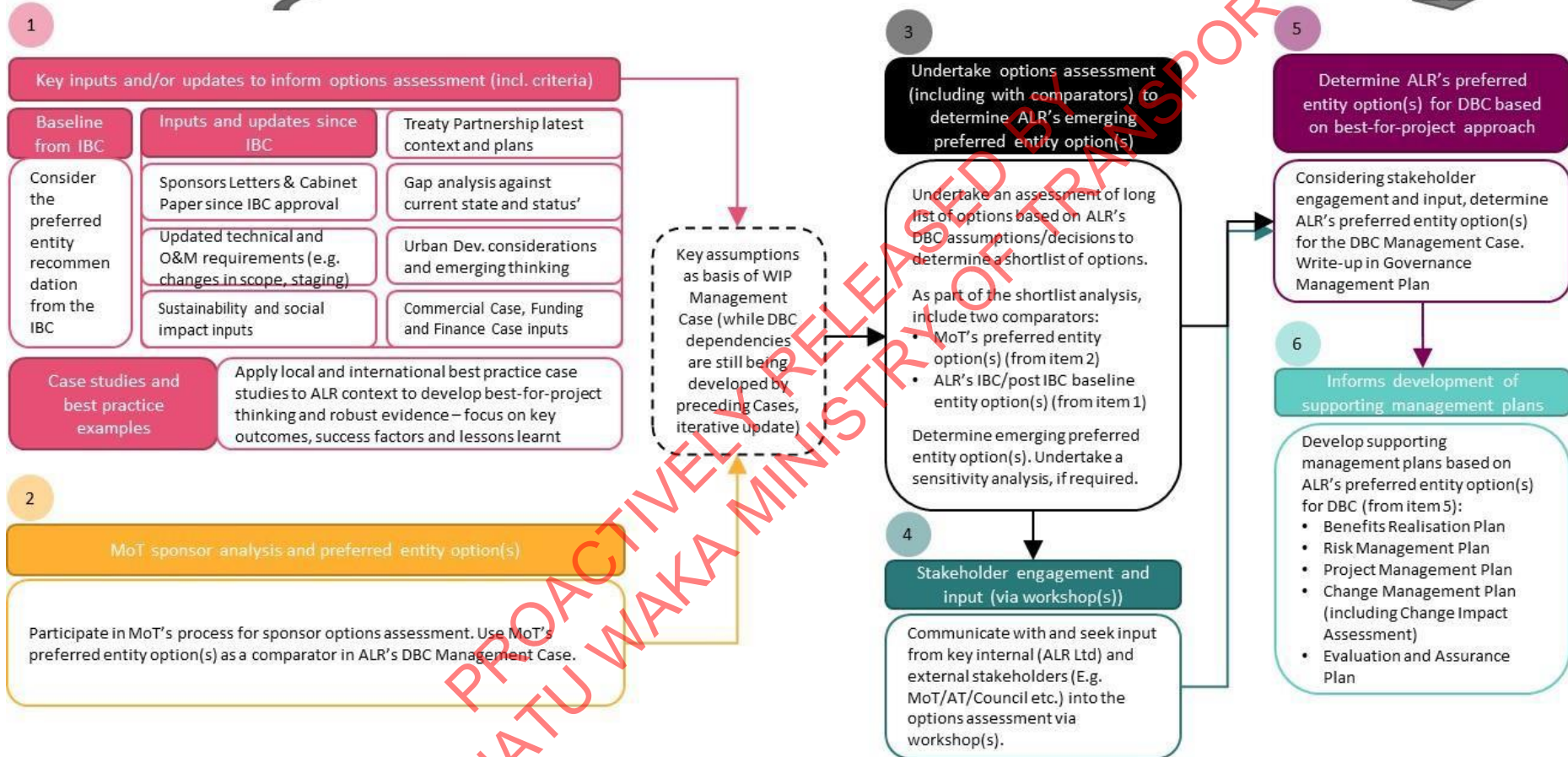
Key elements of the process are summarised below:

[Insert summary of key elements]

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Bridging Indicative Business Case (IBC) to Detailed Business Case (DBC)



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4.2.3 Assessment criteria

The assessment criteria for the entity options analysis are summarised in the following table.

The assessment criteria were developed based on:

best-practice experience of multi-criteria assessments of governance arrangements on previous infrastructure and development projects; and

case study analysis of key successes, challenges and outcomes from recent and relevant precedent projects (particularly metro, light rail and integrated transport and urban development projects) in New Zealand, Australia and internationally.

Table Error! No text of specified style in document.-1 Assessment criteria

Criteria	Description
Clear accountability	The extent to which the option enables independence, accountability and assurance in a clear and robust manner.
Decision-making	The extent to which the option enables efficient and effective decision making.
Efficiency	The extent to which the option supports efficiency of costs, program and resourcing to provide value-for-money.
Deliverability of project	The extent to which the option enables efficient and effective delivery of the project and services, including management of commercial and integration risks.
Capability	The extent to which the option can be appropriately resourced by personnel with the relevant skills and expertise to deliver the project outcomes.
Capacity	The extent to which the option can be appropriately resourced by a sufficient number of personnel to deliver the project outcomes.
Customer-focused	The extent to which the option incorporates and promotes a customer-focus on partners (including Mana Whenua and Māori), stakeholders, the community and passengers.
Outcome-focused	The extent to which the option enables the delivery of outcomes (including performance, cost and whole-of-life outcomes) and benefits to be realised.
Flexibility and ability to manage change	The extent to which the option is flexible to accommodate potential future changes and can scale structure and resources.
Future-proofing	The extent to which the option can be future-proofed for potential future changes and enable innovation.

4.2.4 Scoring methodology

A qualitative, comparative scoring methodology was used as set out in the following table.

Each option was assessed against each assessment criteria, which included consideration of the features of each option and how these features may support or detract from the criteria. The assessment focused on the relative performance of each option against each criteria.

