Business Transformation

Change management framework and change approach to business and customer readiness

December 2021

V1.00 FINAL

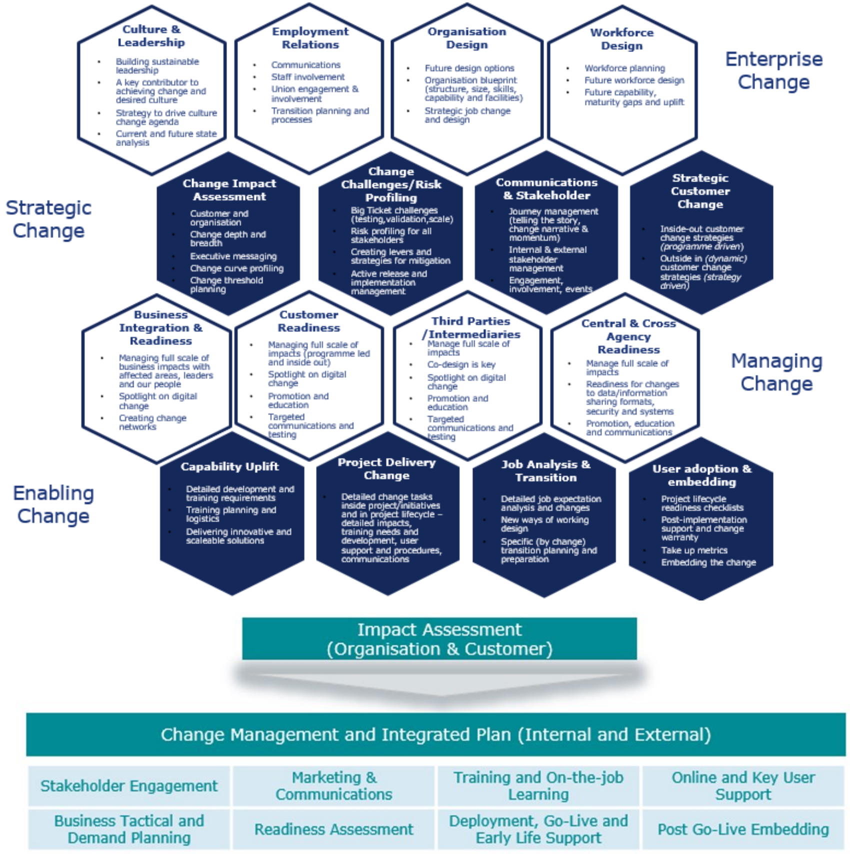
Contents

Change Management Methodology & Toolkit

Domain Principal – Change Management, ED&I

1/10/2021

Introduction



Our change management methodology is underpinned by the change management architecture (shown left). This was developed as part of the Business Transformation programme and provides a well-tested, structure approach to managing change at IR.

We use a set of tools to understand what the change impacts are for our people and customers across the dimensions in the architecture. These tools include a change impact assessment and change management plan covering communications, training, user support requirements and transition approach.

This approach enables leaders, our people and customers to understand what the change means for them, what action they need to take and how they will be supported through the change.

Foundations for Leading Change

Enterprise Change

Culture & Leadership
- Building sustainable leadership
- A key contributor to achieving change and desired culture
- Strategy to drive culture change agenda
- Current and future state analysis

Employment Relations
- Communications
- Staff involvement
- Union engagement & involvement
- Transition planning and processes

Organisation Design
- Future design options
- Organisation blueprint (structure, size, skills, capability and facilities)
- Strategic job change and design

Workforce Design
- Workforce planning
- Future workforce design
- Future capability, maturity gaps and uplift

Strategic Change

Change Impact Assessment
- Customer and organisation
- Change depth and breadth
- Executive messaging
- Change curve profiling
- Change threshold planning

Change Challenges/Risk Profiling
- Big Ticket challenges (testing,validation,scale)
- Risk profiling for all stakeholders
- Creating levers and strategies for mitigation
- Active release and implementation management

Communications & Stakeholder
- Journey management (telling the story, change narrative & momentum)
- Internal & external stakeholder management
- Engagement, involvement, events

Strategic Customer Change
- Inside-out customer change strategies *(programme driven)*
- Outside in *(dynamic)* customer change strategies *(strategy driven)*

Managing Change

Business Integration & Readiness
- Managing full scale of business impacts with affected areas, leaders and our people
- Spotlight on digital change
- Creating change networks

Customer Readiness
- Managing full scale of impacts (programme led and inside out)
- Spotlight on digital change
- Promotion and education
- Targeted communications and testing

Third Parties /Intermediaries
- Manage full scale of impacts
- Co-design is key
- Spotlight on digital change
- Promotion and education
- Targeted communications and testing

Central & Cross Agency Readiness
- Manage full scale of impacts
- Readiness for changes to data/information sharing formats, security and systems
- Promotion, education and communications

Enabling Change

Capability Uplift
- Detailed development and training requirements
- Training planning and logistics
- Delivering innovative and scaleable solutions

Project Delivery Change
- Detailed change tasks inside project/initiatives and in project lifecycle – detailed impacts, training needs and development, user support and procedures, communications

Job Analysis & Transition
- Detailed job expectation analysis and changes
- New ways of working design
- Specific (by change) transition planning and preparation

User adoption & embedding
- Project lifecycle readiness checklists
- Post-implementation support and change warranty
- Take up metrics
- Embedding the change

- Business and leader led change management
- Methodical and structured (hard and soft balance)
- Strong focus on customer
- Change is pushed from the centre and pulled by the business and stakeholders
- Solid construct by which change challenges will be mitigated and managed
- The '4 layers, 16 cells' are not discreet. They are a dynamic set of forces in a change management eco-system. Cut a corner in one and the risk profile across all will go up.
- Sets the stage for determining levels of investment to successfully manage change.
- A strong team of experienced and dedicated change practitioners attached to business group/external stakeholders to deliver on this model.

Scale of change

Transformational

- Impacts are internal and external, widely applied and significant (positive or negative)
- Change will cause a high level of disruption
- Multi-year, multi-staged
- Re-platforming technology, business processes and ways of working
- Critical drivers for change – business can't survive or sustain current state
- Business led only
- Future state organisation and workforce will be 'different'
- 'Once in a generation'

Incremental

- Impacts may be internal and/or external, narrowly applied (positive or negative)
- Low level of disruption and risk profile is contained
- Prescriptive/standard process
- Short term
- Software replacement/upgrades, continuous improvement
- Non-critical drivers for change – business can survive or sustain current state
- Business led or technology led
- Department restructure

The Change Management Lifecycle

	Design *AGILE*	Deploy *Pilot*	Adopt *Prove*	Embed *Scale*	Leverage & Optimise
	Create, design, build.	Rollout/Release	Take up the new and cease the old	Has become default and business as usual	Innovate & get more value
Primary Responsibility	**BT/Project**				**Embedded in Business**
Milestones	Design Completed	Go-Live	Our people using tools and processes and exploring functionality.	Utilisation, behaviour change, benefits to customers and IR.	New products or services being delivered. Step-change performance improvement.
Change Activity	• Accessibility • Pre-deployment communications • Leader engagement • Pilot/test • Specialist/key users identified	• Deployment Communications • Education/learning/training • Early life support • Specialist/key user support • Leader engagement • People readiness • Establish communities of practice and change champions.	• Adoption/ behavioural change work, including supporting communications. • Focus on ‘early adopters’ • Specialist/key user support • Leader engagement • Post Go live assessment & Lessons learned	• Adoption/ behavioural change work, including supporting communications • Focus on ‘late adopters/laggards’ • Specialist/key user support • Leader engagement	• Adoption/ behavioural change work, including supporting communications • Specialist/key user support • Leader engagement
Measure	• Scopes, plans, design and test completion.	• Deployment stats, training completion.	• Initial usage, training completion	• Utilisation, behaviour change, benefits to customers and IR.	• Effectiveness, productivity.
What it looks like	• Specialists/key users developing skill and knowledge in preparation for go-live. • Leaders understand change and can bring their people on board. • Separate projects currently at different stages of design, deploy, adopt.	• Joined up messaging about the change, go-live and support to be provided. • Appropriate education/training delivered. • Specialists/key users providing support to users. • Principles, policies, procedures etc. are in place. • Early life support processes and systems in place and operating. • Leaders and their people are ready, willing and able.	• User uptake is increasing • User feedback is being captured and acted on • Impacts and issues continue to be managed and resolved in BAU. • Specialists/key users continue to provide support to users. • Our leaders are actively supporting our people to use tools and ways of working	• The new way of working are promoted as part of ‘what we do’ • Our people understand which tools/policies/processes to use when, and how they can assist with their work. • Collaboration is evident. • Information is easy to find, accurate, tailored . • Efficiencies and ease of use are evident. • Principles, policies, procedures etc. are being followed.	• New way or working is ‘what we do’ • Continuous improvement is a focus. • Demonstrated engagement, combined with a sense of collective ownership of the change. • Ongoing support is resourced to enable future improvements.

