



## Benefits Management Plan Guideline

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# 1 Introduction

The Benefits Realisation Guideline and Benefits Realisation Register (BRR) have been developed by the Office of Best Practice IT and Corporate Services to assist NSW Government agencies to demonstrate the link between the benefits delivered by new information and communications technology (ICT) enabled business change projects and wider Government policy priorities, Agency business objectives and service delivery outcomes.

Agencies prepare a BRR as a key part of business cases used to support proposals for new ICT enabled business change projects. The BRR is a structured tool used to describe the expected benefits that will be delivered as a direct consequence of the implementation of an ICT enabled business change project.

In many cases the original (and approved) Business Case and BRR developed at a project's conception are rarely updated throughout the project lifecycle to reflect better and more detailed planning; refinement of objectives, scope, cost and risk; and benefits expected to be delivered. This can create problems for an Agency when a project reaches the post implementation review phase because the benefits delivered are only able to reported in general terms. In addition, if measures, recording business process changes, were not defined, or collected at the beginning of the project implementation then objective comparisons of the changes, and hence the achievement of benefits, cannot be easily identified.

A Benefits Management Plan provides a structured process for agencies to manage and demonstrate the progressive achievement of the benefits from an ICT enabled business change project. A Benefits Management Plan provides agencies with a tool that shows the linkage between ICT investment and Government policy priorities and Agency business objectives and service delivery outcomes.

The Benefits Management Plan Guideline has been developed to assist Agencies, Business Managers and Project Managers to understand benefits management and to manage the process of realising the benefits delivered by an ICT investment.

The Guideline has been developed after extensive research of public and private sector models and in consultation with a number of NSW Government agencies. Several agencies have already established processes to track the achievement of benefits throughout all phases of the project lifecycle. Case studies and experiences from these agencies are included in Appendix 1 to illustrate the application of the Guideline.

## 2 Purpose of the Benefits Management Plan

The Benefits Management process outlined in this Guideline provides a tool that agencies can use to demonstrate that they have a managed process in place to identify and verify, measure, track and deliver expected benefits throughout the project lifecycle. An agency will need to apply the same standards of resourcing to managing this process as it would to any other element of the project methodology (such as documentation, risk management, quality assurance, etc.) Consequently, there may be an economic overhead to managing the process for large and / or complex projects. It also makes it difficult to disregard any claimed benefits that are not achieved. This is done by:

- Providing a tool to record all the tasks and actions that have to be undertaken to achieve the claimed benefits for a project;
- Providing a mechanism to track progressive achievement of benefits of an ICT enabled business change project;
- Providing a communication and reporting tool that can show progressive achievement of project benefits at project milestone points;
- Managing expectations as the project progresses;
- Providing a tool for Executive support and approval to progress required tasks;
- Providing a record of any approved variations to expected benefits; and
- Providing an independent and credible base line position to demonstrate that project benefits have been delivered as proposed.

The purpose of a Benefits Management Plan is to introduce a level of accountability within an agency for managing and demonstrating the achievement of benefits claimed for an ICT enabled business change project. It also supports Business Directors/Managers and Project Managers in meeting internal and external accountability and reporting requirements.

At the commencement of planning implementation of an ICT enabled business change project, it is not unusual for agencies to realise that the benefits claimed for a project in the original business case, may not reflect what can actually be delivered. That is why the benefits management planning process outlined in this Guideline provides a structured and iterative process for an Agency or Business Director/Manager to document any changes or variations in assumptions about what benefits can actually be achieved. It also provides a structured tool to have any variations formally acknowledged by the Project Steering Committee and Agency Chief Executive Officer (CEO).

A Benefits Management Plan describes the management process and accountabilities that will be used to ensure that the benefits claimed for a project are tracked and achieved over the project lifecycle. The Benefits Management Plan becomes one of the project milestone reporting tools (together with the project plan, budget summary, risk management plan, etc) that Project Managers can use to report progress on project implementation to the Project Sponsor, Project Steering Committee and Agency Executive. It is strongly recommended that the Benefits Management Plan and benefits management monitoring regime outlined in the Guideline be used by agencies to supplement established and approved planning, reporting and monitoring regimes provided in structured project management methodologies.

In developing a Benefits Management Plan, the capture of base line measures (the current situation and measures) at the commencement of a project is critical for tracking the achievement of benefits over the project lifecycle. It is much easier and more accurate to capture base line measures at the start of a project's implementation than to try to measure and track benefits and business process changes once the project commences or is implemented.

It is also essential that the 'triggers' used for tracking and measuring benefits are business driven and include changes in business processes as well as related technology components. For example, one of the benefits of implementing a corporate e-mail system may be to reduce the amount of paper used in the organisation. This benefit can only be achieved properly (triggered) if all users are trained in using the e-mail system and that all internal communications are distributed by e-mail. The Benefits Management Plan therefore needs to address all business process and technology related 'triggers'.

Business process change can only be achieved by Business Managers. That is, responsibility and accountability for reporting on the achievement of benefits from an ICT enabled business change project needs to be assigned to the relevant Business Director/ Manager, and not the IT Director/Manager. It is also recommended that responsibilities and accountabilities for the achievement of benefits are included in the performance agreements of the relevant Business Director/Manager.

### **3 Benefits Management Plan Process Description**

The Benefits Management Plan is a tool that shows how work is progressing on achieving the benefits claimed for a project at any point in the project lifecycle. The Plan provides a clear and easy method of seeing what benefits have been achieved to date, and those that are still to accrue before or after implementation. It also documents the relevant Business Manager that is responsible and accountable for achieving these benefits.

The basic assumption of the benefits management process is that for each identified benefit, there are a series of tasks or actions that have to be undertaken in order to achieve the benefit. The Benefits Management Plan is the management tool that ensures that all the relevant tasks or actions are identified and completed, and result in the benefit being achieved. The terms 'benefits' and 'outcomes' are used interchangeably in this section to reflect different terms used in agencies to mean what is expected to be delivered by an ICT enabled business change project.

The Benefits Management process comprises six parts which, when worked through sequentially, describe how to manage the process of ensuring that benefits claimed for an ICT enabled business change project are delivered. The six parts of the benefits management process and Benefits Management Plan are:

- 1) Project Description;
- 2) Project Benefits;
- 3) Governance Approach;
- 4) Benefits Framework;
- 5) Management of Base Line measures; and
- 6) Benefits Realisation Register and Schedules.