Table Error! No text of specified style in document.-2Scoring methodology

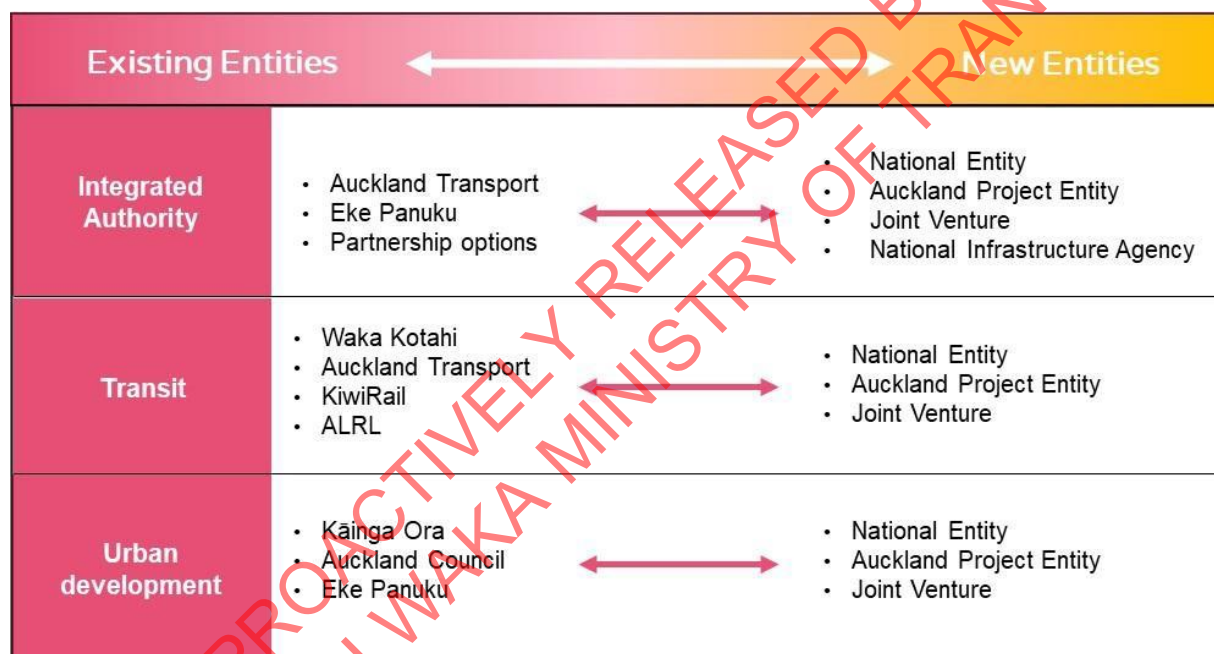
Scoring methodology				
2	1	0	-1	-2
Very well aligned	Well aligned	Neutral	Poor alignment	Very poor alignment

4.2.5 Weighting methodology

[Drafting note: To further consider whether we want to weight any criteria.]

4.3 Summary of shortlisted entity(s) options

A spectrum of indicative entity options exists for the future entity and governance arrangements of the project, as illustrated in the following figure.



A shortlist of four entity options was identified for assessment. A summary of the four entity options, including a description of each option and rationale for inclusion in the assessment, is set out in the following table.

Table Error! No text of specified style in document.-3Summary of short-listed options

Option	Description	Rationale for inclusion in assessment
Option A	<p>Existing transport entity (MoT baseline)</p> <ul style="list-style-type: none"> Existing transport delivery entity (ALR Limited) Existing transport operations entity (Auckland Transport) <p>Key MoT assumptions:</p> <ul style="list-style-type: none"> No urban development No private finance 	<p>Based on MoT's current analysis of ownership and operations arrangements (with Deloitte) dated 13 July 2023, the emerging recommendation is for Auckland Transport to be the existing transport operations entity.</p> <p>Key dependencies still to be considered by MoT:</p> <ul style="list-style-type: none"> Delivery, procurement and contracting models for transport solution Delivery, procurement and contracting models for urban development solution Funding and financing model
Option B	<p>Existing and separate transport and urban entities (Post IBC baseline)</p> <ul style="list-style-type: none"> Existing transport delivery entity (ALR Limited – Schedule 2 entity) Existing urban delivery entity (KO) Existing transport operations entity (Auckland Transport) Existing urban operations entity (KO). 	<p>The IBC proposed ALR Limited as a Schedule 4A company. Based on further work after the IBC, ALR Limited was set-up as a Schedule 2 company.</p>
Option C	<p>Existing delivery and separate (with one new) operations entities – not integrated</p> <ul style="list-style-type: none"> Existing transport and urban delivery entity (ALR Limited) Separate transport and urban operations entities with at least one of these entities being new 	<p>A potential entity option that leverages both existing entities and at least one new operating entity.</p> <p>The option is more progressive than Option B but not integrated like Option D.</p>
Option D	<p>New integrated transport and urban entity</p> <ul style="list-style-type: none"> New integrated transport and urban delivery and operations entity e.g. integrated infrastructure entity 	<p>An optimal entity option to achieve integrated transport and urban outcomes in an enduring and sustainable manner.</p> <p>Supported by international case study analysis – refer examples below.</p>

4.4 Outcome of entity(s) options assessment

4.4.1 Entity options assessment

The shortlisted entity options (outlined in section **Error! Reference source not found.**) were assessed against the assessment criteria (outlined in section **Error! Reference source not found.**) to identify the emerging preferred entity option.

A summary of the overall assessment is set out in section 4.4.2, and a summary of the detailed analysis per assessment criteria is set out in sections 4.4.3 to 4.4.12.