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IN CONFIDENCE - EXTERNAL RELEASE

The Change Management Toolkit

	Design *AGILE*	Deploy *Pilot*	Adopt *Prove*	Embed *Scale*	Leverage & Optimise
	Create, design, build.	Rollout/Release	Take up the new and cease the old	Has become default and business as usual	Innovate & get more value
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Tools & Templates	❖ **Accessibility guidelines** ❖ **Communications & Stakeholder Engagement Plan** ❖ **Impact Assessment** • Training needs analysis & Training Plan ❖ **Change Management Plan**	❖ **Communications & Stakeholder Engagement Plan** ❖ **Impact Assessment** • Training needs analysis & Training Plan • Change Management Plan • People Readiness Assessment • Early Life Support plan	❖ **Communications & Stakeholder Engagement Plan** ❖ **Impact Assessment** • Learning & Development plan for BAU • Change Management Plan • Post-go live People Readiness Assessment • Early Life Support plan	❖ **Communications & Stakeholder Engagement Plan** ❖ **Impact Assessment** • Learning & Development plan for BAU • Change Management Plan • Post-go live People Readiness Assessment • Embed & Transition to BAU Plan	❖ **Communications & Stakeholder Engagement Plan** • Training needs analysis & Training Plan • Learning & Development plan for BAU • Post-go live People Readiness Assessment

❖ **Minimum requirement/core component**
• Optional depending on scale/type of change

Organisation Impact Assessment

Change or Scope	Business Process	Business Group or User Type	Assessment	
What is the change? *Sometimes described as a feature or scope item.*	What are the associated business processes? *Each change may have one or more business processes.*	Who is impacted by the change? *May be a business group, team, role or user group/type*	What is the impact rating? *This helps to understand the size and extent of the change.*	How many people are impacted? *The number of people in each impacted group.*
Use the same list of changes/features/scope items for the Customer Impact Assessment to provide line of sight across the change	*Workforce Planning can tag their capacity impact assessment to business processes as well, ensuring impacts on our contact centres are identified.*		*Use the impact assessment rating scale and questions on Slide 8*	*Training Needs Analysis will drive the next level of detail based on the specific work of teams roles, and individuals where appropriate.*

Organisation Impact Assessment Rating Scale

Organisation Impact Rating Scale	
Very High	The cumulative effect of changes already rated as high impact represents a very high or extreme risk according to the Enterprise Risk Rating Tool.
High	***Introduction of completely new:*** • Policy (legislative), business processes and policies, tax & social policy products, procedures, systems and/or; • Working environment including location, tools, technology, user support & procedures, organisation structure & team composition and/or: • Capabilities and skills, ways of working, culture shift.
Med	***Many changes to existing:*** • Policy (legislative), business processes and policies, tax & social policy products, procedures, systems and/or; • Working environment including location, tools, technology, user support & procedures, organisation structure & team composition and/or: • Capabilities and skills, ways of working, culture shift.
Low	***Some changes to existing:*** • Policy (legislative), business processes and policies, tax & social policy products, procedures, systems and/or; • Working environment including location, tools, technology, user support & procedures, organisation structure & team composition and/or: • Capabilities and skills, ways of working, culture shift.
Neg.	Negligible or No Change

For every change, teams and/or user type within each business group or customer segment are identified.

An impact rating is applied according to the scale.

The ratings and description of the impacts are then extensively tested and validated within the project and with business stakeholders.

Information on changes for our people are gathered from a wide variety of sources, including working groups, design workshops and definition sessions.

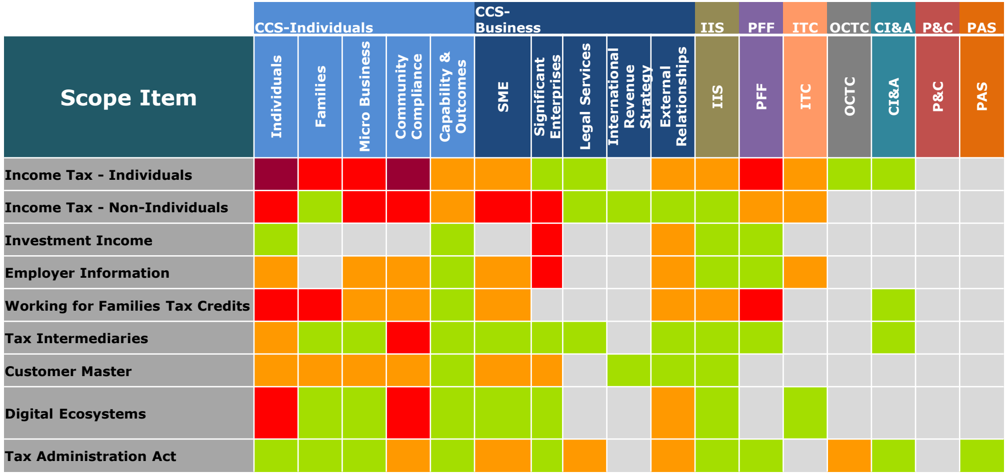
The impacts are captured in purpose-built tools e.g. sharepoint or excel spreadsheets, or START FCR.

Detailed Impact Assessment Questions

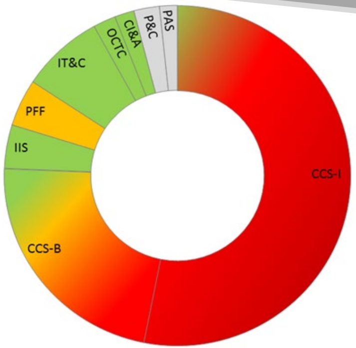
Direct	People & Organisation	Will the change require any changes to roles or the scope of tasks undertaken, role accountabilities and responsibilities, changes to organisation structure or performance measures for teams or individuals? *If so, a job impact assessment may be required.* Will there be any changes to capabilities or skills that people require to carry out their role, impacts to organisation culture, decision making or ways of working? Is there likely to be any impact on the physical or psychological wellbeing of staff/contractors/visitors?
	Policy & Process	Is there change to legislation? Will there be changes to IR policies, procedures or business rules? Will there be changes to processes or services, team interdependencies, co-existence, or the way IR's services are delivered to customers (internal and external)? Will there be changes to the products or outputs for services or the way IR works with or utilise third parties and business partners? Will there be changes to the amount of work that teams carry out ? Are there any changes to operational budgets or delegations?
	Technology	Will there be changes to the technology, applications, systems or software people use? Will there be changes to technology infrastructure? Will there be changes to the capabilities or processes required for IT Support and Operations Management?
Indirect	Involved	To what extent will people and teams be involved in supporting the delivery of the change (prior to, at go-live or after go-live)? Will there be additional or different support required from shared services or teams outside of the programme (dependencies)?

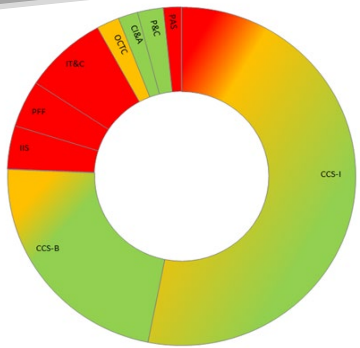
- These questions are used to help guide the identification of impacts.
- They are not rated separately in the assessment.
- Indirect impacts may also be considered i.e. where there is no change for a team/group, but they are providing resource to the project or initiative.

START Release 3 example



Direct Impact
of landing the change





Indirect Impact
of delivering the change

Organisation impact rating scale

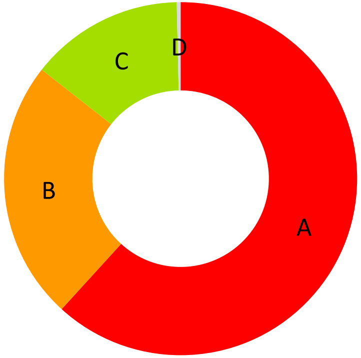
Very High High risk results from the cumulative effect of high impact change	The cumulative effect of changes already rated as high impact represents a very high or extreme risk according to the Enterprise Risk Rating Tool.
High Introduction of completely new:	• Policy (legislative) • Business processes and policies • Tax and social policy products • Systems and applications • Working environment including location, tools, user support and procedures • Organisation structure and team composition • Capabilities and skills • Ways of working and culture
Medium Major changes to existing:	
Low Some changes to existing:	
Negligible No change to:	

Indirect impacts

The extent people are involved in the change prior to or at go-live, for example, supporting implementation by providing people or services for the programme.

A more detailed heat-map showing the assessment of key features within each scope item is provided in the appendix.

Example START Release 3: CCS-I Individuals Segment



Prioritised Change Groups		Estimated Headcount
A	**Customer Service Officers** who manage individual and non-individual income tax end of year assessments, account reviews, correspondence, registrations, bankruptcies and cessations. **Customer Service Officers** who manage contacts with individual, business and WFFTC customers.	≈ 1,063
B	**Customer Support Administrators** and **Customer Support Officers** who manage student loans, payments, paper and imaging, customer details and employers. **Team Leads**	≈ 513
C	All other **Customer Support Administrators** and **Customer Service Officers** **Analysts**, **Management**	≈ 139
D	**Support Staff**	≈ 6
TOTAL SEGMENT HEADCOUNT		≈ 1,721

Impact Description

- Customer Service Officers managing the voice channel and correspondence will need to support individuals, families, businesses, employers and intermediaries through a significant transition period with changes to individual income tax, rebates, Working for Families Tax Credits, non-individual income tax, employment information, myIR and other channels.
- Customer Service Officers will need a thorough understanding of the changes to individual income tax legislation and processes including the new end-of-year assessment replacing the PTS and IR3 returns, and how resulting credits and debits will be handled.
- Customer Service Officers will need a thorough understanding of the changes to processes to non-individual income tax including how provisional tax, imputation and tax pooling will be handled.
- All Customer Support Administrators and Customer Service Officers will need to understand the implications of moving the customer master into START including the new income profile and how to maintain relationships information.
- Customer Service Officers who carry out registrations, bankruptcies and cessations will need to know how these processes have changed.
- Customer Services Officers working in the contact centre will be able to approve urgent disbursements including for Working for Families, and these will be processed two-hourly.

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Example: Intelligent Information Hub/Haukāinga

All of our people will be impacted by the change, with a Low-Medium impact for most. Change considerations take into account user behaviour, trust and confidence.

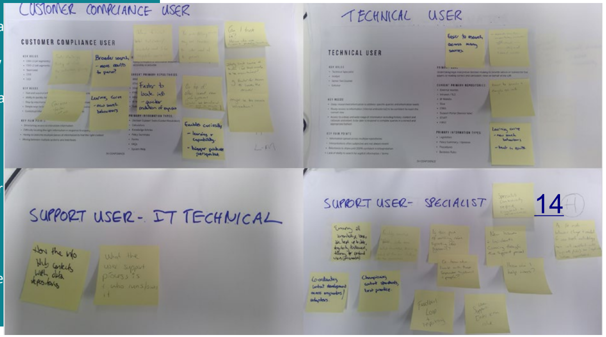
User types /behaviour are fluid based on role/task at any given point in time.