Each of these parts is described in detail in the following sections and forms the basis of the Benefits Management Plan Template in Appendix 2:

#### **3.1 Project Description**

The Benefits Management Plan should stand-alone as well as be part of the project's formal documents, such as the Project Plan, Quality Plan and Risk Management Plan. Therefore, the project description is included to set the context for the work that will be done to achieve the project benefits and outcomes. It should focus on the contribution of the project benefits to agency business objectives, service delivery outcomes and expected deliverables.

Some examples of the type of information that should be included in the project description are:

- A discussion of the types of benefits that are to be delivered. For example: are the benefits tangible, intangible, quantifiable or qualitative, and what proportion of the benefits are in each type;
- Information about the service delivery objectives of the agency, such as cost recovery, accessibility, etc, and how the project contributes to achieving these objectives; and

- A discussion of the extent of work process changes that are involved in the project implementation.

### **3.2 Project Benefits**

This section is used to clearly identify at the beginning by the project the benefits to be delivered to the Government and Agency. It should list the project benefits that were used to support the original business case. It should also include a discussion about any changes to the project benefits as a result of more detailed project planning work undertaken since the original business case was submitted and funding approved. Any variation to the approved business case must be clearly documented, approved and signed-off by the agency CEO, Executive Board, IM&T Steering Committee, Project Sponsor etc.

This section should also outline:

- The assumptions about how benefits are to be achieved and an assessment of the barriers (risks) to achieving the required benefits;
- Whether the Business Unit Managers responsible for achieving the benefits were involved in identifying and verifying the benefits and the tasks required to achieve the benefits;
- A discussion about whether the Business Unit Managers have the authority to engage or request resources to effect the changes required to business processes;
- A discussion about how the agency intends to gain acceptance for the base line indicators that will be tracked to demonstrate the achievement of benefits; and
- The risk to the project if appropriate resources are not available to collect base line measures, and the actions that will be taken to mitigate this risk.

### **3.3 Governance Approach**

The Benefits Management Plan needs to address how different levels of an agency will work together to ensure the successful achievement of benefits. There is growing evidence in the private sector as well as government that successful projects have a strong commitment and support at all levels of the organisation from the CEO to the operational staff. One of the key factors in why ICT projects fail is a lack of CEO support and commitment. It is considered essential that all agencies adopt an appropriate governance approach and framework at the beginning of a project. The governance approach in this Guideline highlights the issues and responsibilities that focus on achieving the benefits from an ICT project. A separate Guideline is being developed on general ICT Governance issues.

The purpose of this section is to describe the governance approach that should be established for the benefits management process. The Benefits Governance Principles outlined below have been adapted from those developed and used by NSW Health for its Benefits Realisation Framework<sup>1</sup>. They are based on three levels of agency commitment and are considered a best practice model for other agencies.

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<sup>1</sup> More details regarding NSW Health's Benefits Realisation Framework is provided in the NSW Health Case Study in Appendix 1. Case Studies and Agency Experiences NSW Health-Point of Care Clinical Information System.

The NSW Health Benefits Governance Principles apply to the Executive, Project Sponsor and Business Director/Manager responsible for the successful management of benefits realisation and project implementation.

The three Benefits Governance Principles are:

1. Strong commitment at the agency Executive level,
2. Ownership of project benefits by the Business Director/Manager and
3. Recording and reporting of benefits at business unit level by Project Managers responsible for project implementation.

Each of these Principles are discussed further in the following sections:

### 3.3.1 Strong Commitment at Executive Level

An agency's Executive must have a strong commitment to the project and demonstrate leadership and sponsorship for the business benefits to be realised. This sponsorship could be evidenced by:

- Establishing project sponsorship within the Agency Executive Team;
- Linking of the Project Sponsor's performance agreement to the successful delivery of the project's business benefits;
- Ensuring that appropriate accountability and processes for realising project business benefits are in place;
- Implementing and conducting regular strategic reviews of progress of project benefits to ensure that the investment is focused on delivering desired business benefits. (The period of time between reviews will depend on the scale of the project and should be linked to other project review milestones);
- Implementing a regular process to provide the Agency Executive with feedback on benefits received; and
- Ensuring that the overall management structure is established to manage the benefits realisation process for the project.

This principle also applies to Multi Agency projects and should be adjusted as required to reflect Lead Agency and Participating Agency responsibilities, accountabilities and reporting requirements in respect to the overall project and within each agency.

### 3.3.2 Ownership of project benefits by the Business Director/Manager

The relevant senior Business Director/Manager must take accountability for the delivery of project business benefits. This will include taking ownership of:

- Achievement of project tasks and outcomes as documented in the Benefits Realisation Register;
- The processes necessary to complete the recording and reporting of base line measures and benefits;
- Taking action to maximise the benefits realisation opportunities; and
- Establishing operational management systems to manage the benefits realisation process.

It is strongly recommended that Business Directors and/or Managers responsible for the realisation of benefit(s) will have the delivery of the specific project tasks and outcomes incorporated into their performance agreements.

This principle also applies to Multi Agency projects. It is expected that this requirement would be met by the Project Sponsor in the Lead Agency, working in close cooperation with their equivalents (in terms of Position levels, responsibilities and accountabilities) in Participating Agencies.

### 3.3.3 Recording and reporting of benefits at business unit level by Project Managers responsible for the project implementation

To support the business unit sponsorship and ownership roles for realising the business benefits of the project, an operational role is required to complete the necessary benefits realisation establishment, monitoring, recording and reporting activities (that is, to run the benefits realisation processes for the project). This role should be the responsibility of a Business Unit Manager who has knowledge of the project as well as overall operational responsibility for the implementation of the project.

Tasks include:

- Establishing and maintaining the Project's Benefits Management Plan. Agencies can customise the generic Benefits Management Plan Template (in Appendix 2) to meet individual agency and project requirements;
- Ensuring all base line measurement information for key project outcomes is available;
- Updating and maintaining the Project's Benefits Realisation Register (monthly and/or quarterly actual versus target performance);
- Analysing and distributing progress reporting information from the Benefits Realisation Register;
- Ensuring follow-up and corrective action is taken to maximise benefits opportunities;
- Providing benefits familiarisation / awareness with key Executive and staff members; and
- Ensuring links are maintained with other Agency or Sector projects / processes (eg, risk management, quality assurance) to maximise benefits opportunities.

This role will necessitate the nominated Business Unit Manager to:

- Possess conceptual skills to understand, interpret and apply benefits realisation techniques;
- Possess communication skills that can be applied to all levels of the organisation regarding the practice and application of the Benefits Management Plan process; and
- Establish status and credibility within the agency to positively influence the development of a benefits focus and culture.

For Multi Agency projects, this role should be the responsibility of the Lead Agency responsible for project implementation, working in close consultation with Participating Agencies.