4.4.2 Overall summary of assessment

Table Error! No text of specified style in document.-4Summary of options assessment

Assessment Criteria	Options			
	A	B	C	D
Clear accountability	-1	0	1	2
Decision-making	0	0	0	1
Efficiency	1	0	0	2
Deliverability of project	-1	0	1	2
Capability	0	-1	0	1
Capacity	0	0	-1	-2
Customer-focused	0	-1	0	2
Outcome-focused	-1	1	1	2
Flexibility and ability to manage change	0	0	0	1
Future-proofing	-1	1	1	2
TOTAL (unweighted)	-3	0	3	13
TOTAL (weighted)				

[Drafting note: Following sub-sections to include a detailed summary of the entity options assessment – each option vs individual assessment criteria.]

4.4.3 Assessment Criteria 1: Clear accountability

4.4.4 Assessment Criteria 2: Decision-making

4.4.5 Assessment Criteria 3: Efficiency

4.4.6 Assessment Criteria 4: Deliverability of project

4.4.7 Assessment Criteria 5: Capability

4.4.8 Assessment Criteria 6: Capacity

4.4.9 Assessment Criteria 7: Customer-focused

4.4.10 Assessment Criteria 8: Operations-focused

4.4.11 Assessment Criteria 9: Flexibility and ability to manage change

4.4.12 Assessment Criteria 10: Future-proofing

4.5 Recommended entity(s) option

[Drafting note: To be further development with summary of Governance Plan.]

The governance structure and processes will guide the management and delivery of the Project and ensure the objectives, outcomes and benefits of the investment are achieved. The roles and responsibilities for managing the Project have been defined to provide clarity, confidence and transparency in the decision-making process, to enable the efficient flow of information between the Project's governing bodies and key stakeholders.

[Drafting note: Insert summary of capability and capacity requirements of entity(s).]

The ALR Project Delivery Office has been established to lead and manage the planning (pre-delivery), procurement and delivery of the Project.

The project management approach supports the initialisation, development and delivery of infrastructure, as summarised in the following figure.



Project lifecycle phases – high-level characteristics

The governance structure includes governance activities focussed on XXX. These arrangements will be updated as the Project progresses through its lifecycle, ensuring the governance is fit for the purpose of progressing the Project for each project lifecycle phase.

[Drafting note: As arrangements are further developed, insert details and diagrams for detailed planning, procurement and delivery phase/entity; and operations phase/entity.]

4.6 Governance Management Plan

The purpose of the Governance Management Plan is to enable transparency and confidence in decision-making by clarifying the roles, responsibilities and authorities within the Project's governance structure and processes, to improve the quality or context of information for decision making and to allow for the effective flow of information between the Project, its governing body and key stakeholders.

The Governance Management Plan sets out a management framework that ensures the Project is appropriately governed [with assurance of these mechanisms provided to key internal and external stakeholders over the life of the Project.]

The Governance Management Plan will achieve this by defining the following:

The strategy and purpose of governance measures to be adopted by the Project to provide open and transparent oversight of all aspects of the Project;



The manner in which governance [and assurance activities] are appropriately scaled and undertaken to ensure an efficient and agile approach to these activities, and

Roles and responsibilities for governance [and assurance activities].

The Governance Management Plan will be reviewed, updated and re-issued as required throughout the life of the Project. The Governance Management Plan is provided in

Appendix A.

Drafting note: Case Studies are in Appendix G and relevant supporting extracts will be added as call out boxes in next version.

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5 Project management

[Drafting note: This section is work in progress and will be completed once the DBC recommended project option and future entity options are understood. It will summarise the project management arrangements, as set out in the Project Management Plan.]

5.1 Purpose

The purpose of this section is to define how the Project will be managed, including organisational arrangements, roles and responsibilities, controls and reporting, stakeholder management and communications, and delivery management arrangements.

The Project Management Plan is provided in Appendix B: [Project Management Plan Appendix](#)

5.2 Project Management Plan

The Project Management Plan consolidates and summarises the information that defines the Project and how it is to be managed, executed and controlled through the Project lifecycle. It provides direction and guidance to ALR Project Delivery Office and the Contractors' management teams responsible for conducting the required work associated with the Project.

The ALR Project Delivery Office will manage the Project in accordance with the Project Management Plan and the developed subordinate management plans. The management plans are consistent with, and build upon, Waka Kotahi guidance, with the aim to support the initialisation, development and delivery of transport infrastructure construction programs and projects.

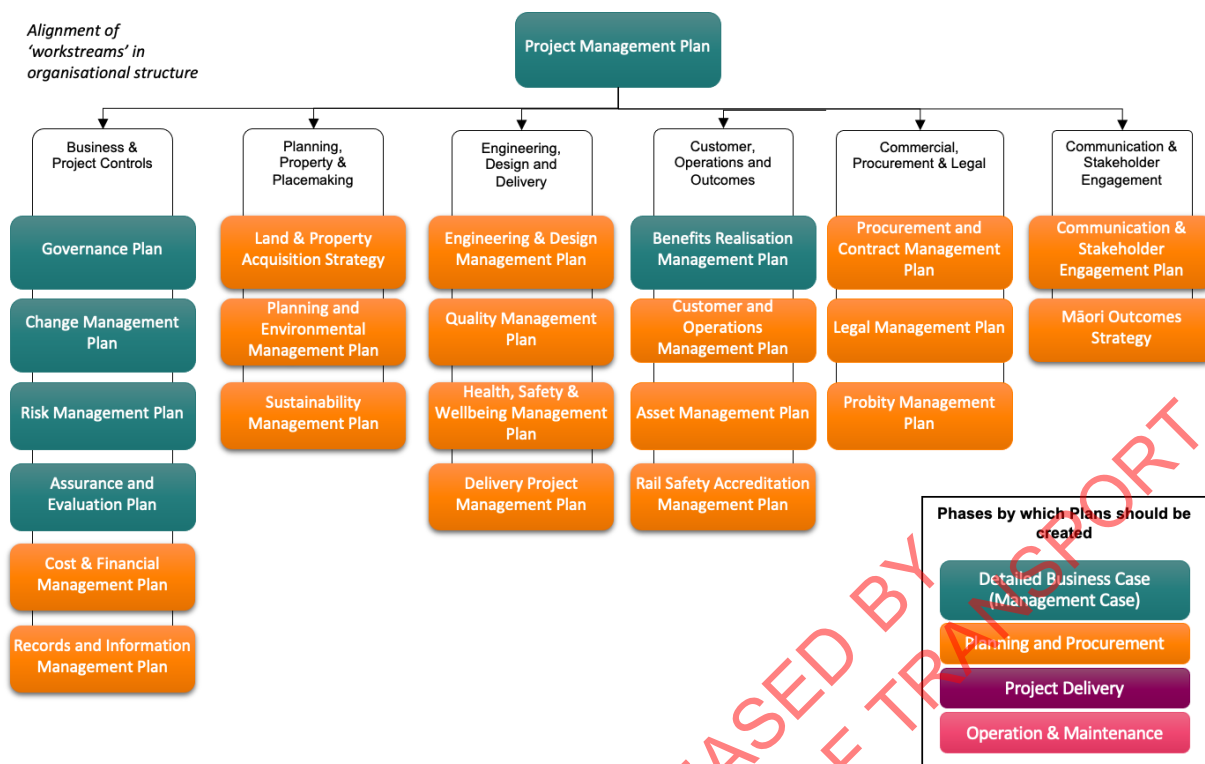
The Project Management Plan is focused on the pre-delivery and procurement phases of the Project, and will be updated to support future activities such as delivery and realisation.

