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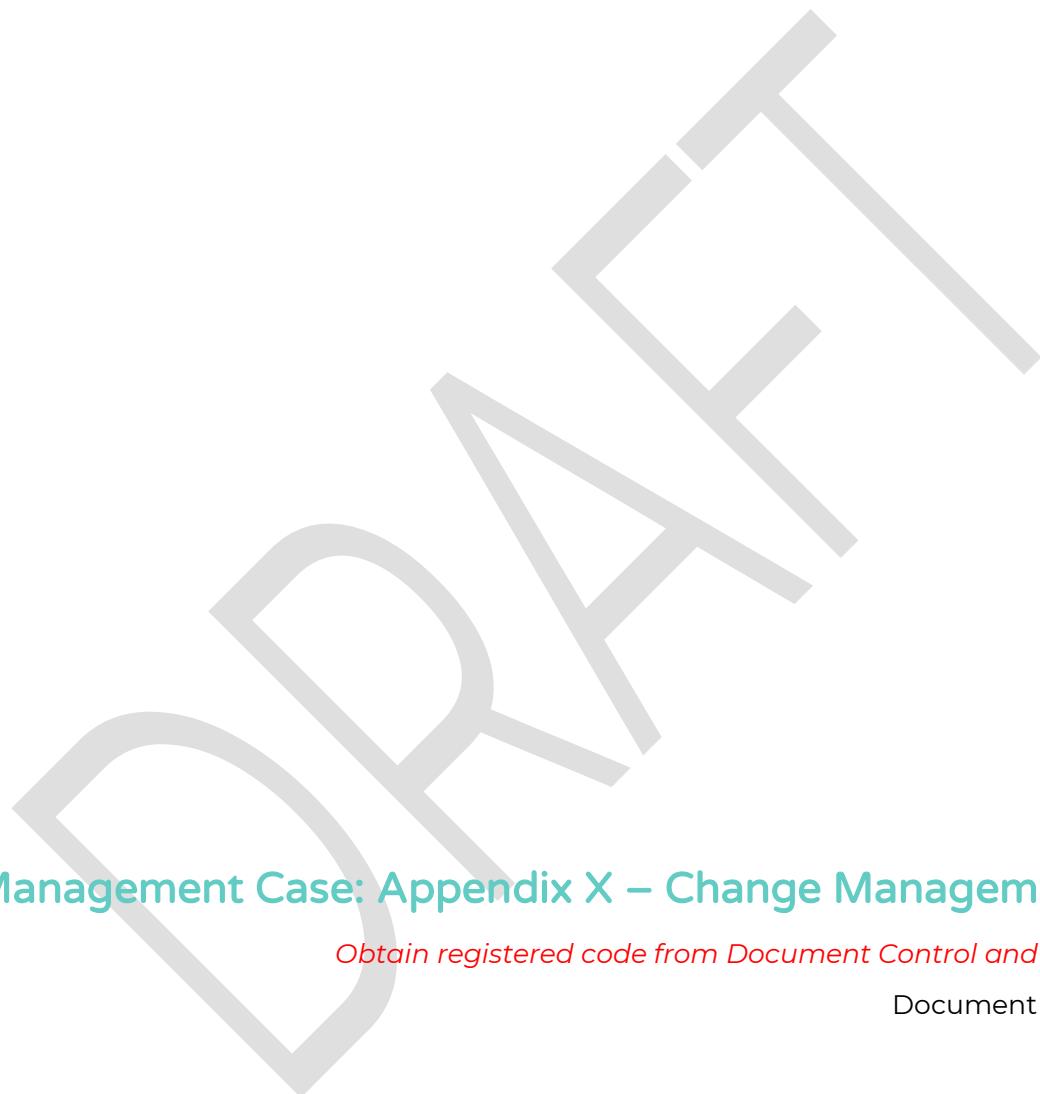
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Listed below are the most commonly used grounds from the OIA.

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



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Management Case: Appendix X – Change Management Plan

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Important Notice:

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

Key dependencies for the Management Case include:

- XXX
- XXX
- XXX

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

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

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Security Classification

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1. Introduction

1.1 Document purpose

The **XXX** is responsible for managing the development and delivery of the Auckland Light Rail (**ALR**) Project. The project includes **XXX**

This Change Management Plan (**CMP**) has been prepared for the ALR Project. It outlines the approach to managing the holistic change in delivering the project. This involves capturing key changes and outlining how these changes will be managed. Changes to the project (e.g. changes in scope, schedule, cost etc.) will be managed via the approach outlined in the Change Control Plan.

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

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

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

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

1.2 Change management guiding principles

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

Table 1.1 Change 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.

Key Change	Change Management Strategies
Engage early	<p>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.</p> <p>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.</p>
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>

2. Changes attributable to the project

This section provides an overview of the changes that will be attributable to the project, the rationale for progressing with the project in spite of these changes, and the consequences of not actively managing these changes.