More details regarding NSW Health's Benefits Realisation Framework is provided in the NSW Health Case Study in Appendix 1.

### 3.4 Benefits Framework

The purpose of outlining the Benefits Framework for the project is to outline how an Agency will manage the benefits realisation process and expectations, and how it will approve any changes to the benefits to be delivered throughout the project lifecycle.

The Benefits Framework could be expressed as a matrix such as this one outlined below that has been adapted from one used by NSW Health to document the linkage of initiatives, outcomes and risks. For more information see the case study on NSW Health in Appendix 1 of this Guideline.

<b>Process</b>	<b>Description</b>	<b>Outcome</b>	<b>How the Process will be Executed</b>
Develop and maintain a Task Schedule or Results Chain that documents all the tasks, activities and initiatives that have to be completed to achieve the expected benefit outcomes	Develop the Task Schedule or Results Chain for the project and maintain as an ongoing road map for the realising of value from the project investment.	Unique and current Task Schedule or Results Chain for the project.	Use of: <ul style="list-style-type: none"> <li>Workshops with sponsors and benefits owners.</li> <li>A modelling tool (eg Visio) and Word for documentation.</li> </ul> To: <ul style="list-style-type: none"> <li>Complete the project Task Schedule or Results Chain.</li> </ul>
Maintain the Benefits Management Plan	The project Benefits Management Plan includes details of: <ul style="list-style-type: none"> <li>The tasks/actions (both IT and non-IT) that are required to deliver business benefits.</li> <li>The expected benefits, with details as to measurement, targets, timeframes, systems for gathering base line measures, accountabilities and risks.</li> <li>The risks identified that may impact the delivery of benefits.</li> <li>Sign-off of this plan and its contents by the Sponsor and benefits owners.</li> </ul>	Unique and current Benefits Management Plan for the project.	Use of: <ul style="list-style-type: none"> <li>The project Task Schedule or Results Chain .</li> <li>The Project Benefits Framework.</li> <li>Template for the Benefits Management Plan.</li> <li>Workshops with Sponsors and benefits owners.</li> </ul> To: <ul style="list-style-type: none"> <li>Identify and document the tasks / actions that must be undertaken by the business.</li> <li>Complete the base line measures for all benefits.</li> <li>Identify and obtain buy-in and sign-off from the benefits owners.</li> </ul>
Maintain the Benefits Realisation Register and Reporting tools.	The project benefits as identified in the Benefits Management Plan, are recorded in a Benefits Realisation Register. On a monthly or quarterly basis (as approved) actual performance is recorded against that plan (which may be revised targets).	Monthly and quarterly status reporting of actual benefits performance against the plan.	Use of: <ul style="list-style-type: none"> <li>Benefits Management Plan measurement reporting systems (for data re benefit achievement).</li> </ul> To: <ul style="list-style-type: none"> <li>Update on an agreed regular basis (monthly/quarterly) the achievements</li> <li>Analyse performance.</li> <li>Provide reports on the achievements to Sponsors and staff.</li> <li>Monitor and suggest corrective action if necessary.</li> <li>Update the Benefits Management Plan and Benefits Realisation Register for any agreed changes.</li> </ul>
Manage the issues of change.	<ul style="list-style-type: none"> <li>The project is a transformation investment in the business/organisation and will necessitate close executive attention to the people / process / organisation issues.</li> <li>A formal Plan must be in place.</li> <li>Close linkage is required with other organisation strategies</li> </ul>	Change Management Plan.	Use of: <ul style="list-style-type: none"> <li>Change management techniques.</li> <li>Task Schedule or Results Chain .</li> <li>Benefits Management Plan.</li> </ul> To: <ul style="list-style-type: none"> <li>Define the structure for change management and change leadership.</li> </ul>

	and initiatives.		<ul style="list-style-type: none"><li>• Build the change management program.</li><li>• Develop a detailed Change Management Plan.</li></ul>
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Manage the issues of risk.	Standard risk identification and mitigation processes need to be adopted.	Risks identified and mitigation strategies should be detailed in the Benefits Management Plan. (NB: These should be the risks associated with achievement of the benefits of the project, not project risks in general.	Use of: <ul style="list-style-type: none"> <li>• Benefits Risk Management Plan.</li> </ul> To: <ul style="list-style-type: none"> <li>• Identify risks.</li> <li>• Provide a mitigation plan.</li> <li>• Provide an evaluation tool.</li> </ul>
Manage the issues of communication.	The project will change the way staff complete their work. It will be essential for staff to be fully aware of and involved in these changes.	Communication Plan.	Use of: <ul style="list-style-type: none"> <li>• Task Schedule or Results Chain and Benefits Management Plan.</li> <li>• Implementation of a Communication Plan consistent with the agency's current approach to communicating with staff, clients and stakeholders.</li> </ul> To: <ul style="list-style-type: none"> <li>• Define a communication strategy.</li> <li>• Develop the communications program and plan.</li> </ul>

### 3.5 Management of Base Line measures

In order to demonstrate that a project has delivered the expected benefits, it is essential to know what the situation was before any change commenced. Therefore, an agency needs to document and verify base line indicators at the beginning of the project implementation. Base line indicators (or measures) provide the means to capture current situational (or base level) data that can then be used by an agency to compare various business processes before, and after, project tasks have been progressively implemented. If base line measures are not taken and validated at the beginning of a project, it is very difficult to objectively demonstrate the achievement of project benefits throughout the project lifecycle.

This section of the Benefits Management Plan should consider and document:

- How the agency will determine which base line indicators and processes have to be measured?
- Who will be responsible for validating and approving the base line indicators and processes that have to be measured and incorporated into the Benefits Realisation Register? Will any external stakeholders have a role here?
- At what point in time will the base line measures be taken? For example, a project to replace a financial management system would be very careful not to measure base line data at the end of a financial year when activity is likely to be higher than normal / average, **unless** it is agreed (and documented) that the comparative post-implementation measures are taken at the same time of year.
- Who will be responsible for gathering the data and when does this have to be completed? (NB, to be useful, base line measures must be taken and verified before any system or business process changes, including staff training, takes place).
- Who will be responsible for validating base line data before they are incorporated into the Benefits Realisation Register? Will any external stakeholders have a role here? The validation of the base line measures and data could be done by a business manager not directly involved in the project (for independence) or by the external quality assurance function engaged for many large projects.

Agencies need to ensure that base line measures are documented, validated and approved in the Benefits Management Plan and Benefits Realisation Register to ensure credibility for later comparison. This will help to avoid any possibility of claimed benefits being criticised at the completion of a project, because the base line measures are not able to be validated.