5.3 Management Plan Hierarchy

The Project Management Plan has been developed as part of the project management system and is part of the suite of management plans developed for use on the Project.

It is the level 1 Management Plan and is both an executive summary of the more detailed plans that sit beneath and a reference point for the resolution of ambiguity across the more detailed plans. The hierarchical linkages across the Project Management Plan are shown in the figure below.

Alignment of 'workstreams' in organisational structure



5.4 Organisational arrangements

The organisational arrangements required to deliver the Project and the key project roles and responsibilities are summarised below. The Project will be governed by [XXX].

[Insert Governance Oversight Structure]

Project resource and planning arrangements have also been outlined. The project will use a process of resource planning to analyse, forecast and plan workforce resources.

Data and information requirements have also been developed, including the establishment of protocols for the procurement and implementation of systems to ensure compliance and interoperability.

Arrangements for stakeholder and communications management are also detailed.

5.5 Integrated controls and reporting

Integrated controls and reporting arrangements have been developed and include how decisions are made and documented, and key meetings to be implemented for the effective management and oversight of the Project.

Key frameworks underpinning the integrated controls and reporting arrangements include:

Project health and safety, including work health and safety, safety in design and safety during construction;

Cost management, including reporting, earned value management, end of month process and project estimates;

Schedule management, including work breakdown structure, master schedules, contractors schedules;



Change control;
Risk and contingency management;
Environmental management; and
Quality management.

5.6 Project delivery

Arrangements for project delivery are detailed in the Project Management Plan, including:
engineering and design management;
how the Project impact assessments on land acquisition will be undertaken;
how procurement and contract management arrangements will be managed;
delivery management activities, including delivery, site investigations, utility service relocations, and accommodation works; and
Project handover and closeout activities.

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6 Change management

[Drafting note: This section is work in progress and will be completed once the DBC recommended project option and future entity options are understood.]

It will summarise the key project changes required and change impact assessments (CIAs) to ensure the next stage is set-up correctly and that the future delivery entities have the appropriate capabilities, capacity and culture to deliver. This will be supported via tools such as Kotter's change model or PROSCI, as needed.

This section also provides an overview of the key changes that will be attributable to the Project, the rationale for progressing with the Project and the consequences of not actively managing these changes.]

6.1 Purpose

The purpose of this section is to define the organisational change management plans required for the successful delivery of the preferred option for the Project.

During the Project's development, changes will be required during detailed planning, procurement, design, construction, and operations. To manage changes, a Change Management Plan and a Change Control Plan have been developed Out of Scope

6.2 Change management framework

[This section will summarise the change management approach, such as Kotter's change model or PROSCI, as needed. The approach will be confirmed after the governance arrangements are further understood.]

6.3 Change management principles and strategies

Principles of change management that have been taken into consideration during the development of the Change Management Plan are summarised in the following table.

Table Error! No text of specified style in document.-5Change management guiding principles

Key Change	Change Management Strategies
Focus on outcomes and benefits	A focus on outcomes and benefits provides a line of sight for all change management activities to all stakeholders. The outcomes and benefits may be different for each group of stakeholders. The communication and change management may need to be approached differently for each group of stakeholders.
Engage early	An effective change program requires commitment throughout ALR including, but not limited to, the project team. The engagement of stakeholders in the formative stages of the project is required for successful implementation. The roles and responsibilities of stakeholders differ; some will help shape the project/change vision and plans, while others will be end users of the change.

Key Change	Change Management Strategies
Adopt a coordinated and consistent change management approach supported by communication and engagement	<p>Key messages are required to be defined and consistent throughout the project. The change management strategy will incorporate:</p> <ul style="list-style-type: none"> • approach to change; • communication techniques; • engagement strategies; and • marketing strategies. <p>The individual impact of the changes must be considered in all communication methods and techniques utilised.</p>
Establish a culture of continuous improvement	<p>Change management activities should commence from pre-implementation, continuing throughout the project implementation. Opportunities to improve the effectiveness of these activities are critical to realising success.</p> <p>The change management activities will ensure that a fit for project approach is maintained throughout the lifecycle of the project.</p>
Communication of values and alignment with ALR and XXX values	<p>All stakeholder engagement and communication activities must reflect ALR and XXX values. Demonstration of how the project aligns with these values will be expanded upon and demonstrated in the ALR Team Charter. This will build confidence and respect for the project and its objectives.</p>

6.4 Summary of key project changes

A summary of key changes, anticipated to arise throughout the Project's lifecycle is provided in the following table. This is not an exhaustive list of all changes that will arise as a result of the project; rather, it is a high-level summary of the main changes that have been identified as needing to be managed.

