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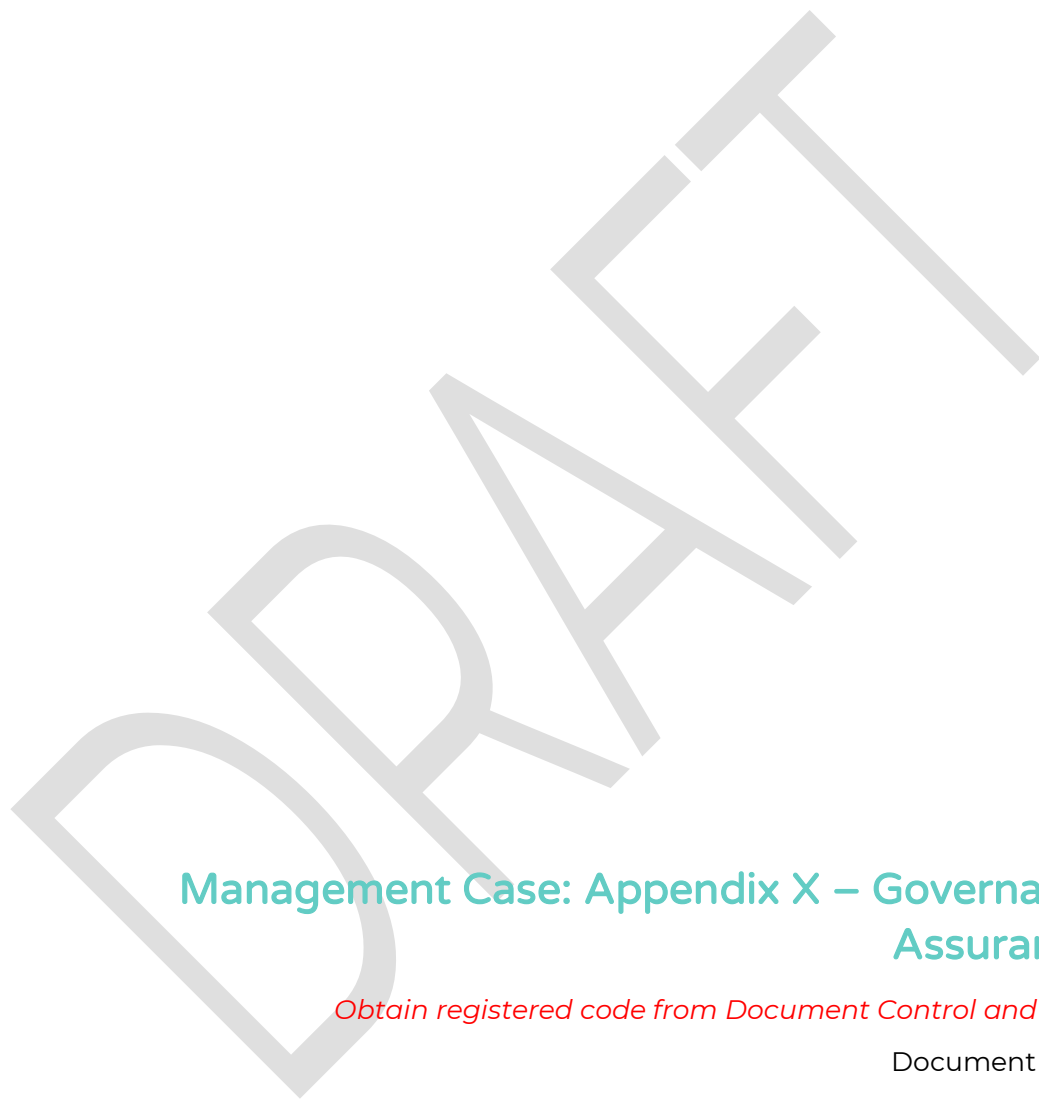
Some information has been withheld on the basis that it would not, if requested under the Official Information Act 1982 (OIA), be released. Where that is the case, the relevant section of the OIA has been noted and no public interest has been identified that would outweigh the reasons for withholding 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"> <li>(i) the Government of any other country or any agency of such a Government; or</li> <li>(ii) any international organisation</li> </ul>
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 – Governance and Assurance Plan