Specialist and technical are specific 'functions' in relation to IIH.

User Type or Behaviour	Impact Rating	Impact Description
Customer Compliance User Requires ability to respond to and resolve inbound customer queries as efficiently and accurately as possible.	L-M	• Our people will need to know how to use the new tool, and new search behaviours to be learned • Broader search – more results to look through • Faster to locate info – quicker resolution of enquiries • Enables curiosity – learning and capability, bigger picture perspective
Technical User Undertaking legal interpretive decision making to provide advise or opinion for tax payers by reading correct and consistent views on behalf of the CIR.	L-M	• Easier to research across many sources and compile information • Research can be undertaken more effectively, faster and more accurate • Learning curve –new search behaviours and trust in results
Originator Responsible for raw information generation and ensuring information remains factually accurate.	L-M	• Higher level of engagement • May need to understand information in wider context/strategy • Learning curve for using the tool, statuses, feedback flow • Content standards need to be defined/need to have capability to do this • Need to understand process to build content, sign-off and timeframes – governance and ownership • Less 'red tape' – able to publish directly/more rapidly • May now be a task in more people's roles (based on content governance). • Needs to understand content structure, how to write content and skills to research and analyse content.
Adaptor Responsible for ensuring information usability and for making sure information feedback and requests are routed appropriately and followed up on.	L-M	• Ensuring all knowledge bases are kept up to date, regularly, relevant • Continually refine content and check for relevance and tax technical accuracy (with tax technical involvement). • Provide training and support for content users • Need to know content rules, standards, notification requirements etc, • Close relationship with originators and consumers • Optimising content to enable it to be found easily • The user is responsible for content design – not an SME.
Consumer Responsible for ensuring information usability and for making sure information feedback and requests are routed appropriately and followed up on.	L-M	• Understand how to follow a thread to a conclusion • Need to understand whether you need to search or whether info is served up based on the work I am doing, and what influences search results • Our people will need to know how to use the new tool, and new search behaviours to be learned • May be an originator as well. • Clear process and expectations for resolving errors and gaps in content • Understand how to provide feedback quickly and easily.
Specialist Responsible for managing the processes for creating, sharing, using and managing the organisation's information. Includes ontology, workflows, audit and use analytics/ reporting.	M-H	• Championing content standards/best practice • Coordinating content development across originators/adaptors • Coordinating feedback loops & reporting • User support (IKM team -TBC)/manage/triage issues and incidents through the support portal • Consider how consistent rules/keyword apply across repositories • Support behaviour change for consumers/other user types
IT Technical Responsible for ensuring the systems used for information management are available and maintained. Includes access management, integrations, service delivery, security, management and monitoring.	L-M	• Need to understand how the information hub connects with data repositories. • Need to understand the user support process is and IT role in this.

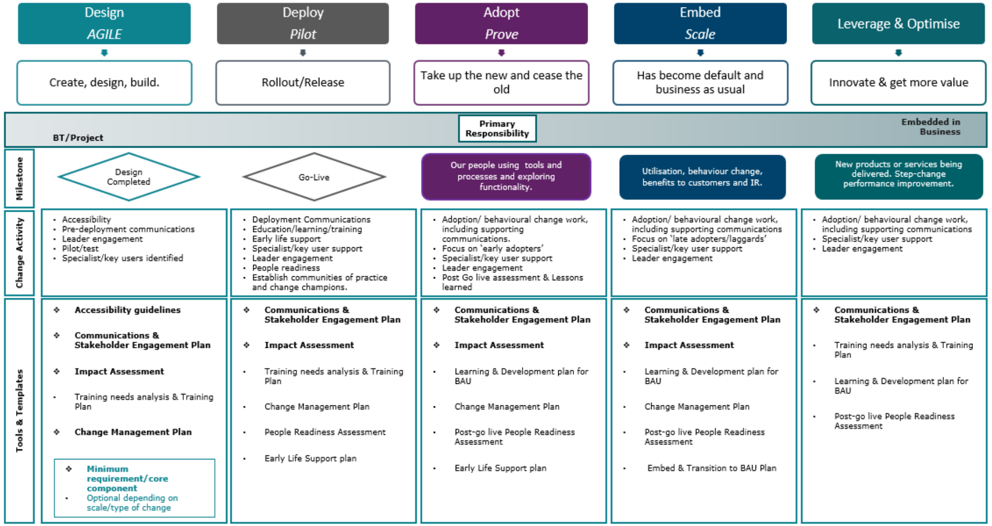
Change Considerations:

- Important to build trust and confidence in new tool(s) as a fast, authoritative, accurate source of information.
- Encourage view of IKM as an 'ecosystem' that everyone is part of. Need to provide a closed feedback loop with consumers.
- Visible support will be required by leaders to assist with adoption/embedding.
- Focus on required behaviour and culture change to embed and realise benefits.
- Utilise specialist users to support behaviour change for new search functionality
- Give consideration to implementation plan, taking into account other changes underway that impact on our people.
- Put in place clear process and expectations for resolving errors and gaps in content.
- Consider how to build trust in content creators – show they understand needs of consumers.
- Need to establish accessibility of content a support for people with a disability.
- Need to give further consideration to how C&O/START Help in BT are impacted
- Transition to BAU and ongoing content ma embedding.
- Consider potential for change challenges:
  - On top of other recent new information systems this is another change, which could be beneficial or seen another thing to learn.
  - Could return too much information/make it harder for people
  - Too many different tools to choose from.



The Organisation Change Management Plan

- Sets out the overall approach to implementing the change and supports decision making about the project implementation
- Considers how to best implement the change so as to minimise disruption for our business, customers and people and mitigate any change considerations or risks identified.
- Builds on the impact assessment to consider the best way to support our people through the change, enable to them to feel capable of working in the new environment or with new systems/tools and consider accessibility.
- May include or link to sub-plans – stakeholder & communications, learning, early life support
- Will likely include a timeline or phases aligned to the project delivery, and look at what change management activities are needed at each phase
- Also considers what support is needed after implementation and how this will be managed in BAU.



Developing the Change Management Plan

Using the impact assessment and what you know about each impacted area of the business to consider:

- A rule of thumb is the more highly impacted, the more care and effort will be required to provide change support
- Also think about how critical the area is for change takeup, and how well they are likely to adapt to the change
- Use this information to form the 'change groups' or to segment users according to criteria such as 'Complex user', 'standard user', 'occasional user'.

Then consider:

- How many people are in each group and where are they located?
- Are there any significant changes to roles/duties identified – contact HR to confirm.
- What support is this group likely to need to be able take up the change and minimise disruption? What will their managers/leaders need? What will specialists/key users need?
- What is the best channel(s) for communications for this group? It may be through leaders, through formal channels, through change champions – what will they need to be able to communicate effectively? How specific/targeted do the communications needs to be?
- Is there a requirement for learning/training? What is the best approach for learning (a training needs analysis will support this) – e.g. classroom training, on-line modules, written instructions, on-the-job learning supported by knowledge articles? Consider how many people require learning/training, geographic spread, delivery method, complexity of the learning required, accessibility and cost.
- How will we know people are ready for the change? Could be assessed using survey's, interviews, check-ins with key people/change champions.
- What support will be needed after go-live? Consider how intensive this support should be, who is best placed to provide it and for how long. Will the Support Portal be used? How will issues be triaged and managed?

Change Group Definitions

Change groups put together those teams which are similarly impacted by the change. Support activities will be tailored by change group - and even ***within*** each change group - so that the right type and amount of support is given.

Change Group	
Group A	Assessed as highly to very highly impacted. These teams are critical for change up-take and need to be ready for go-live so they can continue to do their work. They need close change management, communications and a high level of training and user support, including time, coaching and support from their leaders so they can apply their learning on the job.
Group B	Assessed as moderately to highly impacted. These teams are important for change up-take and need to be ready for go-live. Their work would be disrupted if they are not informed and trained. They need change management, communications and a medium to high level of training and user support, including time, coaching and support from their leaders so they can apply their learning on the job.
Group C	Assessed as low to moderately impacted. These teams are important for change up-take and their work could be disrupted if they are not informed and trained. They need some change management, communications and a low to medium level of training and user support, including time, coaching and support from their leaders so they can apply their learning on the job.
Group D	Need awareness and communications but not critical to enable them to continue their work or for change up-take. No training or user support required.

Change Management Approach

The approach to change management is:

Tiered
According to level of impact and required readiness for change.

Integrated
Across change management activities to ensure consistency of approach

Staged
According to implementation and business event timeframes, level of advance effort and support required and criticality for go-live.

Impacted teams will be sorted into Change Groups to enable prioritisation of change management activities.

The Change Groups will show an indicative headcount and additional detail based on the specific work of teams where relevant and possible. Training Needs Analysis will derive the next level of detail based on indicative learning pathways for different roles.

ORGANISATION CHANGE MANAGEMENT PLAN

The Change Management Approach is Tiered, Integrated and Staged

Prioritised Change Groups	Targeted Communications	General Communications	Classroom Training	Online Learning	On-the-job Learning	Online User Support	Key Users	People Readiness Assessment	Early Life Support	Post Go-Live Embedding*
A	√	√	√	√	√	√	√	√ all	√	√
B	√	√		√	√	√	√	√ sample	√	√
C	√	√		√ optional		√		√ sample	√	
D		√		√ optional						

Example: Change Plan START Release 3

The 6 part change plan has been adapted to a 6 + 1 change plan for START release 3.0. We've added Post ELS Support, recognising the complexity of this release and the need for support beyond June 2019.

- Communications includes both general and targeted communications.
- Training includes facilitated learning (classroom or other), online learning, and on-the-job learning.
- Post ELS Support is likely to include training and other support.