2.1 Rationale for change

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

2.2 Key project changes

The following table outlines the key changes that are anticipated to arise throughout the project's lifecycle. 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 2.1 Key project changes

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

2.3 Future state without change management

The project aims to deliver net improvements to the Auckland community and transport users. However, without active management of the changes that the project will give rise to, there exists a possibility that these changes may detract from the effective implementation and ongoing operation and maintenance of ALR.

The following table outlines the key changes that are anticipated to arise with the Project and the likely outcome without change management.

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

Table 2.2 Future state without change management

Key change	Future state without change management	Mitigation objectives

Key change	Future state without change management	Mitigation objectives

3. Change management plan

3.1 Approach to the Plan

At a high level, change management has three distinct steps:

- **Preparation for change:** in this stage, an organisation considers why changes are required and decides what needs to change.
- **Change management:** this is when changes are being implemented, and when stakeholders are supported through this change.
- **Reinforcing the change:** success of the change should be celebrated at this stage, and health checks should be conducted to reinforce the change.

Successful change management is more likely to occur in respect of ALR if the following are considered as part of the overall change management plan:

- benefits management to define measurable stakeholder aims, create a case for their achievement, and monitor assumptions, risks, dependencies, costs, return on investment, dis-benefits and cultural issues affecting the progress of the associated work;
- effective communication that informs various stakeholders of the reasons for the change, the benefits of successful implementation as well as the details of the change;
- devise an effective education, training and/or skills upgrading scheme; and
- monitoring of the implementation and fine-tuning as required.

Elements of the above are included in this plan; additional details can be found in the Benefits Management Plan, Risk Management Plan, and **XXX**.

3.2 Key controls

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

Key controls to be used to manage change due to the project include:

- ALR has a governance and project assurance process in place to ensure that the changes from the project have been endorsed.
- The ALR project team will manage the milestones, scope and cost of the project from the Pre-Delivery phase, through the Procurement phase, to the end of the Delivery phase by having regular progress meetings, reporting on the project at monthly performance review meetings, and by involving key staff from within the project team and external contractors in risk and constructability workshops as required.
- Continuous oversight of the project will be provided by the **XXX**, which will provide high-level advice and support, ensuring the objectives of the project will be delivered and realised. The membership of **XXX** will be regularly reviewed to ensure it is optimal for the different project phases.
- ALR will update and refine the existing Community and Stakeholder Engagement and Communications Strategy as required to ensure that key interfaces with stakeholder groups that have been established to date are strengthened and built upon; additional plans and strategies will be developed as required to further this effort.

- Changes during construction will be managed by implementing the Project Management Plan and the Community and Stakeholder Engagement and Communications Strategy, along with the suite of other management plans that will be developed during the Procurement and Delivery phases.
- Work Health and Safety and Rail Safety Accreditation will be managed by implementing the relevant safety management plan(s) and safe work method statements.
- New assets will be maintained by XXX (and/or contracted partners), which has the capability and capacity to manage this project's rail infrastructure assets.

3.3 Change management strategies

The following table identifies how each key change resulting from the project will be addressed and managed.

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

Table 3.1 Key change management strategies

Key change	Change management strategy	Resources required for change implementation	Associated and relevant plans

3.4 Key stakeholder analysis

Based on change management strategies identified above, a stakeholder analysis has been completed. This analysis is presented in the following table.

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

Table 3.2 Key stakeholder analysis

Who	Role	Stakeholder type	Benefits	Needs	Resist change because
Residents					
Māori and Treaty Partnerships					
Community and special interest groups					

Who	Role	Stakeholder type	Benefits	Needs	Resist change because
Community and sporting groups					
Industry and business					
Transport/light metro users					
Crown, Ministers, Members of Parliament and Auckland Council					

4. Change communications

Change communication activities need to be consistent and adaptive to stakeholder requirements throughout the project lifecycle for them to be effective. Stakeholders going through change need to feel that they have been involved throughout the change process.

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 team members of the project to gather ideas, provide information and seek feedback on proposed changes (e.g. the 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]**.

5. Change monitoring and reporting

The project will monitor its success in change management through a collection of direct and indirect information. Similar to other aspects of the project, the project's change management will be reported through the reporting mechanism outlined in section **XX** of the PMP.

Change mitigations that form part of the project scope (e.g. design development, obtaining approvals etc.) will be managed and reported through the project management processes outlined in the PMP and the Change Control Plan, and the engagement processes outlined in the Community and Stakeholder Engagement and Communications Strategy and its subordinate plans.

Change mitigations that represent risk management strategies will be managed and reported via the processes outlined in the Risk Management Plan and the PMP.

Change mitigations relating to people-specific changes (e.g. **XXX**) will require their own management initiatives and monitoring. These will be developed as the nature and extent of the changes are confirmed.

6. Governance

6.1 Roles and responsibilities

[Insert the following once further developed:

- *Project governance arrangements – link to Governance Management Plan*
- *Roles and responsibilities.]*

Further information on the project's governance arrangements can be found in the Governance Plan.

6.2 Change management risks

The key changes of the project will bring the following risks to the change management aspects of the project. These risks will continue to be managed as part of the ALR Master Risk Register:

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

Table 6.1 Change management risks

Key change	Risk	Mitigation strategy



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Appendix A Change impact assessment

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