A very structured model of documenting and validating base line measures is currently being undertaken as part of the multi-agency NSW Government Licensing System Project. The project will introduce a single licensing system application for around 32 agencies. A major component of the project is based around business process reform in participating agencies as well as replacing various legacy systems with a single application. Assignment of agency responsibility for tasks and benefits ownership is a critical element of the project's implementation.

In addition to the extensive process mapping that has been undertaken to measure base line indicators and processes for the NSW Government Licensing System Project, participating agencies have agreed that comparative results will be taken at 3 points in time. That is, base line measures have been taken before any work commences, they will be taken again immediately before the new NSW Government Licensing System application is implemented in an individual agency, and will be measured again after full implementation. In this way, benefits that are achieved up until the time that the new application is fully implemented can be validly attributed to the agency (related to business process and productivity improvements), while benefits achieved as a result of implementing the new application can be validly attributed to the NSW Government Licensing System Project itself. This scenario is discussed in greater detail in the NSW Government Licensing System project case study in Appendix 1.

### **3.6 Benefits Realisation Register and Schedules**

The Benefits Realisation Register which was prepared by an Agency as part of the original (and approved) project Business Case becomes the foundation of the Benefits Management Plan.

The BRR already contains most of the elements needed to effectively document all aspects of the benefits that will be tracked over the life of the project. The BRR already records responsibilities, implementation tasks and achievement of benefits as implementation of the project progresses. Additional features (as discussed in Section 3.4) that need to be documented in the BRR as part of the benefits management process include the Task Schedule or Results Chain and the risk assessment information (these can be added as new columns or additional schedules with clear cross-references to the benefits in the main BRR).

The BRR template can also be used to record any additional information for the individual project such as assumptions about the benefits, risk assessment profile, progressive achievement information, details about any benefits not included for measurement and why, etc. The BRR template is flexible and should be adapted as needed by an agency and/or project while retaining the core information outlined in the Benefits Realisation Guideline.

During the detailed project initiation planning phase, the details of each benefit as outlined in the original BRR are analysed to identify all the tasks that have to be accomplished in order to achieve the benefit. Responsibilities need to be assigned and the validity of the base line indicators and processes need to be measured and verified, together with the validity of the range and quantum of benefits that have been claimed. At this point any variations in expected benefits need to be addressed and revised in the BRR to reflect more accurate project implementation planning.

The Benefits Management Plan is then approved for the project in the same way that detailed project plans and risk management plans are approved at the start of a project. Throughout the project lifecycle, the revised BRR can then be used as a tool to track achievement of benefits.

The BRR should also be reviewed at project milestones to ensure the validity of expected benefits. Review points provide the opportunity for an agency to identify if any benefits have been achieved since the last review; verify that the benefits are still valid (if not, to gain approval to vary the benefit information); add in any new benefits that have been identified as the project progresses; and to report to the Project Sponsor, Business Director/Manager, Project Steering Committee and Agency Executive on the status of the Benefits Management Plan. It is important to ensure that any revisions to the BRR throughout the project lifecycle are endorsed and approved by the Project Sponsor, Project Steering Committee, Business Director/Manager and Agency Executive.

It is important that the level of detail recorded for each benefit is appropriate for the scale of the project and the type of outcomes that are expected to be delivered. The following table provides 3 simple examples of various levels of detail recorded for benefits, noting targeted and actual outcomes achieved.

<b>Benefit</b>	<b>Current Measure</b>	<b>Target Measure</b>	<b>Actual measure after project completion</b>	<b>Analysis of outcome</b>
Benefit Expectations Example 1 – Minimal details about the benefit and base line information				
Reduce the number of transactions provided over the counter	10,000 transactions per year provided over the counter	5,000 transactions per year provided over the counter	5,000 transactions per year provided over the counter	Benefit achieved
Benefit Expectation Example 2 – Medium details about the benefit and base line information				
Reduce the transaction cost of over the counter services	10,000 transactions per year provided over the counter.	5,000 transactions per year provided over the counter at a cost of \$100,000 per year (or \$20 per transaction)	5,000 transactions per year provided over the counter at a cost of \$160,000 per year (or \$32 per transaction)	Benefit not achieved because the more difficult transactions were left for the over the counter service which cost more.

Benefit Expectation Example 3 – Best available details about the benefit and base line information				
Reduce the average transaction cost of providing services	10,000 transactions per year provided over the counter at a cost of \$200,000 per year (or \$20 per transaction) staffed by 4 x Grade 2 Clerks.	5,000 transactions per year provided over the counter at a cost of \$100,000 per year (or \$20 per transaction) staffed by 2 x Grade 2 Clerks. <b>PLUS</b> 5,000 transactions per year provided by the online service at a cost of \$7,500 per year (or \$1.50 per transaction)  Total transactions per year of 10,000 at a cost of \$107,500 or \$10.75 per transaction	5,000 transactions per year provided over the counter at a cost of \$160,000 per year (or \$32 per transaction) staffed by 2 x Grade 2 Clerks and 1 x Grade 4 Clerk. <b>PLUS</b> 10,000 transactions per year provided by the online service at a cost of \$12,500 (or \$1.25 per transaction)  Total transactions per year of 15,000 at a cost of \$172,500 or \$11.50 per transaction	While the transaction cost for over the counter services rose to \$32 because greater expertise was required to respond to more difficult transactions, the availability of the online service enabled us to handle a 50% increase in transactions with a 13.75% decrease in total costs. If the online service was not implemented the total cost would have risen to \$300,000 to satisfy the increased number of transactions.

As can be seen in these examples, the analysis of the outcome and achievement of benefits becomes much more meaningful if the targeted outcome and actual outcome indicators are as detailed as possible.

## **Appendix 1 Case Studies and Agency Experiences**

The following case studies are included with the kind permission of the respective NSW Government Agencies.

The Case Studies have been included to demonstrate how each Agency has developed a benefits management process to suit individual agency needs and project management methodologies. The Case Studies highlight and demonstrate the level of agency commitment, in terms of time invested and resources to the benefits management process. They also aim to show the benefits management framework outlined in the Guideline is flexible and can be customised to suit individual agency circumstances.

## ***NSW Health – Point-of-Care Clinical Information System (PoCCS) Project***

### ***1. Project Description:***

The Point of Care Clinical Information System (PoCCS) addresses the information management needs of hospital based clinicians by providing interactive clinical decision support facilities for the day to day management of patients. PoCCS will be the core information source that will capture information generated by clinicians to document the patient care process from admission to discharge. It will bring together patient clinical data from existing disparate information systems within a hospital (eg emergency, pathology, radiology, pharmacy and dietary) with other clinical data (eg diagnosis, allergies, alerts, clinical history, etc) to assist clinicians to make informed decisions about managing a patient's care. It will also be linked to information sources that are evidence based to provide a powerful clinical decision support tool. It will include a series of 'built-in' clinical care management rules, protocols, prompts and alerts that will provide a standard clinical framework for patient care and treatment and significantly reduce adverse clinical events.