CCS-I Individuals - Customer Service Officers who manage individual and non-individual income tax end of year assessments, account reviews, correspondence, registrations and cessations and contacts with individual, business and WFFTC customers.
CCS-I Families - Customer Service Officers who manage WFFTC and Customer Service Officers who manage contacts with families.
CSS-I Micro - Customer Service Officers who undertake early debt management.
CCS-I Community Compliance - Customer Service Officers and Community Compliance Officers who manage front-of-house, customer education and compliance and tax preparer account management.
CCS-B Small & Medium Enterprises - Customer Service Officers and Business Lifecycle Managers who undertake outstanding returns collection, debt management, account management and/or provide inbound contact centre support.
CCS-B Significant Enterprises – Customer Service Officers and Business Lifecycle Managers who account manage High Wealth Individuals and Significant Enterprises.
PFF - Crown

CCS-I Individuals - Customer Support Administrators and Customer Support Officers who manage student loans, payments, paper and imaging, customer details and employers, and Team Leads.
CCS-I Families - Customer Service Officers who manage child support, and Team Leads.
CSS-I Micro - Customer Compliance Specialists who undertake hidden economy, fraud and property audits.
CCS-I Community Compliance – Team Leads.
CCS-I Capability & Outcomes – Technical Specialists, Analysts.
CCS-B Small & Medium Enterprises - Customer Compliance Specialists who undertake hidden economy, fraud and property audits.
CCS-B Significant Enterprises – Customer Compliance Specialists who manage compliance for Significant Enterprises, Crown Entities and undertake Special Audits.
CCS-B External Relations - Complaints Management Team.
CCS-B Legal Services in respect of proposed legislative change to income tax and the Tax Administration Act.
IIS - Intelligence & Insight Specialists
PFF - Business Partners, Analysts
Corporate Integrity & Assurance - Stakeholder Relations

CCS-I - Analysts, Team Leads (except Individuals and Community Compliance), Management , Management Support and all other Customer Support Administrators and Customer Service Officers.
CCS-B – All other Customer Services Officers, Analysts, Team Leads, Managers and Management Support.
CCS-I Capability & Outcomes – Customer Experience Designers, Capability & Outcomes Specialists, Process Integrity Team, Managers and Team Leads.
CCS-B – Legal Services, External Relationships, International Revenue Strategy.
PFF - Finance Business Partners, Analysts, FM Operations (Te Rapa).
Office of the Tax Counsel
IT&C – Operations, New Services Platform

CCS-I and CCS-B – Support staff and Management in Legal Services, International Revenue Strategy and External Relationships.
Policy and Strategy
People & Culture
Corporate Integrity & Assurance
The rest of **Information & Intelligence Services, Corporate Integrity & Assurance, PFF and Information Technology & Change**

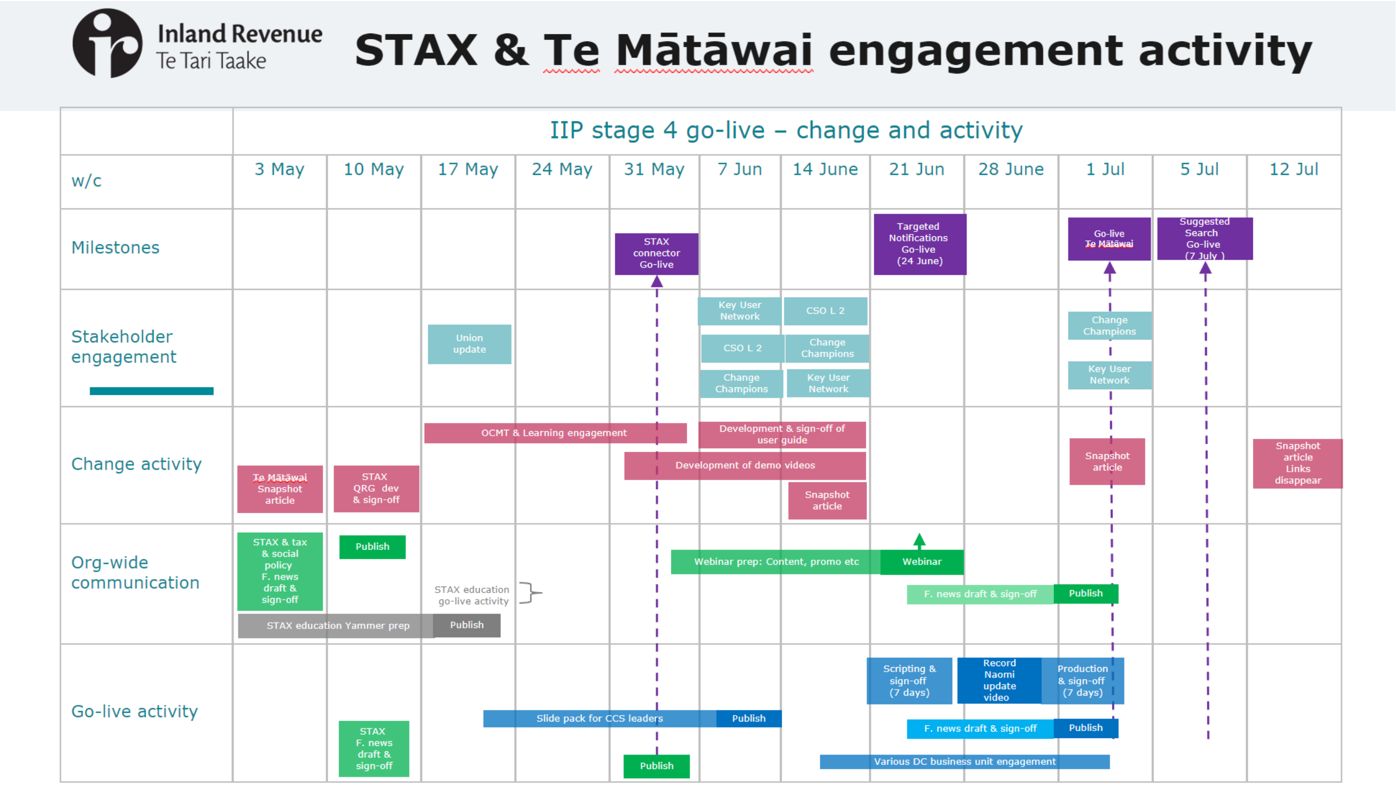
Stakeholder Engagement & Communications Plan

- May be a separate stakeholder engagement and communications plan depending on the project
- Consider who needs to know about the change, what they need to know, when and
- segment according to their needs
- Not all will be 'impacted' by the change, but have influence over decision making or be influencers that could affect the level of change take-up.

Satisfy	Manage
Satisfy *Key stakeholders who are not impacted directly by significant change, but in their roles as senior managers have some responsibility for those who will be impacted.* • All Tier 3 managers • Change Gateway / Collaboration Group • Privacy Officer	***Manage*** *Key stakeholders who will influence and shape the changes and are likely to be involved in governance and decision making-bodies.* • Knowledge Base Working Group • Programme sponsor • Business owners • Transformation Executive Working Committee • Portfolio Governance Committee • Technical Design Authority
Inform *Stakeholders not directly impacted by significant change but with a need to be kept informed about them.* • Transition Support Services • Organisation Development • Technical Governance Committee • Programme Leadership Team • Strategic Governance Board • Multi-channel Strategy • Integrated Work Management	***Engage*** *Stakeholders directly impacted by significant change.* • All IR – *Particularly frontline staff as key consumers, and support users.* • People & Culture – *Incl. Māhutonga team, accessibility, and diversity.* • People Leaders • ITC • Union

Internal stakeholder management principles

•**Start from the top.** We know that the more engaged and informed our leaders are, the more engaged and informed their people will be.
•**Focus on our end-goal.** We will always come back to the core of our transformation, why we're doing this—we're making tax simpler for New Zealanders.
•**Give our people a voice.** We will offer interactive communication formats to give groups most impacted by change a chance to share their opinions, ask questions and raise concerns, at specific times through the communications and change process.
•**Be mindful of the volume and impact of our communications.** We will have a view across all streams of BT communications to minimise the risk of overwhelming people with information on the changes taking place.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STAX & Te Mātāwai engagement activity
IIP stage 4 go-live – change and activity
w/c
3 May
10 May
17 May
24 May
31 May
7 Jun
14 June
21 Jun
28 June
1 Jul
5 Jul
12 Jul
Milestones
STAX connector Go-live
Targeted Notifications Go-live (24 June)
Go-live Te Mātāwai
Suggested Search Go-live (7 July)
Stakeholder engagement
Union update
Key User Network
CSO L 2
CSO L 2
Change Champions
Change Champions
Key User Network
Change Champions
Key User Network
Change activity
OCMT & Learning engagement
Development & sign-off of user guide
Development of demo videos
Snapshot article
Te Mātāwai Snapshot article
STAX QRG dev & sign-off
Snapshot article
Snapshot article Links disappear
Org-wide communication
STAX & tax & social policy F. news draft & sign-off
Publish
STAX education go-live activity
Webinar prep: Content, promo etc
Webinar
F. news draft & sign-off
Publish
STAX education Yammer prep
Publish
Go-live activity
Scripting & sign-off (7 days)
Record Naomi update video
Production & sign-off (7 days)
Slide pack for CCS leaders
Publish
F. news draft & sign-off
Publish
STAX F. news draft & sign-off
Publish
Various DC business unit engagement

Training Needs Analysis and Training Plan

- Consider what people need to know to continue to do their role with the new tool/process etc. Is there a learning need or is it communications that are required?
- If the change is being delivered by an external vendor (usually technology related) what training/learning do they provide, and does it need to be adapted to suit IR? What training environments are provided?
- Consider who needs what level of training – usually according to role or user categories – and how many people, in what business group(s) and where they are based (the impact assessment will help with this)
- Break learning/training into components. These may be based around a topic, product, process or system functionality.
- Consider the best mechanism for delivery– On the job, classroom, on-line modules or self study guides, supporting material e.g. FAQ's, guides. Think about how users will best access learning, particularly in the contact centres, and for those with accessibility requirements.
- The training plan may also estimate costs e.g. trainer time/travel/ time required/any special equipment or learning environments required. Is instructional design capability required to develop materials?
- Also consider logistics e.g. if classroom training, what equipment/set up is needed, does everyone have access to a laptop, room availability etc, on-line booking, recording completion etc.