*Obtain registered code from Document Control and enter below*

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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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## Issue and revision record

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# 1. Introduction

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## 1.1 Document purpose

The purpose of the Governance and Assurance Plan (the Plan) is to enable transparency and confidence in decision-making by clarifying the roles, responsibilities and authorities within the Auckland Light Rail (**ALR**) 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 document 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.

This document 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 framework has been developed with due regard to **XXX** legislative compliance requirements and in accordance with governance requirements documented in **XXX**.

## 1.2 Acronyms and definitions

Acronyms and definitions used in this document are set out below.

Table 1.1 Acronyms and definitions

Term	Definition

## 1.3 Plan accountabilities

The **XXX** is accountable for the preparation and maintenance of the Governance and Assurance Plan, which includes obtaining the authorisation of the document, monitoring its effectiveness, and conducting formal document reviews. The Plan is a controlled document with .pdf copies of the latest version to be made available to all personnel indicated in the **XXX** organisation chart. The document will be controlled in accordance with the **XXX**.

All members of the Project team are responsible for the completion and quality of their assigned work in accordance with this Plan (as appropriate), with the **XXX** being ultimately accountable for ensuring the requirements of this Plan are upheld.

## 1.4 Applicability

This Plan and all subsidiary plans that may arise apply to all project personnel and all consultants, contractors, sub-consultants, and sub-contractors engaged on the Project.

## 1.5 Document review

This Plan will be reviewed on annual basis, or sooner as required. As a matter of practice, the Plan will be reviewed as the ALR Project proceeds through each stage gate to ensure it remains relevant. Updates will be made as required and the Plan reissued.

Where a review indicates the need for a major update to the Plan (material change in management practices or content changes by more than 50 percent), approval for the new plan will be sought from the **XXX**.

The next update of this plan will include addressing the following:

- The decision and escalation matrix, following submission and approval of the Final Business Case and confirmation of the procurement and packaging methodologies.
- The timing and nature of future **XXX** assurance activities as the Project is advised by **XXX**.
- Ongoing review of the appropriateness and resourcing of the Project Governance Structure as the Project moves through project phases.

## 1.6 Management plan hierarchy

This 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 ALR Project. This Plan is the level 2 Management Plan. The hierarchical linkages across the Project Management Plan are shown below:

**[Insert figure]**

Figure 1.1 Hierarchy of management plans

## 1.7 Applicable documents

The following list of applicable documents are referred to in this Plan and are therefore reference points in reading this Plan.

**[Insert list/table]**



## 2. Governance strategy

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### 2.1 Definition of governance

Governance is defined by the **Governance Institute** as:

*Governance encompasses the system by which an organisation is controlled and operates, the mechanisms by which it, and its people, are held to account. Ethics, risk management, compliance and administration are all elements of governance.*

Project governance operates within the overall governance structures of the organisation to ensure projects are well controlled with governance activities or measures able to be applied in a consistent and efficient way; roles and responsibilities are clearly defined, decisions are made in accordance with the accountability of the role and, where the decision is related to cost, within the financial delegation of the team member.

The design of the Project's governance arrangements must meet what is expected by the **XXX** whilst ensuring the Project is able to make decisions and receive necessary approvals at a pace consistent with the Project requirements. The governance approach for the Project needs to be fit for purpose, agile in delivery and flexible to accommodate the changing needs and phases of the Project.

### 2.2 Focus areas of governance

By providing a framework for consistent and transparent decision making and execution of the Project, governance focuses on three areas – value, the **XXX** and the Project itself.