PoCCS will support the clinical workflow incorporating a range of interactive decision support facilities including:

- Standardised care pathways and event-based clinical prompts;
- Order management, test results and reports;
- Duplicate order checks;
- Clinical assessments on admission including past and present medical history
- Automation of physiological measurements, including abnormal result reporting e.g. fluid balances and vital signs;
- Discharge plans and referrals;
- Reminders when key data has been omitted;
- The ability to exploit data dependencies across Area Health Services not currently possible because of disparate hospital-based information systems;
- Integrated documentation management; and
- Reporting facilities that support clinical audit, resource management, research and development and education and training.

PoCCS is the active clinical record which will provide the hospital-based clinical summary for the NSW Electronic Health Record initiative, which is in turn, the NSW component of the National Electronic Health Record (HealthConnect).

### ***2. Project Status:***

A contract was signed in September 2002 for the Cerner Millennium Point-of-Care Clinical System. Funding issues have delayed the purchase of a statewide licence and the implementation of PoCCS. It is planned that the project will be underway by April 2003 in a minimum of two lead sites. A governance structure has been established to initiate the project and a number of workshops are scheduled for April 2003 to progress the Implementation Planning Studies. The Centre for Health Informatics at the University of NSW has developed a framework for evaluation of the Point-of Care Clinical System and been awarded an ARC grant to conduct this research over 4 years.

### **3. Agency approach to managing benefits for this project:**

NSW Health consists of the Department and 17 Area Health Services (AHS) across the state. The PoCCS project is a substantial systems development and business reform undertaking. It will take several years to get to the stage of being implemented across all Area Health Services. In order to ensure that the PoCCS system is implemented consistently and that all benefits can be effectively tracked and managed, NSW Health has developed its PoCCS Generic Benefits Realisation Framework. The Framework is intended to be customised by each AHS to suit their individual needs and process reform efforts. A Research and Evaluation Committee, which is a sub committee of the PoCCS Implementation Management Committee has been established and will be responsible for benefits realisation.

In the background information supporting its Benefits Realisation framework for PoCCS, NSW Health has stated *"...The implementation of PoCCS will see fundamental changes to the clinical workplace to improve access to information and support the delivery of quality patient care. In order to achieve these aims, this generic benefits realisation framework has been developed to provide Area Health Services with a plan from which business benefits from investment in PoCCS can be actively managed and benefits realised."*

### **4. Benefits Management Plan process parts highlighted:**

NSW Health has focussed on 2 parts of the Benefits Management Plan process:

- The governance approach to assign specific tasks and accountabilities for management of the benefits realisation process; and
- The benefits framework to focus on documenting the tasks and initiatives that have to be undertaken to achieve the desired outcomes and benefits.

The Governance Approach developed by NSW Health is considered best practice in terms of management of the benefits realisation process and was used as the basis of this part of the Benefits Management Plan process outlined in this Guideline. It suggests 3 principles of Benefits Governance:

- 1) Strong PoCCS commitment at AHS Executive Level;
- 2) Ownership of PoCCS benefits by AHS Clinical Service Directors / Managers; and
- 3) Recording and Reporting of Benefits at AHS level by Program Managers responsible for PoCCS implementation.

The strength of NSW Health's benefits governance approach is that it assigns clear accountabilities to business managers for managing the process to track and achieve benefits.

The Benefits Framework used by NSW Health is based on the Results Station™ methodology introduced to it by the DMR Consulting firm. DMR Consulting was engaged to assist in the development of the Benefits Realisation framework for PoCCS and employed the Results Station methodology. This method includes a specific modelling technique called Results Chain™. It is used to model and document the linkage of initiatives, outcomes and risks.

The Results Chain™ technique provides:

- A rigorous basis for the initial identification of desired outcomes and the path by which those outcomes can be reached through sets of initiatives and intermediate outcomes;
- The ability to explicitly identify and document risks, assumptions and conditions that pertain to particular initiatives and outcomes;
- The ability to evaluate the different paths to the desired outcomes, and to select a preferred path;
- A vehicle for establishing a common understanding among all participants and stakeholders; and
- A vehicle for the continuous management of the program from a benefits and risk perspective. This includes the assessment and management of the impacts of changes in the environment and in assumptions.

By associating accountabilities with initiatives and activities, the Results Chain modelling ensures that each stakeholder is unambiguously aware of their contribution to the achievement of the outcomes. The model is a graphical representation of these initiatives, activities, paths risks, and desired outcomes. In a very large and complex project such as PoCCS, the Results Chain model is also large and complex.

The following is a simple outline of the Results Chain model for illustrative purposes.

Figure 1 – Sample Results Chain

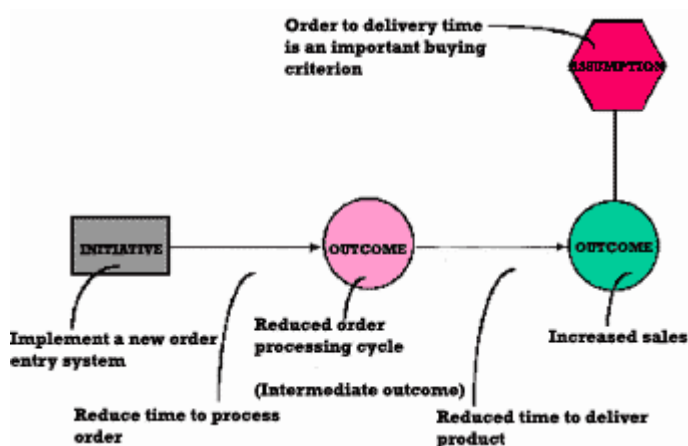
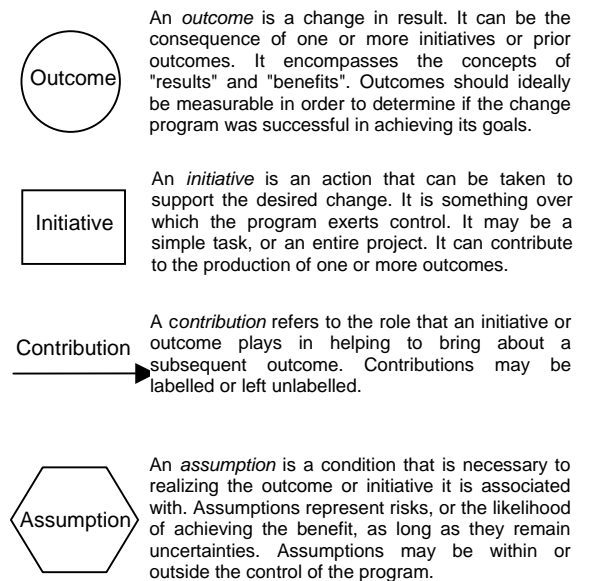


Figure 2 – Results Chain Legend



## ***NSW Attorney General's Department – Electronic Exchange of Court Outcomes***

### ***1. Project Description:***

The Electronic Exchange of Court Outcomes (EECO) Project was designed to improve processes and systems for updating and maintaining criminal histories between the Attorney General's Department and NSW Police. The EECO project was a joint initiative between the Attorney General's Department and NSW Police and a joint benefits realisation register was developed which captured the benefits to both agencies.