Note:

- The approach for learning/training for change management differs from that used to address a performance issue – our focus is on what people need to learn as a result of a change being delivered to continue do their job and feel capable. It is usually aimed at groups of people and assumes competence in their current role. Individual performance is the responsibility of the people manager/HR, not the project.

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Training & Learning Delivery Plan – STAX example

Type of Stax Usage	Summary of Learning - available in LearnIR	Time and requirements
Occasional User  • *I occasionally work in documents and look at documents sent via Stax hyperlink* • *Most of my work is completed in IR business systems (e.g. START)*	**Stax learning resources for an "occasional user"** Training contains a mix of information sheets, quick reference guides, and simulations. **Information Sheets** To get started there are two Information sheets covering: • Introduction to IKM Information Management • IKM Naming Principles. **Simulations** • How to email a Stax link • How to open a link • Download a document from Stax	• Estimated to take 30 minutes to work through • Designed for an initial introduction, and then available to be accessed anytime as a refresher.
Standard User  • *I often work on documents including creating and updating* • *I find my documents, or documents created by others, stored in Stax* • *I send documents from Stax to others*	**Stax learning resources for a 'standard user" and "complex user"** Training contains both online self study materials and facilitated learning. **Information Sheets** To get started there are two Information sheets covering: • Introduction to IKM Information Management • IKM Naming Principles. **Online Self Study Materials** There are three online self study modules: • Search • Working with Content • Access and Security Each module also has a knowledge check. **Stax Targeted Training Sessions** These sessions are for users who are identified as being 'standard' or 'complex' Stax users and are an extension of what is covered in the online self study training materials. The same three topics are covered in facilitated sessions to provide the opportunity to consolidate what people have learned in the online self study guides and provides a forum for asking questions and getting clarification on any issues people are experiencing.	**Online Self Study Guides** • Estimated time to complete each self study module 45 minutes to 1 hour. • Both the module and knowledge check need to be completed to meet the learning requirements. **Targeted Training Sessions** A regular programme of targeted online learning sessions will be set up from June to Dec'19: • Run in the last two weeks of every month • Two sessions x3 topics in each of those weeks • Each session is one hour in duration • Attendance at these sessions is not mandatory, however people must have completed the relevant online self study module and knowledge check as a prerequisite to attending this training.
Complex User • *I'm a Standard User* *+* • *I use advanced functionality to maintain folders.*	**Stax learning resources for a 'standard user" and "complex user"** Online self study materials and facilitated learning the same as "Standard User". Plus additional learning materials with more detail on maintaining folders.	As above for Standard User + Additional learning materials. Time commitment TBC*.

Training Needs Analysis FATCA/AEOI example

TNA	Knowledge							Business Processes						Systems				Comments
IR Team (future)	AEOI Overview	CRS / FATCA Schema (+XML)	CRS / FATCA Rules	Compliance Strategy	NZ Legislation	Watch list	Privacy	Legislate	Enrolment & Registration	Collect & manage data	Exchange data	Compliance	Manage enquiries	START	CTS	IDES	eServices	
CCS-B																		
Significant Enterprises	•	•	•	•	•	•	•		•	•		•	•	•			•	*Lifecycle Mgrs. Support Large FIs; XML capability; global.aeoi mailbox admin., Cust. Compliance Specialists*
IRS	•	•	•	•		•	•				•		•		•	•		*Competent Authority for data exchange*
Small to Medium Enterprises	•	•	•	•		•	•		•	•		•	•	•			•	*Support all aspects of CRS/FATCA for this segment; excel template*
Legal Services & External Relationships	•			•		•	•					•	•					*Escalation point for technical queries; external stakeholders*
CCS-I																		
Individuals, Families	•		•	•	•	•	•		•	•		•	•	•			•	*Support all aspects of CRS/FATCA for this segment; online form*
Micro Business	•		•	•	•	•	•		•	•		•	•	•			•	*Support all aspects of CRS/FATCA for this segment*
Community Compliance	•			•		•	•		•				•					*Promotes compliance & CRS/FATCA*
Marketing & Comms.	•			•		•	•						•					*Annual reporting reminders*

People Readiness

PEOPLE READINESS ASSESSMENT OBJECTIVES

Understand how prepared our people are for go-live
Confirm completion of key change management activities e.g., training
Determine any actions needed to ensure readiness if a gap is highlighted
Take a snapshot of how effectively the release is being implemented from our people's perspective

Change Groups	Criteria and Method	Assessment	Reporting	Checkpoint / Checkpoint / Checkpoint
Determine appropriate cohort and sample size based on Change Groups	*Agree what is being measured and how*	*Are people: Ready, On Track, Giving Cause for Concern or Not Ready*	*Report to Business Unit Assessors including commentary if not ready or on track*	*Consider as a component of Business Unit Readiness Assessment*

Including:
- *People Readiness Surveys*
- *Focus groups with critical teams from Change Group A*
- *Workforce Metrics including Health & Safety indicators*
- *Training Metrics and Feedback*
- *Communications, Engagement and Feedback*

Also informs the OCM&T work-stream component of Programme Readiness Assessment - does the solution meet the required levels of quality; are we ready to support changes once implemented; can the cutover of the service changes be achieved?

Are our business units ready to receive and deliver the service changes?

Thank you.

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Business Transformation

Customer Change – Impacts & Readiness

Business Transformation

Date: November 2021

Summary of OCMT Approach and Timeline - example

High-Level Scope

Drop 1 Impact Assessment:

- Based on scope (R1, R2 and Other)*
- To Segment or Business Unit level (e.g. CCS-I Families, PF&F)
- Tested with S4.1 Delivery Leads and Product Owners

START Delivery Stakeholder Management Plan Deliverable

START Delivery Internal Communications Plan

Drop 2 Impact Assessments:

- Based on scope and design decisions made to-date*
- To Segment or Business Unit level (e.g. CCS-I Families, PF&F)
- Tested with S4.1 Delivery Leads and Product Owners
- Used for engagement with leadership teams and our people.

S4-1-R1 (and Other) Impact Assessment and Change Management Plan Deliverable:

- Based on detailed design
- To Segment or Business Unit Level (e.g. CCS-I Families, CCS-B Micro, PF&F)
- Tested with S4.1 Delivery Leads, Product Owners, BTMs, SMEs, and business leadership teams.
- Validated through engagement with business representatives

S4-1-R1 (and Other) Training and User Support Plan Deliverable

S4-1-R1 (and Other) Customer Communications and Marketing Plan Deliverable

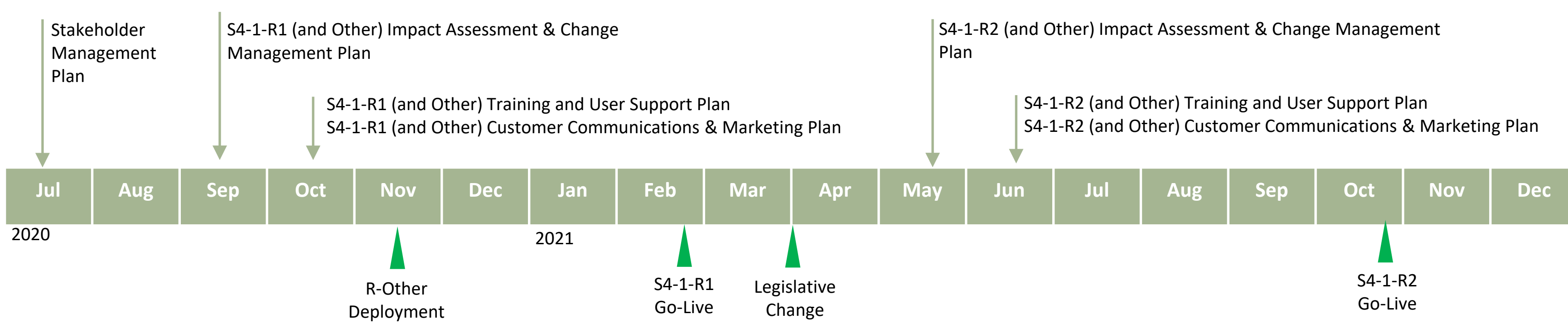
S4-1-R2 (and Other) Impact Assessment and Change Management Plan Deliverable:

- Based on detailed design
- To Segment or Business Unit Level (e.g. CCS-I Families, CCS-B Micro, PF&F)
- Tested with S4.1 Delivery Leads, Product Owners, BTMs, SMEs, and business leadership teams.
- Validated through engagement with business representatives

S4-1-R1 (and Other) Training and User Support Plan Deliverable

S4-1-R1 (and Other) Customer Communications and Marketing Plan Deliverable

* Optimisation impacts/change plans documented separately



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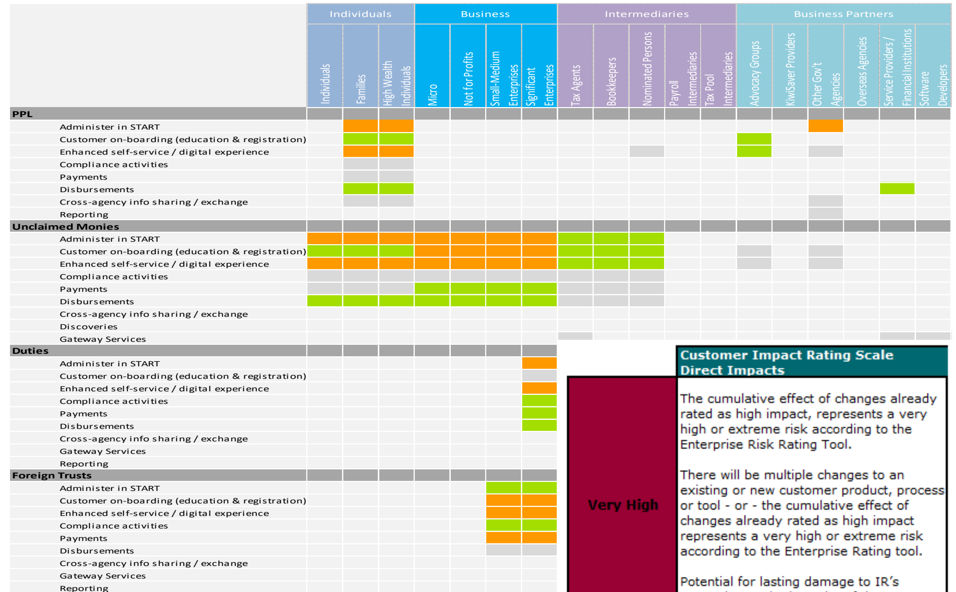
Customer Change – what are the impacts