#### 2.2.1 Value

The governance measures of the Project will track and monitor any changes to, or impacts on, the Project's value and benefits to key stakeholders of the Project. At a high level, key project stakeholders include the beneficiaries of the Project outcomes – the people of Auckland; the Project investors – **XXX**; and, the owner of the resulting infrastructure – **XXX**.

The purpose of a governance focus on value is to ensure the Project delivers the intended value, with key stakeholders being well informed over the duration of the Project to ensure a 'no surprises' approach

#### 2.2.2 **XXX**

Governance measures will facilitate **XXX's** preparedness to accept the asset that will be constructed and the project methodology and operational practices that build on, and potentially replace, current practice.

The purpose of a governance focus on **XXX** is to support **XXX** to realise the full potential and value of the infrastructure and other outcomes of the Project.

#### 2.2.3 The Project

The governance measure will monitor and track the Project's progress to ensure the overall cost and time taken to deliver, and the quality of the Project outcomes do not reduce the values and benefits.



The purpose of a governance focus on the Project is to ensure the delivery of the business outcomes and benefits promised by the Project.

Focus on the above areas will be maintained through the following key governance mechanisms:

- Identification of key decision makers and advisors;
- The Project governance structure;
- Clear definition of roles and responsibilities;
- Project reporting framework;
- Risk and issue management;
- Project controls; and
- Assurance.

Each of the above mechanisms will be discussed in more detail below. In instances where the governance mechanism is the subject of a standalone management plan, a brief overview will be provided together with a reference to the relevant management plan.

## 3. Governance – Delivery Phase

### 3.1 Identification of key decision makers and advisors

Consideration of the level of authority stakeholders have to make or influence decisions for the Project is an important input in designing the Project governance structure.

For the purpose of the Project governance structure, key stakeholders have been reviewed to assess their decision making authority, or level of influence on decisions. Key decision makers and advisors external to XXX are categorised in the following way:

*[To be developed in due course as governance arrangements are progressed.]*

Table 3.1 Key decision makers and advisors

Role	Involvement	Potential impact	Governance approach

### 3.2 Project governance structure

*[To be developed in due course as governance arrangements are progressed.]*

### 3.3 Clear definition of roles and responsibilities

*[To be developed in due course as governance arrangements are progressed.]*

### 3.4 Decisions and approvals

*[To be developed in due course as governance arrangements are progressed.]*

### 3.5 Project reporting framework

*[To be developed in due course as governance arrangements are progressed.]*

### 3.6 Risk and issue management

*[To be developed in due course as governance arrangements are progressed.]*

### 3.7 Contingency management

*[To be developed in due course as governance arrangements are progressed.]*

### 3.8 Project controls

*[To be developed in due course as governance arrangements are progressed.]*

## 4. Governance – Operations Phase

### 4.1 Identification of key decision makers and advisors

Consideration of the level of authority stakeholders have to make or influence decisions for the Project is an important input in designing the Project governance structure.

For the purpose of the Project governance structure, key stakeholders have been reviewed to assess their decision making authority, or level of influence on decisions. Key decision makers and advisors external to XXX are categorised in the following way:

*[To be developed in due course as governance arrangements are progressed.]*

Table 4.1 Key decision makers and advisors

Role	Involvement	Potential impact	Governance approach

### 4.2 Project governance structure

*[To be developed in due course as governance arrangements are progressed.]*

### 4.3 Clear definition of roles and responsibilities

*[To be developed in due course as governance arrangements are progressed.]*

### 4.4 Decisions and approvals

*[To be developed in due course as governance arrangements are progressed.]*

### 4.5 Project reporting framework

*[To be developed in due course as governance arrangements are progressed.]*

## 4.6 Risk and issue management

*[To be developed in due course as governance arrangements are progressed.]*

## 4.7 Contingency management

*[To be developed in due course as governance arrangements are progressed.]*

## 4.8 Project controls

*[To be developed in due course as governance arrangements are progressed.]*

## 5. Assurance

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*[To be developed in due course as governance arrangements are progressed.]*



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## Appendix A [Attachments]

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