[To be developed once changes are known – linked to other Case dependencies to progress.]

Table Error! No text of specified style in document.-6Key project changes

Phase	Key change
Pre-Delivery Detailed Planning	
Procurement	
Delivery	
Operations Realisation	

6.5 Change communications

Change communication activities will be consistent and adaptive to stakeholder requirements throughout the Project lifecycle to ensure they are effective. The primary change management communication activities include:

regular communications with key stakeholders involved in the Project within and outside of ALR;

communication roll out to the general public and local communities regarding the benefits of the Project;

regular communications to ministers and other government departments to advise, inform and seek guidance as appropriate; and

more intensive focus groups, consultation or counselling sessions as needed for the Project team members to gather ideas, provide information and seek feedback on proposed changes (e.g. Business and Community Reference Groups).

The development of any media, community engagement and communications materials will be undertaken in accordance with the [Community and Stakeholder Engagement and Communications Strategy and other documents].

6.6 Change management plan

The Change Management Plan outlines the approach to managing the holistic change created as a result of the project. This involves capturing key changes and outlining how these changes will be managed. The Change Management Plan provides:

the rationale for change and key changes;

expected benefits and the end state as a result of the project;

change management strategies and key stakeholders;

communication for change;

how changes will be monitored and reported through the governance structure; and resourcing, governance and risks to changes.

The Change Management Plan will be reviewed, updated and re-issued as required throughout the life of the project, and is provided in **Appendix C, Attachment 1**.

6.7 Change control

6.7.1 Overview

The Project will implement change control through a Change Control Plan. The Change Control Plan will ensure the Project has defined and structured processes for identifying, assessing, implementing and managing the various aspects of change control, including:

identifying the potential need for change (change alert);

defining and assessing the change (change request development and approval);

planning for change;

planning and scheduling impacts;

budget impacts;

stakeholder management; and

implementing and managing change within delegated authority limits.

The Change Control Plan will also facilitate the management of project interfaces and the correct sequencing of work packages for the Project.

From initiation to closure, the change control process ensures the appropriate resources are considering the change and providing direction to effectively manage it, while also balancing impacts on Project objectives, cost, scope and schedule.

A register of changes will be maintained with any changes (proposed, approved, implemented, and/or anticipated) to be communicated in line with the guidance in the Change Control Plan.

6.7.2 Change Control Plan

The Change Control Plan is designed to:

outline the process by which changes will be controlled (i.e. identified, verified, assessed, documented and accepted or rejected);

ensure that changes are raised and assessed in communication with the appropriate stakeholders;

ensure all relevant governing bodies are notified to ensure changes and impacts are clearly understood and actions are taken in line with the necessary delegations; and

define the roles and responsibilities in managing change.

The Change Control Plan is provided in **Appendix C, Attachment 2**.

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7 Benefits realisation

[Drafting note: This section is work in progress and will be completed once the DBC recommended project option is further developed. It will summarise the benefits mapping and approach, as set out in the Benefits Realisation Plan.]

7.1 Purpose

The purpose of this section is to outline the approach to managing the benefits to be realised through delivering the Project.

The benefits analysis has been informed by the Investment Logic Map of multiple cause-effect relationships, including benefits, objectives, outputs and outcomes as identified in the Strategic Case.

Out of Scope

7.2 Benefits management approach

The Investment Logic Map identified the benefit contributions expected from solving the different elements of the problem statement show in the figure below. The measurable benefits that have been identified align with the Project's objectives and KPIs.

All benefits identified in the Strategic Case and appraised in the Economic Case have been accounted for by a profile and included in the Benefits Realisation Plan.

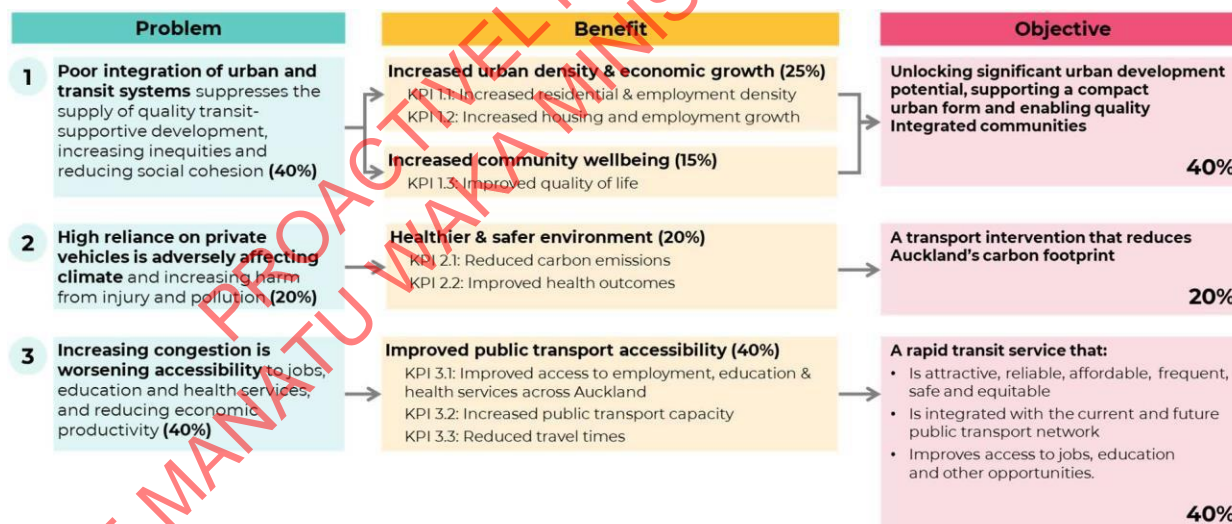


Figure Error! No text of specified style in document.. Investment Logic Map

7.3 Overview of benefits

A summary of the benefits to be measured is provided in Appendix D.