Impact Assessment

Five W's and one H (who, what, when, where, why, how)

- Who is impacted
- What are the changes
- When will customers be impacted
- Where is the impact
- Why
- How are customers impacted
  - Do they need to prepare (eg change systems/business processes etc)

Customer Segment	START Delivery Stage 4.1.R1 & Other
Business: Micro-business	Low - Med
Business: Not for Profits	Low - Med
Business: Small-medium Enterprise	Low - Med
Business: Significant Enterprise	Low - Med
Individuals: Families	Low – Med
Individuals: High Net Worth Individuals	Low – Med
Individuals: Individuals	Low - Med
Intermediaries: Bookkeepers	Low - Med
Intermediaries: Nominated Persons/Alternative Contact Person/Other Representatives	Low
Intermediaries: Payroll Intermediary/Payroll Bureaux	Negligible
Intermediaries: Tax Agents	Medium (includes E-File decommission)
Intermediaries: Tax Pool Intermediary	Negligible
Business Partners: Advocacy Groups	Negligible - Low
Business Partners: KiwiSaver Providers	High (transition to new GWS)
Business Partners: Government Agencies impacted by S4-1-R1 & Other	Low - Medium
Business Partners: Other Government Agencies	Low
Business Partners: Overseas Agencies	Negligible
Business Partners: Service Providers/Financial Institutions	Low
Business Partners: Software Developers	High (includes E-File decommission and new KS Provider GWS)
Business Partners: Payroll Developers	Medium (includes v2 employment information and service upgrade)



	Customer Impact Rating Scale Direct Impacts
Very High	The cumulative effect of changes already rated as high impact, represents a very high or extreme risk according to the Enterprise Risk Rating Tool. There will be multiple changes to an existing or new customer product, process or tool - or - the cumulative effect of changes already rated as high impact represents a very high or extreme risk according to the Enterprise Rating tool. Potential for lasting damage to IR's reputation or the integrity of the tax system.
High	***Introduction of completely new:*** • *Customer-related: Policy (legislative), processes and policies, tax and social policy products, procedures, systems and/or;* • *Capabilities and skills, ways of working, culture /behavioural shift.* *Major disruption to customers and/or business activity could result.*
Med	***Many changes to existing:*** • *Customer-related: Policy (legislative), business processes and policies, tax and social policy products, procedures, systems and/or;* • *Capabilities and skills, ways of working, culture shift.* *Some disruption to customers and/or business activity could result.*
Low	***Some changes to existing:*** • *Customer-related: Policy (legislative), business processes and policies, tax and social policy products, procedures, systems and/or;* • *Capabilities and skills, ways of working, culture shift.* *Minor disruption to customers and/or business activity could result.*
Neg	Negligible or No Change to customers.

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Customer Change Plan – example

	Business-Led Tactics	Account Managemen t	Customer Education	Via third party	Advertising, Social Media	Direct Marketing	Website, myIR & online services	Voice Channel
Individuals	–	–	–	√	–	–	√	√
Individuals: Families	–	–	√	√	√	√	√	√
Individuals: High Wealth	–	–	√	–	–	–	√	√
Businesses: micro and SME	√	√	√	–	–	√	√	√
Business: Significant Enterprises	√	√	√	√	–	√	√	√
Intermediaries: Tax Agents, Bookkeepers	√	√	√	–	–	√	√	–
Business Partners: Other Government Agencies	–	√	–	–	–	–	√	–
Business Partners: Financial Institutions	–	√	–	–	–	–	√	–
Business Partner: Software Developers	–	√	–	–	–	–	√	–

Business-led Tactics
Outbound calling, inserts with forms and returns, compliance campaigns, tactical planning.

Account Management
Via BT Account Managers, CCS External Relationships, Significant Enterprises and Community Compliance.

Customer Education
Webinars, seminars, Community Compliance visits.

Via Third Party
Information received from a tax agent, bookkeeper, software, service or other provider, or other influencer such as industry associations, Chambers of Commerce, CAB.

Advertising, Social Media
Google search, online, print and radio advertising, social media Proactively provided articles educational content.

Direct Marketing
Personalised and targeted emails, texts and letters.

Website, myIR and online services
Content on IR website, news items, campaign pages, promotional and instructional videos, banner messaging and new functionality, services and B2B channels.

Voice Channel
IVR messaging and functionality, dedicated 0800 lines, call-flow enhancements.

Customer readiness

Readiness phases:

- Awareness and understanding
- Understanding and readiness
- Readiness and support

Customer Segment	What stage we are measuring
Businesses/Employers	Understanding and Readiness
Intermediaries/Tax Agents	Understanding and Readiness
Kiwisaver Scheme Providers	Understanding and Readiness
Software Developers	Understanding and Readiness
Investment Income Payers	Understanding and Readiness
Government Agencies impacted by R4	Understanding and Readiness
Individuals	Awareness, Understanding and Readiness

Readiness Assessment Approach

Five W's and one H (who, what, when, where, why, how)

1. Readiness criteria – "where we want customers to be" at specific points in time (specific, measurable and trackable)
2. Collect evidence
   - Metrics and data from marketing/communications activities (eg DM, social media) and other sources
   - Research findings (eg customer interaction testing)
   - Customer engagement teams (eg account managers)
   - Market research
3. Assess evidence against criteria
4. Report

Note: Test/validate your findings with the stakeholders

Customer Readiness – example

This assessment provided by BT Account Management , Community Compliance and Marketing

	Assessment	Risks & Mitigations	Readiness	Environment
Child Support	**Low (>20%) level of awareness across Families customers about the changes.** • More detailed information has been updated online in August. • Customer testing found that the new functionality in myIR provided better visibility for complex child support customers, with some minor tweaks requested to terminology. • Direct marketing was issued in September with a net open rate of 56.35%	Customer's ability to absorb information about the changes may be limited due to uncertainty around COVID and lock down – *continue to provide support to our customers during this time*	Light Green	Light Amber
	Low (>20%) level of awareness across Advocacy groups about the changes. • An Introduction to S4.1.R2 has been distributed to 652 organisations including Industry Associations, Community groups, sports bodies, and Māori Authorities. Discussions continue to be held as required to ensure questions/concerns raised are being addressed.	These groups will be focussed more on ensuring their members are receiving the COVID support they need, therefore it is highly likely they are not be taking on board the information about the changes - *continue to provide support to our customers during this time*	Light Green	Light Amber
	Low to medium (<30%) level of awareness for employers that child support deductions for newly liable parents will become compulsory. • Engagement continues for these customers with further detail about the changes added to online landing pages, and a more in-depth webinar to become available in September. • Direct marketing was issued to business/employers in September with a net open rate of 60.48%	With ongoing uncertainty around COVID, the current focus for employers will be on supporting their business and employees. This may reduce their ability to understand any impacts these changes may have on employment activities - *continue to provide clear messaging around obligations that will support to our customers during this time, with the aim to provide additional support/education after go-live when this is needed.*	Light Amber	Amber
	Low (<20%) level of awareness across intermediaries that child support deductions for newly liable parents will become compulsory. • Further promotion of external webinars has been included in Agents Answers, Business Tax Update, and Transformation News which are issued to intermediaries and professional bodies.	There are no current risks for this customer group across this change.	Light Green	Amber
Version 12 Upgrade	**Medium to High (65%) levels of awareness with Low (<20%) levels of understanding across intermediaries that myIR is being upgraded to version 12.** • A wide range of engagement activity continues for this customer group including direct marketing, account management, and external webinars. • The outbound campaign for intermediaries impacted by the cap on subscriptions is going well and provides further opportunity for education on version12 upgrade changes. • Customer testing indicated that across a range of tasks version 12 was considered an improvement over version 11. Of those who showed a preference for version 11, some comments suggested their experience was coloured by unfamiliarity. • Intermediaries received a further round of direct marketing in September, with a net open rate of 49.14%	Tax Intermediaries have turned their focus to supporting their clients during the latest lock down, and therefore the changes will not be front of mind at this stage. – *additional support is being provided, from now until post go-live.* There is concern around meeting the GST filing date on 28 October due to their increased workload from COVID and the timing for IR's close down. – *clear messaging is currently being developed about the GST due date to provide further certainty to these customers.*	Light Green	Amber
	Low (>20%) levels of awareness across other customer groups • Further information has been included on relevant online landing pages and external webinars for Individuals, Families, and Business customers; which currently have over 800 unique views across customer groups.	Customer's ability to absorb information about the changes may be limited due to uncertainty around COVID and lock down - *continue to provide support to our customers during this time*	Light Green	Amber
R2 Other	**Medium (30%) levels of awareness for tax intermediaries that customers will no longer be issued a new IRD number after bankruptcy** • Intermediaries only require an awareness of this change and messaging has been included within direct marketing, online, in external webinars, and high level presentations to professional bodies.	There are no current risks for this customer group across this change.	Light Green	Light Amber
	Medium (30%) levels of awareness across tax intermediaries that historical audit correspondence will become visible within myIR. • General information is available online and has been included in direct marketing. More detail will be included in the Subscriptions and Correspondence webinar to be available in September	There are no current risks for this customer group across this change	Light Green	Light Amber

Change treatments - example

The table below is a summary of key activities to get our customers ready for Stage 4 – Release 2 & "other" scope:

Product and Customer	Jun 2021	Jul 2021	Aug 2021	Sep 2021	Oct 2021	Nov 2021
Child Support *(Families, Employers, Intermediaries)*	✓ Website – landing page ✓ Webinar – introducing Stage 4 Release 2 ✓ Account Management	✓ Account Management ✓ Transformation News ✓ Bookkeepers conference 30-31 July	✓ Agents Answers ✓ Website – landing page updated ✓ Account Management ✓ Transformation News ✓ CP 2b customer readiness assessment ✓ Fact sheet - Child Support	✓ Agents Answers ✓ Account Management ✓ Transformation News ✓ Webinar - Child Support legislation ✓ Direct Marketing ✓ Social Media ✓ Digital and traditional Advertising ✓ How to video ✓ CP 3 customer readiness assessment	✓ Account Management ✓ Transformation News ✓ Direct Marketing ✓ Social Media ✓ Digital and traditional Advertising	✓ Account Management ✓ Direct Marketing
Version 12 Upgrade *(Individuals, Families, Businesses, Intermediaries)*	✓ Website – landing page ✓ Webinar – introducing Stage 4 Release 2 ✓ Account Management	✓ Webinars – introducing V12 ✓ Account Management ✓ Direct Marketing ✓ Transformation News ✓ Bookkeepers conference 30-31 July	✓ Agents Answers ✓ Transformation News ✓ Website – landing page ✓ Account Management ✓ Webinars – V12 detail ✓ CP 2b customer readiness assessment	✓ Agents Answers ✓ Transformation News ✓ Account Management ✓ Webinars – V12 detail ✓ Direct Marketing ✓ Social Media ✓ Digital Advertising ✓ How to Videos – V12 ✓ CP 3 customer readiness assessment ✓ myIR login intercept	✓ Account Management ✓ Transformation News ✓ Direct Marketing ✓ Social Media ✓ Digital Advertising ✓ myIR login intercept	✓ Account Management ✓ Direct Marketing ✓ myIR login intercept
Release 2 Other *(Individuals, Families, Businesses, Intermediaries)*	✓ Website – landing page ✓ Webinar – introducing Stage 4 Release 2 ✓ Account Management	✓ Account Management ✓ Transformation News ✓ Bookkeepers conference 30-31 July	✓ Agents Answers ✓ Website – landing page ✓ Account Management ✓ CP 2b customer readiness assessment	✓ Agents Answers ✓ Account Management ✓ Webinar - Tax on income and other EMP (tbc) ✓ Direct Marketing ✓ CP 3 customer readiness assessment	✓ Account Management ✓ Direct Marketing ✓ Social Media ✓ Digital Advertising	✓ Account Management ✓ Direct Marketing 33

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Business Transformation

Appendix

Customer Readiness RAG ratings

Key	Red	Light Red	Amber	Light Amber	Light Green	Green
Headline	**Highly problematic**	**Problematic**	**Problematic**	**Problematic in defined areas**	**Not problematic**	**Not problematic**
Readiness Assessment	On critical path and currently predicted that it is not possible to recover to be ready on time. It will almost certainly lead to missing the go-live date and in the most serious case influence a decision to postpone the go-live. Risks and Issues are generally **Extreme** with escalation to the highest level: Programme Sponsor (PGC)	Currently not on target to succeed and is on the critical path. It needs focussed attention and active management to ensure that the due date is met. Risks and Issues are generally **Very High** to **Extreme** with escalation to the PLT and Programme Director	Currently not on target to succeed and requires active management to get back on track. With support, focus and the appropriate mitigation this will not impact the critical path. Risks and Issues are generally **Very High** to **High** with escalation to the PLT and Programme Manager	Is deviating from target in some specific but non-critical areas, is under active management and is showing signs of improvement. Risks and Issues are generally **Medium** to **Low** with escalation to the Release Lead	Generally on target but needs some minor management attention and/or assistance to be completed by the due date. Risks and Issues are generally **Low** to **Negligible** with NO escalation required above the Workstream	On track and likely to be delivered on time. Can be managed without intervention and or day to day management attention. Risks and Issues are generally **Negligible** with NO escalation required above the Workstream

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Business Transformation

BT Readiness Framework D-4186

(for Main Releases and Other Initiatives)

V1:00

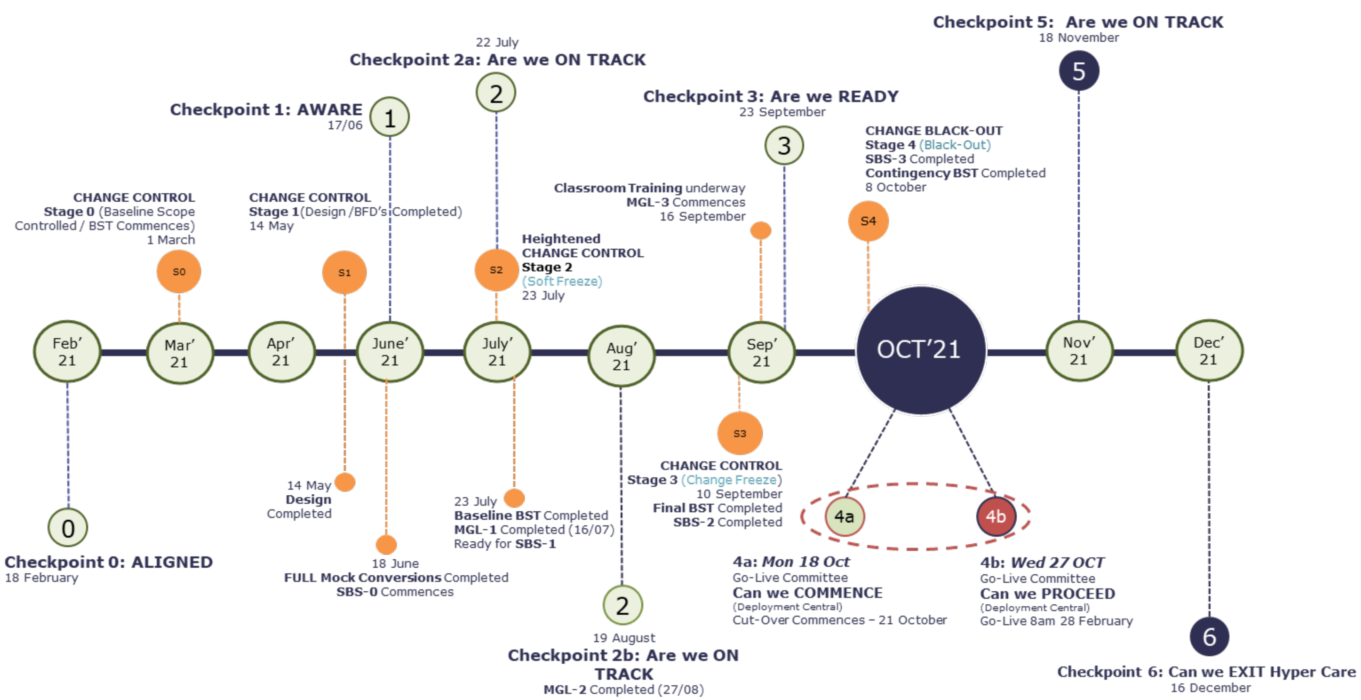
Readiness Framework

The **Readiness Framework** is a ***decision support tool*** designed to provide status & visibility that the release is ***"where we planned to be"*** at a particular **Checkpoint**.

Readiness forms part of the BT Deployment Strategy.

The Readiness Framework has been developed to provide a singular approach and framework for stakeholders contributing to readiness assessment and release decision making.

Checkpoints



START Delivery – Main Releases Readiness Framework Overview

- The Readiness Framework provides the structure and purpose for the readiness checklists, assessments and reports used at key checkpoints leading up to and during deployment for the main/major releases of the BT Programme
- The Framework enables the release to assess progress and readiness to move from one stage of the deployment lifecycle to the next.
- Readiness is assessed at each of the checkpoints against a specific set of criteria, with residual risk visible throughout. The size, reach, functional spread and complexity of a release influences the breadth and coverage of the criteria assessed.
- These criteria (or questions) are specific to a checkpoint and release, collectively reflecting the readiness of our Customers, Service Providers, People, Business Units and the Release Delivery team.
- The cumulative impact of prior Releases, other business activity and environmental conditions is assessed.
- The assessment allows for the exception reporting to be tailored for Business Unit, Programme and Customer.
- An Executive Summary is prepared which reports on an exception basis only. Criteria rated red, light red or amber are included, providing information to decision makers on the potential business and/or implementation risk, with visibility of the "go to green" plans and residual risk these hold for the business. Light Amber rated criteria may also be included should these be assessed as required, discretion will be applied.
- There will be an agreed checkpoint timeline and additional checkpoints will be added as required to provide both additional assessment and certainty for decision makers.
- The Enterprise Risk Framework and RAG status definitions are used to provide a consistent, familiar and standard reference.
- Checkpoint dates are aligned with delivery phase gates, scheduled governance meetings, channel shutdown requirements, etc and the method will allow for additional decision meetings to be scheduled as required based on the programme status at the time.
- Note: Readiness for smaller / shorter running initiatives will complete an initiative readiness assessment as part of their go-live preparation which will not include a separate Business, Customer and People readiness component. These assessments will be covered by specific criteria within the Initiative checklist.