The majority of data exchanged between the courts and NSW Police was manual and change was required to the General Local Courts (GLC) system and the Computerised Operational Policing System (COPS) to modify the method by which data was stored, exchanged, matched and reported on. A feasibility study was undertaken to confirm the technical feasibility and costs of electronically transferring court outcomes as identified in both the Attorney General's Department and NSW Police submissions to Cabinet.

EECO is a direct response to the need for magistrates and judges to have up-to-date information when sentencing and making decisions regarding applications for bail, in order to ensure the appropriate decisions are made at all times. Objectives of the EECO Project include:

- Improving the accuracy and completeness of the criminal histories;
- Reducing the time taken and flow of court outcome data from the courts to the NSW Police Criminal Records Section; and
- Examining ways to reduce the backlog of records waiting to be entered into the Criminal History System used by NSW Police.

### ***2. Project Status:***

The Project commenced in 2000/01 following Cabinet endorsement of the proposed solution in May 2000. The 3 Phases of the project are now complete.

### ***3. Agency approach to managing benefits for this project:***

The Attorney General's Department wanted to demonstrate progressive benefits of the project as the implementation proceeded. The primary benefit of the Electronic Exchange of Court Outcomes project was that it enabled the Cabinet objective of improving the accuracy, completeness and timeliness of criminal histories to be achieved.

### ***4. Benefits Management Plan process parts highlighted:***

The Attorney General's Department has focussed on using the Benefits Realisation Register schedule as its monitoring tool. This is Part 6 of the Benefits Management Plan process outlined in the Guideline. It is understood that the BRR schedules were reviewed each month with other key project planning documents and updated to reflect the progress being made on the project. The Department provided the Project Manager with a resource to assist with the ongoing responsibilities of managing the benefits realisation process for the EECO Project.

The project included 3 Phases and by progressively monitoring the tasks in the Benefits Realisation Register, the Department could demonstrate that it had achieved and exceeded the Phase 1 benefit expectations by 10%. In addition, some major additional benefits for the Project that were not originally envisaged were identified and reported to the Project Steering Committee and Cabinet.

## **Department of Commerce (Office of Best Practice IT & Corporate Services) - NSW Government Licensing System Project**

### **1. Project Description:**

The NSW Government Licensing System Project is the State's largest across-government computing project aimed at saving taxpayers up to \$70 million in infrastructure costs. Its aim is to streamline business and occupational licensing processes across NSW Government agencies by replacing 70 existing systems with a single state-of-the-art system featuring online access. As the project progresses, businesses and individuals will have the option to renew, apply and pay for an increasing range of licences via the Internet.

Currently several hundred different business and occupational licences are administered by more than 32 NSW Government agencies, using computer systems that differ widely in their age and capability. The project involves a comprehensive review of licensing processes and the acquisition of the new system, which will improve security and cut application times. Current regulations relating to privacy will continue to be enforced.

### **2. Project Status:**

The *connectingBusiness* NSW Government Licensing Project commenced in July 2001 with a budget of \$32 million to provide a "one stop" online entry point to licensing and information services for business by 2005. The program is initially focusing on four large and diverse business-licensing agencies - Department of Fair Trading, Department of Gaming and Racing, National Parks and Wildlife Service and the WorkCover Authority. The Project is being implemented in 3 Phases as follows:

- Phase 1 – online renewals of DFT business names registration (Stage 1-completed); selected business licences (Stage 2-completed) using existing legacy systems; and admin. enhancements (Stage 3);
- Phase 2 – replacement of legacy licensing systems in licensing agencies with a new generic Government Licensing System, including online services; and
- Phase 3 – introduction of third party verification of information on licence applications to source databases and photo licensing.

### **3. Agency approach to managing benefits for this project:**

The NSW Government Licensing Project is complex because of the large number of agencies and systems involved, as well as the fact that the business process reform program being undertaken in each participating agency will be ongoing throughout the various phases of the project. This makes the challenge of identifying and tracking all benefits for all participating agencies and the Project very difficult. There are aggregate savings and benefits identified for the Project as a whole, however, the participating agencies also need to be recognised for the effort that they will commit to the success of the project. The challenge will be to dissect and document the project tasks and initiatives down to the lowest level for each participating agency so that the benefits can be tracked and verified. These individual agency benefits that

have been achieved then have to be aggregated back up to the project level to demonstrate that the benefits claimed for the whole Project have been achieved.

**4. Benefits Management Plan process parts highlighted:**

The objective of the Benefits Realisation program for this Project is to attribute the benefits achieved to either the participating agencies or the Project team. In order to do this accurately and effectively, the Project Steering Committee have decided that it will place its main benefits management efforts in establishing and monitoring the base line measures (Part 5 of the Benefits Management Plan process).

A dedicated resource has been engaged on the Project to develop the base line indicators and benefits measurement matrices that will be used to support the Benefits Realisation Plan. The existing business processes for each participating agency will be meticulously documented before any work commences. Each agency is then able to implement business process reforms that have already been identified in preparation for the replacement of its existing licensing systems with the new Government Licensing System.

In order to attribute achievement of benefits correctly to either the agency or the Project, the base line indicators will be measured and recorded 3 times. The first measures are taken before work commences. The second measures will be taken immediately before the new Licensing System implementation commences for each agency. The final measures will be taken 12 months after the new Licensing System is implemented for that agency. The initial view of the Project Steering Committee was that benefits achieved between the time of the first and second measurements are taken will be attributed to the agency, and any benefits achieved between the second and third measurements will be attributed to the project. These proposals are currently under going review, taking into account the results of the pilot at the Office of Fair Trading, as well as seeking to factor in additional project costs such as department resources needed to support such a large complex project. The ultimate goal is that all benefits that have been achieved, either by the participating agencies or by the Project, will be combined to report against the expected Project benefits.