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 are included in the Benefits Register (attached to the Benefits Management Plan).

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

[Insert table summary extract from Benefits Realisation Register.]

7.4 Benefits monitoring, measuring, reporting and refining

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.

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

Monitoring and refining – the Project should be monitored throughout the procurement and delivery phases to ensure it is on track to deliver the intended outputs stipulated in the DBC, and the proposed changes and enablers are on track to enable benefit realisation.

Identifying emerging benefits – during procurement and delivery, additional benefits may be 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.; and

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..

7.5 Benefits Management Plan

The Benefits Management Plan 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; and

the management of the benefits throughout the Project lifecycle including measurement, reporting and change management.

The Benefits Management Plan is provided in **Appendix D**.

Drafting note: Other management plans – such as an Environmental Commitments Plan can maybe go in this section also

8 Risk management

[Drafting note: This section is work in progress and will be completed once the DBC recommended project option and future entity options is further developed. It will summarise the risk management approach, as set out in the Risk Management Plan.]

8.1 Purpose

The purpose of this section is to outline the approach, plans and processes for the effective management of risks during the Project lifecycle.

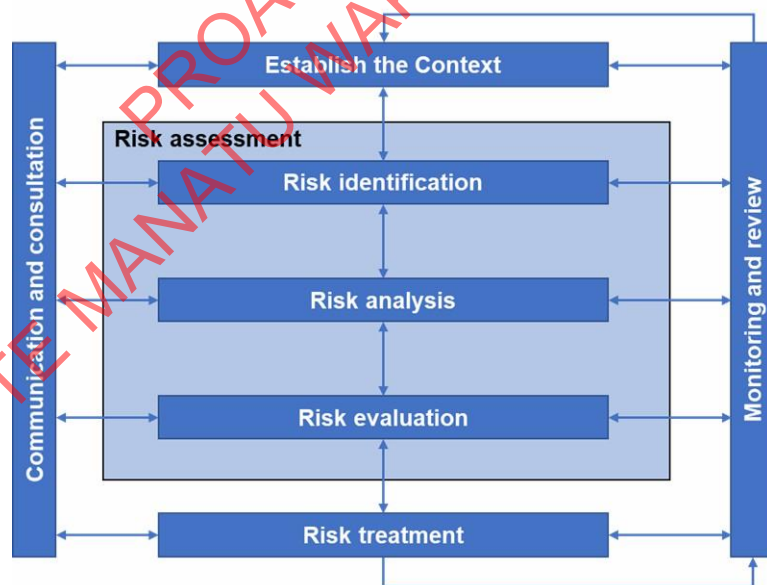
Out of Scope

8.2 Risk management framework

Risk management is a structured approach to identifying, assessing and controlling risks that emerge during the Project lifecycle. By managing risk, the expected costs of the Project are lowered or the expected benefits increased – risk and benefit are two sides of the same coin – and successful delivery depends on the effective identification, management and mitigation of risks.

The risk management framework for the Project has been developed in accordance with the Waka Kotahi minimum standard Z/44 Risk Management Practice Guide and the AS/NZS ISO 31000 - Risk Management. The figure below summarises the key steps of the risk management process and activities that will be applied for this Project.

The objectives of the risk management approach are to identify, assess and mitigate risks where possible to an acceptable level, and to continually monitor risks throughout the remainder of the Project as other risks or threats emerge or change so that the strategic objectives of the Project are achieved.



Source: Adapted from ISO 31000: Risk Management Guidelines

8.3 Risk appetite

[Drafting note: The Risk Appetite definition is to be further developed and discussed with ALR. Initial draft risk tables are being developed in the Risk Management Plan.]

8.4 Summary of key Project risks

A summary of key risks identified in the Detailed Business Case for the Project is provided in the following table. This is not an exhaustive list of all risks that will arise as a result of the Project; rather, it is a high-level summary of the key risks that have been identified as needing to be mitigated.

A comprehensive risk register is attached to the Risk Management Plan.

[Insert table – To be developed once key risks are further developed – linked to other Case dependencies and entity analysis to progress.]

8.5 Risk [and Contingency] Management Plan

The Risk and Contingency Management Plan sets out a management framework to ensure that levels of risk and uncertainty are properly managed across the life of the Project, and to summarise the contingency management process to be applied.

The Risk and Contingency Management Plan defines:

the process to be adopted by the Project to identify, analyse and evaluate risks to the Project;

the process by which risk mitigation strategies will be developed and deployed to reduce levels of risk to the Project;

the frequency at which risks will be monitored and reviewed, the process for review and who will be involved;

the processes by which contingency will be calculated, allocated, utilised, returned and reported;

roles and responsibilities for risk and contingency management; and

the process and requirements for reporting on risk status, and changes to risk status, within the Project and to other governance bodies in the structure.

The Risk and Contingency Management Plan is provided in **Appendix E**.



Table Error! No text of specified style in document.-7Risk Register (Top 5 Risks)

Description	Stage	Cause	Consequence	Current Risk Level	Proposed mitigation
Governance alignment (Mana whenua governance, leadership, and Kaitiaki alignment)	Pre- and Post-FID	<ul style="list-style-type: none"> -Conversations with iwi / mana whenua are not initiated early enough and their opportunity for involvement in key decision making is lost. - Lack of communication and relationship building with key partners - Operational support is not there, even though partnership is supported at governance level. - Speed of the project - Inconsistent or non-relevant conversation 	<ul style="list-style-type: none"> - Delay in court proceedings - Litigation - Ministerial decisions that are misaligned with iwi - Impairment of relationships all three levels of treaty partnership - Political fallout - Programme delay - Approvals not obtained 	Critical	<ul style="list-style-type: none"> - Meeting every 2 weeks with Mana Whenua at the kaitiaki level. - Engagement at all three tiers. - Communication plan between project plan and Mana Whenua. - Meetings setups with Iwi leadership. - Mana Whenua representative's (3) have been confirmed on the sponsor group (High level communication group). - TOC jointly negotiated/clear responsibilities - Investment in working relationships - Talk 'first policy' - Engagement at multiple levels of partner organisations - Extensive Partner engagement activity - The proposed partnering and governance model seeks to address the issue of alignment. - Deliberate one team culture being implemented.

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Description	Stage	Cause	Consequence	Current Risk Level	Proposed mitigation
Insufficient geotechnical data (leading to additional investigations or realignment post NoR submission)	Pre- and Post-FID	<ul style="list-style-type: none"> - Insufficient number of site investigations, basalt ID is key to the design of the project. - Identification of unidentified basalt in alignment - Commitment to Mana Whenua is to avoid the basalt. 	<ul style="list-style-type: none"> - Basalt discovered at a later stage - Amend alignment - Amend NoR Designation - Design rework and delays to design progression. - Rework to avoid basalt and associated partner impacts - Flawed cost estimate. 	Critical	<ul style="list-style-type: none"> - Investigations conducted as efficiently as possible - Focus increase on desktop study to mitigate early density ground investigations
Construction inflation (exceeding the escalation rate predicted in the IBC phase for investment decision)	Pre-FID	<ul style="list-style-type: none"> - IBC escalation basis set to 2 years 3% and 1 year 4% per annum, realised escalation on construction materials is greater. 	<ul style="list-style-type: none"> - Program not being able to be delivered within IBC phase cost envelope 	Critical	<ul style="list-style-type: none"> - Continued interface alignment between design and funding teams. - August-September 2023 x3 rounds of Value Engineering / Value Management with design and cost estimation teams.
Sponsor sustainability goals / expectation to reduce carbon not being met	Pre-FID	<ul style="list-style-type: none"> - ALR project carbon savings not as high as expected and / or significant costs to achieve savings. - Upfront carbon investment payback period not soon enough. 	<ul style="list-style-type: none"> - ALR project impact on entire transport system carbon impact (reduction). - Additional investment to reduce upfront carbon. 	Critical	<ul style="list-style-type: none"> - Carbon management plan. - Carbon reduction strategies for upfront carbon.
Later project stages cancelled or delayed (leading to key benefits not being realised)	Post-FID	<ul style="list-style-type: none"> - Cost increases leading to partial completion of the line, with sections delayed until the future or cancelled indefinitely. 	<ul style="list-style-type: none"> - Key benefits on which the FID was made go unrealised. 	Critical	<ul style="list-style-type: none"> - Prioritise sections of the line around the CBD and Isthmus which tie-in to existing transport infrastructure.

9 Stakeholder, engagement and communications management

[Drafting note: This section will be developed in a future draft of the Management Case. It will summarise the stakeholder, communications and engagement strategy, framework and mapping, as set out in the (future) Stakeholder Engagement and Communications Strategy/Plan.]

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10 [Project assurance and] post-implementation evaluation

[Drafting note: This section is work in progress and will be further developed. It will summarise the [assurance activities] and post-implementation evaluation.

Still to be finalised whether the Governance Plan also includes assurance, or whether a separate plan deals with assurance. Governance and assurance are interrelated and more closely aligned than assurance and post project evaluation. Assurance is currently located in the Governance Plan.]

10.1 Purpose

The purpose of this section is to outline the [assurance activities and] post-implementation evaluation approach for the Project.

The Post-Implementation Review Plan is provided in **Appendix F**.

10.2 Project assurance

Summary of New Zealand Treasury gateway process:



10.3 Post-implementation evaluation

10.3.1 Evaluation Subject

The evaluation subject is the Project. The Project is managed by XXX. [Insert description]

The Investment Logic Map for the Project is shown in the figure below. It illustrates the intended flow of cause and effect from inputs and activities through to outputs and outcomes. It may be further refined and validated during the evaluation.

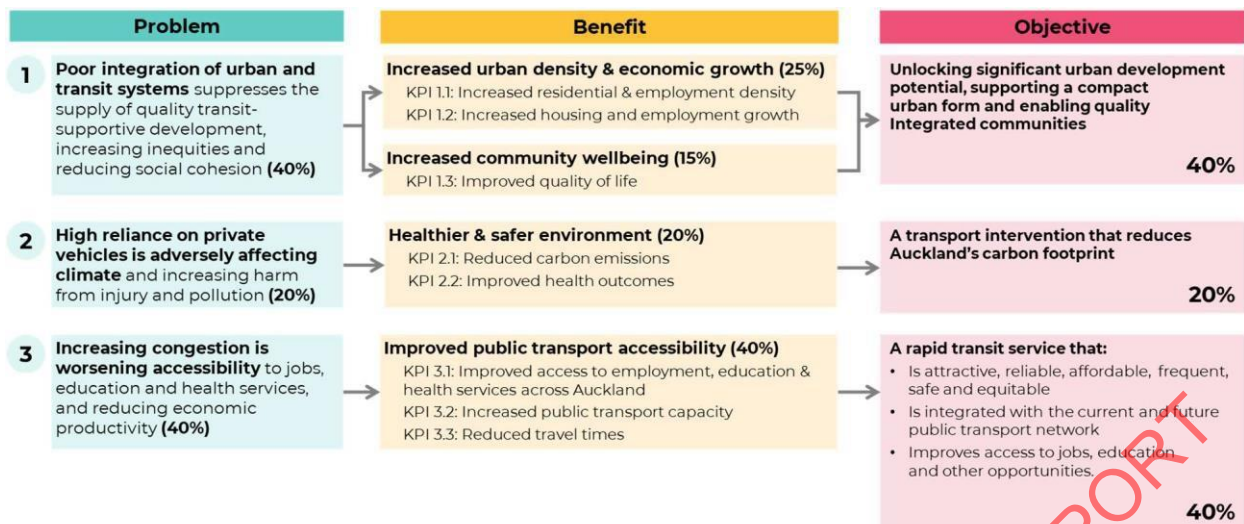


Figure Error! No text of specified style in document...2Investment Logic Map

10.3.2 Evaluation purpose

The purpose of the evaluation is to assess the appropriateness, effectiveness and efficiency of the Project. The evaluation will consider both the implementation of the 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 [NZ Treasury/MoT/XXX's] approach to Project delivery.