**Appendix 2 (Template)**

**Department of Commerce  
Office Best Practice IT and Corporate Services**

**Benefits Management Plan Template**

**Issue No: 1.0**

**Issue Date: August 2003**

**Document Administration**

**Document Location:**

The master copy of this document is held at the following location:

**Revision History**

<b>Date</b>	<b>Version</b>	<b>Name</b>	<b>Revision</b>	<b>Changes Marked</b>

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<b>Name</b>	<b>Signature</b>	<b>Title</b>	<b>Date</b>	<b>Version</b>

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## 1. Introduction

The Introduction should briefly:

- Describe the purpose of the Benefits Management Plan;
- Set the organisational context of the Project. This needs to briefly outline how the project supports wider Government policy priorities and service delivery outcomes; and
- Set the organisational context for the Benefits Management Plan. This needs to outline the purpose and scope of the Plan, and how it will be used to report on progress towards the achievement of benefits as part of the project reporting process.

It is important that each Agency customises the Introduction to suit its individual requirements.

## 2. Project Description:

This section of the Plan should set the context for the work that will be done to achieve the benefits, including:

- Outlining the scope of the project and what is to be undertaken including business process reform;
- Describing the nature of the benefits to be achieved, such as the type (tangible, intangible, quantifiable, qualitative) and what proportion of the benefits make up each type;
- Discussing the extent of work process changes that are required to achieve the benefits;
- Describing the specific business objectives and service delivery outcomes to be delivered by the project; and
- Identifying the specific agreed agency performance measures that the project will be contributing to.

## 3. Project Benefits

This section of the Plan should:

- List the project benefits that were used to support the proposed ICT investment in the original business case;
- Provide a discussion about any changes to the project benefits that have occurred as a result of more detailed planning work since the original business case was assessed and approved for funding;
- Outline the assumptions about how benefits are to be achieved (for example, List the Business Unit Managers responsible for achieving the benefits involved in identifying and verifying the benefits and the tasks required to achieve the benefits. Clearly show which Business Unit Managers have the authority to engage or request resources to effect the changes required to business processes. Outline how the agency will determine what base line indicators will be tracked to demonstrate the achievement of benefits.);

- Include an assessment of the barriers or risks to achieving the required benefits (for example, what is the risk to the project if appropriate resources are not available to collect base line measures, and what actions will be taken to mitigate this risk?); and
- Include the revised Benefits Realisation Register (BRR) that has been updated and expanded as part of the detailed project implementation planning phase. Ensure that the revised BRR is endorsed and approved by the Project Sponsor, Project Steering Committee and Agency Executive.

#### **4. Governance Approach**

This section of the Plan needs to describe the governance regime that has been established to manage the benefits realisation process throughout the project lifecycle and should include a description of the roles, responsibilities, accountabilities and reporting requirements for the:

- Agency Chief Executive
- Agency Executive
- Project Sponsor
- Business Director/Manager (if not the Project Sponsor)
- Project Steering Committee
- Business Unit Manager
- Project Manager (if not the Business Unit Manager)
- Benefits Manager for large ICT projects (if not the Business Unit Manager or Project Manager)

The responsibilities and accountabilities of these positions also need to be reflected in the Benefits Realisation Register schedule in part 6 of the Benefits Management Plan and in individual performance agreements.

#### **5. Benefits Framework**

This section of the Plan needs to outline how the Agency will manage the benefits process, manage expectations and approve changes or variations to expected benefits to be delivered throughout the project lifecycle. The processes that should be described in the Benefits Framework matrix (as a minimum) include:

- Develop and maintain a Task Schedule or Results Chain that documents all the tasks, activities and initiatives that have to be completed to achieve the expected benefit outcomes;
- Maintain the Benefits Management Plan;
- Maintain the Benefits Realisation Register and Reporting tools;
- Manage the issues of change;
- Manage the issues of risk; and
- Manage the issues of communication.

*(Refer to the Benefits Management Plan Guideline for more details regarding each of these processes.)*

The Benefits Framework could be expressed as a matrix such as the following:

Process	Description	Outcome	How the Process will be Executed
<p><i>Example</i> Maintain the Benefits Management Plan</p>	<p>The project Benefits Management Plan includes details of:</p> <ul style="list-style-type: none"> <li>• The tasks/actions (both IT and non-IT) that are required to deliver business benefits.</li> <li>• The expected benefits, with details as to measurement, targets, timeframes, systems for gathering base line measures, accountabilities and risks.</li> <li>• The risks identified that may impact the delivery of benefits.</li> <li>• Sign-off of this plan and its contents by the Sponsor and benefits owners.</li> </ul>	<p>Unique and current Benefits Management Plan for the project.</p>	<p>Use of:</p> <ul style="list-style-type: none"> <li>• The project Results Chain or Task Schedule.</li> <li>• The Project Benefits Framework.</li> <li>• Template for the Benefits Management Plan.</li> <li>• Workshops with Sponsors and benefits owners.</li> </ul> <p>To:</p> <ul style="list-style-type: none"> <li>• Identify and document the tasks / actions that must be undertaken by the business.</li> <li>• Complete the base line measures for all benefits.</li> <li>• Identify and obtain buy-in and sign-off from the benefits owners.</li> </ul>

### 6. Management of Base Line measures

This section of the Benefits Management Plan should consider and document:

- How the organisation will determine which base line indicators and processes have to be measured?
- Who will be responsible for validating and approving the base line indicators and processes that have to be measured and incorporated into the Benefits Realisation Register? Will any external stakeholders have a role here?
- At what point in time will the base line measures be taken? For example, a project to replace a financial management system would be very careful not to measure base line data at the end of a financial year when activity is likely to be higher than normal / average, **unless** it is agreed (and documented) that the comparative post-implementation measures are taken at the same time of year.
- Who will be responsible for gathering the data and when does this have to be completed? (NB, to be useful, base line measures must be taken and verified before any system or business process changes, including staff training, takes place). Include details of all positions responsible for these tasks. This could be a schedule of who does which tasks.
- Who will be responsible for validating the base line data before they are incorporated into the Benefits Realisation Register? Will any external stakeholders have a role here? Include details of all positions responsible for these tasks. This could be a schedule of who does which tasks.

## **7. Benefits Realisation Register and schedules**

This section of the Plan needs to build on the Benefits Realisation Register (BRR), which was prepared as part of the original (and approved) project Business Case, to reflect any revisions made during the project's detailed planning phase. It should also include the information described in the Benefits Framework (part 4), such as the Task Schedule. This additional information can be incorporated into an expanded Benefits Realisation Register, or additional separate schedules can be used with cross-referencing to the main benefits.