10.3.3 Post-Implementation Evaluation Plan

The Post-Implementation Review Plan outlines how the Project will be evaluated in relation to both the implementation of the Project and the outcomes it has delivered. It includes:

- the evaluation subject and purpose;
- the evaluation criteria and questions;
- the data requirements, methodology and risks of the evaluation;
- the reporting and dissemination of the evaluation findings; and
- the budget, timeframe and resources required to undertake the evaluation.

The Post-Implementation Review Plan is provided in **Appendix F**.

11 Implementation and next steps

[Drafting note: This section will be developed in a future draft of the Management Case. It will summarise key activities, timing and next steps to implement the Management Case.]

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Addendum 1: July WIP Assumptions

July WIP Management Case Assumptions (used as base to inform some of section 4; needs updating as ALR Business Case evolves and agrees key decisions in preceding Cases).

Integrated transport solution is based on:

- a) emerging preferred solution of segregated light metro with tunnels, viaduct and driverless trains (GoA4) – i.e. not on-street comparator
- b) Wynyard station is included within the CBC
- c) Regional Terminal and International Terminal airport stations are included within the CBC
- d) Airport Commercial station is excluded from the CBC – further engagement with AIAL required
- e) integration with and enabling the urban development solution (during project procurement) based on:
 - i. over-station developments
 - ii. precinct works around stations

Urban development scope broader than assumption 1.e) is outside of the scope of the CBC Management Case.

(Note: While this is outside of scope, the benefits/value created would be identified and included in the CBC Economic Case.)

Integration with other transport projects:

- a) Other transport projects are outside of the scope of the CBC Management Case i.e. the project is delivered and will operate on a stand-alone basis (i.e. with no inter-operability).
- b) The project will be integrated from an overall transport network perspective e.g. in terms of coordinating and providing passenger interchange with other systems and timetabling, service levels etc.

Operations:

- a) Auckland Transport (AT):
 - i. is the contracting party for operations
 - ii. will need to be "up-skilled" for GoA4 operations.
- b) ALR Ltd, supported by and with input from AT, will procure a private GoA4 operator and maintainer (during project procurement) for a defined term. Operations and maintenance will be bundled with the delivery of key scope items (e.g. trains, signalling and train control, line wide systems) to provide whole-of-life cost and performance drivers.
- c) The private GoA4 operator and maintainer will be responsible for all operations and maintenance activities, except as set out in assumption 1.e), with a performance regime that drives customer and whole-of-life cost outcomes.
- d) AT retains ticketing and farebox risk/responsibility, as well broader (multi-mode) network integration.
- e) O&M advisor (with GoA4 experience) will be engaged to support project procurement, working closely with ALR and AT.
- f) Rail Safety Regulator:
 - i. is the existing Waka Kotahi Rail Regulatory Services Group
 - ii. will need to be "up-skilled" for GoA4 operations

Integrated transport delivery entity and transition to operations entity:

- a) Delivers the solution in assumption 1, and is responsible for integrating with and enabling the urban outcomes in assumption 1.e) and integrating with the broader transport network in assumption 3.b) (during project procurement).
- b) ALR Ltd is the contracting delivery entity i.e. keep/enhance current arrangements in place during procurement and into delivery. Responsible for 'Completion' and then handover to AT as the contracting operations entity.
- c) At an appropriate time during the delivery phase (prior to the commencement of operations), stand-up the final entity for operations management in parallel to testing and commissioning. The contracting operations 'entity' will be a new division of AT.
- d) The private GoA4 operator and maintainer will be the accredited operator from a Rail Safety Accreditation perspective, with effective control.
- e) ALR Ltd will require no legislative or regulatory changes or exemptions. ALR Ltd will be reliant on various agents who control the exercise of existing relevant powers.

Delivery of urban development scope broader than assumption 1.e): Not part of the CBC Management Case i.e. not delivered by ALR Ltd, but instead delivered via partnering with other agencies or the market.

(Note: While this is outside of scope, the benefits/value created would be identified and included in the CBC Economic Case.)

Staging and extensions:

- a) The project will be delivered in multiple linear sections.
- b) ALR Ltd delivery entity remains in place for the delivery of extensions, which follow in sequence from stage to stage i.e. retain full organisation resourcing.

Funding:

- a) Via both Government and alternative financing sources, including private financing.
- b) The project is affordable.

Ownership:

- a) ALR Ltd as contracting delivery entity is 100% Crown owned (as a Schedule 2: Crown Entities Act company).
- b) AT division as contracting operating entity is Crown owned (not AT owned).

Sponsors' Forum (during delivery phase): Will be established with AT, Auckland Council, MoT, MoF, MHUD and Mana Whenua representatives to monitor and oversee the ALR Ltd contracting delivery entity's performance.

Appendix A: Governance Management

Out of Scope



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Appendix B: Project Management

Out of Scope

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Appendix C1 & C2: Change Management

Out of Scope



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Appendix D: Benefits Realisation

Out of Scope



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Appendix E: Risk Management

Out of Scope



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Appendix F: Post Implementation Evaluation

Out of Scope



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Appendix G: Case Studies

Out of Scope

- Canberra Light Rail
- Copenhagen
- Crossrail (UK)
- Cross River Rail (Aus)
- Docklands Light Rail (UK)
- Dubai Metro
- Edinburgh Light Rail
- Hong Kong MTR
- Medellin SITVA
- Paramatta Light Rail
- Seattle
- Sydney Light Rail
- Sydney Metro Northwest
- Vancouver Sky Train

A summary will be added here and key findings explained at relevant points in the above Management Case.

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