The additional information or Schedules that need to be included in this section are:

- The revised and approved Benefits Realisation Register;
- The Task Schedule or Results Chain;
- The roles and responsibilities for achieving the benefits;
- The risk assessment profile;
- Places to record information about the progressive achievement of benefits; and
- Details about any benefits not included for measurement and why.

The following pages contain samples of the schedules that should be included in this section of the Benefits Management Plan.

## 8. SAMPLE SCHEDULES

Please note: The following sample schedules relate to a project to Implement an Intranet and internal E-mail system.

### 8.1 Sample BENEFITS REALISATION REGISTER

<i>Benefit Reference Number</i>	<i>Description of the Benefit to be Achieved</i>	<i>Person Responsible for Realising the Benefit</i>	<i>Description of Current Situation/ Performance of the Business Process</i>	<i>Current Cost / Performance Measure of the Business Process</i>	<i>Target Cost / Performance Measure after the Planned Change</i>	<i>Target Date for the Benefit to be Realised</i>	<i>Triggers or events that will cause the Benefit to be Realised</i>	<i>Type of Contribution to the Business</i>	<i>Assessed Value of the Benefit or Saving</i>	<i>Comment about the Assessed Value</i>	<i>SRAA Outcome / Strategic Objective Supported by this Benefit</i>	<i>Contribution of this Benefit to Achieving the SRAA Outcome / Strategic Objective</i>	<i>Value of the Benefit Realised and Date Achieved</i>
B1	Reduce the amount of paper used to distribute information to staff.	Chief Information Officer	All information to staff is distributed in hard copy.	2,000 reams of paper per year are used to distribute information to staff at a total cost of \$11,000.	All information to staff is distributed on the Intranet and via e-mail.	June 2002	Intranet and e-mail systems deployed. All staff are trained in and have access to the Intranet and e-mail systems. All information to staff is published on the Intranet and distributed via e-mail.	Cost Reduction	\$11,000 pa		Reduce administrative costs by 10% per year.	Value of benefit contributes a 0.01% p.a. reduction in administrative costs.	

**Benefits Realisation Register Approved By:** \_\_\_\_\_ **Date:** \_\_\_\_\_

## 8.2 Sample TASK SCHEDULE

Benefit B1 – Reduce the amount of paper used to distribute information to staff

Task Number	Task Description	Responsibility for completing the task	People and business units involved in completing the task	Target date for completing the task	Actual date that the task is completed
T1.1	Identify, acquire and install suitable e-mail and Intranet software applications. (Refer to Project IT201 – Corporate E-mail and Intranet System - to be completed in first quarter of year1)	Manager, IM&T	Project IT201 Steering Committee	First quarter, year 1	
T1.2	Determine design for corporate Intranet system and establish an editorial committee	Chief Information Officer	Manager, Corporate Communications Unit	First quarter, year 1	
T1.3	Identify all forms of information currently distributed to staff in hard copy and document the custodians / creators of the information	Chief Information Officer	IM&T Steering Committee	First quarter, year 1	
T1.4	Identify the volume of paper used for each type or piece of information	Chief Information Officer	Manager, Records Unit Manager, Corporate Communications Unit	First quarter, year 1	
T1.5	Decide what information will be published via the Intranet and what is to be distributed to staff directly via e-mail	Chief Information Officer	IM&T Steering Committee	Second quarter, year 1	
T1.6	Train staff in the use of the new Intranet and e-mail systems	Chief Information Officer	Manager, Corporate Communications Unit Manager, Learning and Development Unit		
T1.7	Assist information custodians / creators to design or develop suitable formats for their information to be published via the Intranet or e-mail. Include appropriate training in publishing tools	Manager, Corporate Communications Unit	Manager, Learning and Development Unit	Second quarter, year 1	
T1.8	Develop and promulgate appropriate policies and procedures for use of the Intranet and e-mail systems, including procedure for submitting content for the Intranet	Chief Information Officer	IM&T Steering Committee	Second quarter, year 1	

**Task Schedule Approved By:** \_\_\_\_\_ **Date:** \_\_\_\_\_

### 8.3 Sample BASE LINE INDICATOR AND MEASUREMENT SCHEDULE

Benefit B1 – Reduce the amount of paper used to distribute information to staff

Base Line Indicator Reference	Type of Information	Candidate for Intranet / e-mail Distribution	Average pages / issue	Average staff distribution / issue	Average issues / year	Total pages / year for this type of information	Custodian or creator	Electronic version design complete	Training for custodian / creator complete	Date of first electronic distribution complete	Outcome measure
BL1.1	Corporate Newsletter	Intranet	6	All staff (1,100)	6	40,000	Manager, Corporate Communications Unit				
BL1.2	Circular 1	E-mail	1	All staff (1,100)	50	55,000	Chief Information Officer				
BL1.3	Technical Circular A	Intranet	4	Technical Unit A and Executive (330)	12	16,000	Manager, Technical Unit A				
BL1.4	Technical Circular B	No –Circular contains spatial data that is required in A2 size by Technical Officers	3	Technical Unit B (55)	12	2,000	Manager, Technical Unit B	Not Applicable	Not Applicable	Not Applicable	Not Applicable

**Base Line Indicator and Measurement Schedule Approved By:** \_\_\_\_\_ **Date:** \_\_\_\_\_

#### 8.4 Sample RISK ASSESSMENT SCHEDULE

Benefit B1 – Reduce the amount of paper used to distribute information to staff

Risk Number	Risk Description	Likelihood of risk happening (High, Medium, Low)	Impact of risk happening (High, Medium, Low)	Risk Assessment Rating(High, Medium, Low)	Action to mitigate risk	Responsibility for taking action to mitigate risk
R1.1	Not all information can be readily converted or prepared in electronic format due to legacy applications (eg, databases)	Medium	Medium	Medium	Information custodians or creators should discuss problems with the Manager, IM&T Unit to determine if suitable arrangements or alternatives are available.	Information custodians or creators identified in the Base Line Indicator and Measurement Schedule

**Risk Assessment Schedule Approved By:** \_\_\_\_\_ **Date:** \_\_\_\_\_

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**PLEASE NOTE:**

The Benefits Realisation Register and sample schedules outlined here to be used for the Benefits Management Plan process are flexible and should be adapted as needed by the agency and/or project while retaining the core information outlined in the Benefits Realisation Guideline.

Benefits can be segmented to show the tangible vs. intangible benefits or the benefits associated with major project phases/milestones. This segmentation will depend on what makes sense for the project and/or the agency.

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