START Delivery – Other Initiatives Readiness Framework Overview

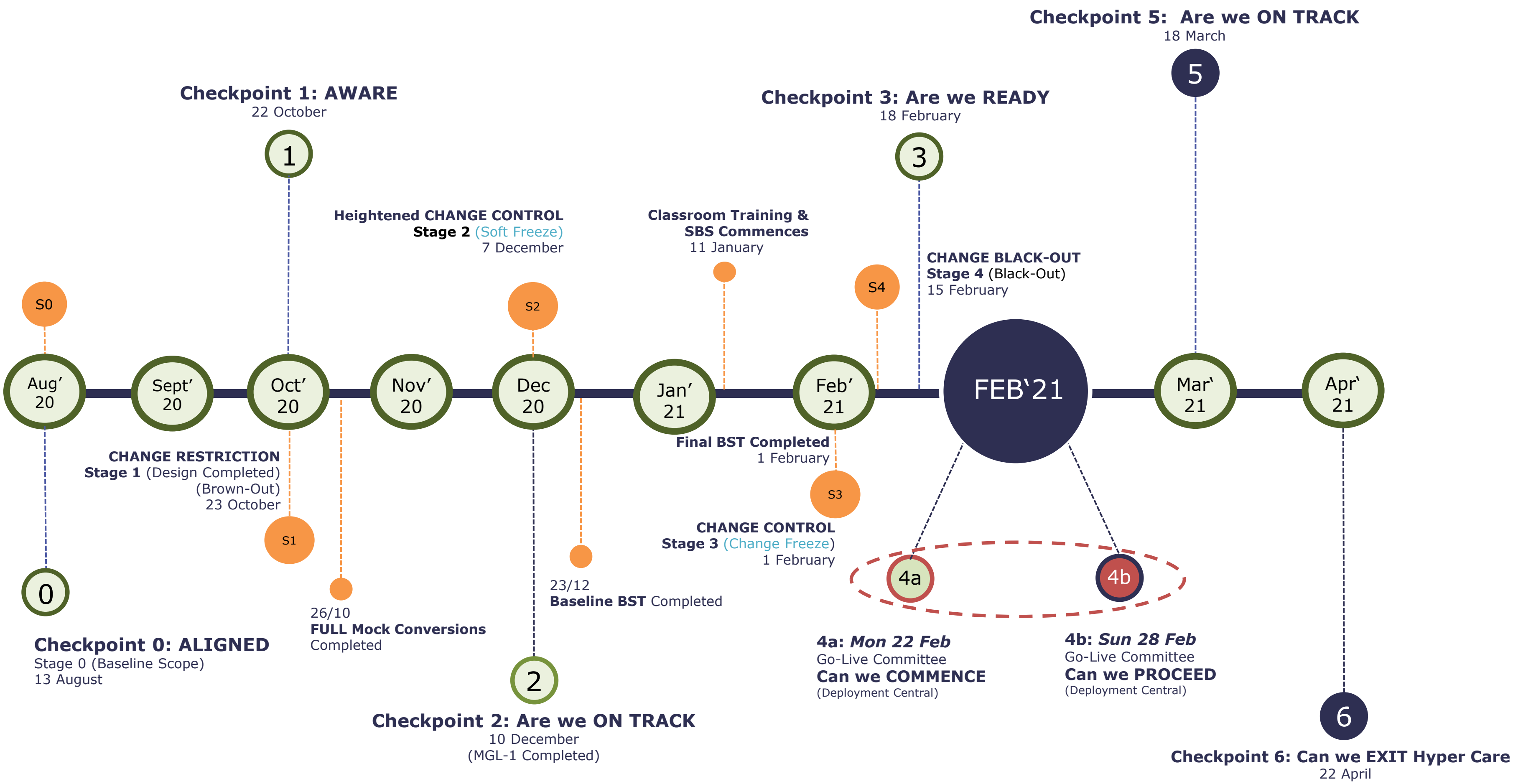
- The framework provides the structure and purpose for the readiness assessment and reports used at checkpoints during the delivery lifecycle.
- Readiness is assessed against a specific set of criteria (contained in a "master" initiatives readiness checklist), at agreed dates or checkpoints, with both plans to green if applicable and residual risk captured throughout.
- The size, complexity and functional spread of an initiative influences the criteria assessed and the number of checks completed. The checklist is adapted to suit. Criteria are never deleted, rather a column is provided for initiative specific positioning of the criteria – how it applies or does not apply, to the specific initiative.
- Criteria (or questions) are specific to a checkpoint and initiative, collectively reflecting the readiness of the initiative to either commence the deployment (the go/no-go) or proceed from a key stage/control gate to the next.
- The number of checks may vary from the minimum of one (1) check immediately preceding the go-live (the go/no-go) as part of the deployment preparation, to multiple checks leading up to the go-live (the go/no-go) check. The initiative charter will define the approach to be used.
- The cumulative impact of business-as-usual activity, other initiatives, prior initiatives and environmental conditions (e.g., an election, holidays, etc) is also assessed.
- The initiative readiness checklist does not include a separate Business, Customer and People readiness component. These assessments are be covered by specific criteria within the initiative readiness checklist.
- There will be an agreed checkpoint timeline, checkpoint dates will be aligned with delivery phase gates, scheduled governance meetings, channel shutdown requirements, etc and the method will allow for additional decision meetings to be scheduled as required based on the initiative status at the time and to provide certainty for decision makers.
- An Executive Summary is prepared which reports on an exception basis only. Criteria rated red, light red or amber are included, providing information to decision makers on the potential business and/or implementation risk, with visibility of the "go to green" plans and residual risk these hold for the business. Light Amber (LA) rated criteria may also be included should these be assessed as required, discretion will be applied.
- The Enterprise Risk Framework and RAG status definitions are used to provide a consistent, familiar and standard reference.

START Delivery – Readiness Checkpoints

IN CONFIDENCE - EXTERNAL RELEASE

Date	Purpose	What do we check?
Checkpoint 0	**Are we ALIGNED?**	• Scope Confirmed • Framework Aligned • Checkpoints Agreed • Policy Contingency Planning Underway • Deployment Strategy to PGC • Cut-Over Weekend confirmed
Checkpoint 1	**Is everyone AWARE?**	• Final Scope Baselined • Design and Business Function Definitions have been completed • Build & BST On track, • 2 Full Mock Conversions Completed • Readiness & Performance Metrics in progress • People Capacity Planning underway, • Partners Aware
Checkpoint 2	**Are we ON TRACK?**	• Base Build Completed / Base BST on track • MGL-1 Completed successfully / Ready to COMMENCE SBS Testing • Change Controls agreed and communicated • Deployment Contingency Plan Accepted • Training Planning, Train the Trainer and Training Pilot Successful • Customers AWARE and are beginning to UNDERSTAND the change • IR People Planning and Preparation ON TRACK • Delivery status of PCR's to be priority assessed for go live criticality
Checkpoint 3	**Are we READY?**	• Confirmed Go-Live Sequence and Timing / Silent Pre-Deployments can Commence (if required) • Permission to Commence Transition / Deployment Communications Issued • MGL-2 Ready to Commence / Final BST Completed / Training Underway • Operational Performance Metrics agreed • IR People Capacity & Business Continuity Plans in Place • Customers and IR People UNDERSTAND and are GETTING READY for the change • Delegate 4a & 4b to Go Live Committee • Customers and IR Staff are READY • Invoke CHANGE FREEZE
Checkpoint 4a	**Can we COMMENCE?**	• Ready to commence Shutdown and Initiate Cutover • All checks successful and we understand residual risks
Checkpoint 4b	**Can we PROCEED?**	• Cut-Over completed • BPIV completed • Business and Technical Support teams and processes in place • Ready to GO / Go-No-Go Decision • We can Open the Channels
Checkpoint 5	**Are we ON TRACK?**	• ELS Progress Check • Customers & Business Adoption Check • Executive Dashboard Report
Checkpoint 6	**Can we EXIT Hyper Care?**	

Key Dates – START Delivery – Release 1



Key Dates & Check Detail – START Delivery – Release 1

Checkpoint 0: ALIGNED
Stage 0 (Baseline Scope)
13 August

- Scope Confirmed
- Framework Aligned,
- Checkpoints Agreed
- Policy Contingency Planning Underway
- Deployment Strategy to PGC
- Cut-Over Weekend confirmed

Checkpoint 1: AWARE
22 October

- Final Scope baselined
- Design and Business Function Definitions have been completed
- Build & BST On track,
- 2 Full Mock Conversions Completed (26/10)
- Readiness & Performance Metrics in progress
- People Capacity Planning underway,
- Partners Aware

CHANGE RESTRICTION
Stage 1 (Design Completed)
(Brown-Out)
23 October

S0 S1 S2 S3 S4

Aug' 20 | Sept' 20 | Oct' 20 | Nov' 20 | Dec 20 | Jan' 21 | Feb' 21 | FEB'21 | Mar' 21 | Apr' 21

Heightened CHANGE CONTROL
Stage 2 (Soft Freeze)
7 December

23/12
Base BST Completed

Checkpoint 2: Are we ON TRACK
10 December

- Base Build Completed / Base BST on track
- MGL-1 Completed successfully / Ready to COMMENCE SBS Testing
- Change Controls agreed and communicated
- Deployment Contingency Plan Accepted
- Training Planning, Train the Trainer and Training Pilot Successful
- Customers AWARE and are beginning to UNDERSTAND the change
- IR People Planning and Preparation ON TRACK
- Delivery status of PCR's to be priority assessed for go live criticality.

Classroom Training & SBS Commences
11 January

Final BST Completed
1 February

CHANGE CONTROL
Stage 3 (Change Freeze)
1 February

CHANGE BLACK-OUT
Stage 4 (Black-Out)
15 February

Checkpoint 3: Are we READY
18 February

- Confirmed Go-Live Sequence and Timing / Silent Pre-Deployments can Commence (if required)
- Permission to Commence Transition / Deployment Communications Issued
- MGL-2 Ready to Commence / Final BST Completed / Training Underway
- Operational Performance Metrics agreed
- IR People Capacity & Business Continuity Plans in Place
- Customers and IR People UNDERSTAND and are GETTING READY for the change
- Delegate 4a & 4b to Go Live Committee
- Customers and IR Staff are READY
- Invoke CHANGE FREEZE

4a: *Mon 22 Feb*
Go-Live Committee
Can we COMMENCE
(Deployment Central)

- Ready to commence Shutdown and Initiate Cutover
- All checks successful and we understand residual risks

4b: *Sun 28 Feb*
Go-Live Committee
Can we PROCEED
(Deployment Central)

- Cut-Over completed
- BPIV completed
- Business and Technical Support teams and processes in place
- Ready to GO
- Go-No-Go Decision
- **Can we Open the Channels (4B)**

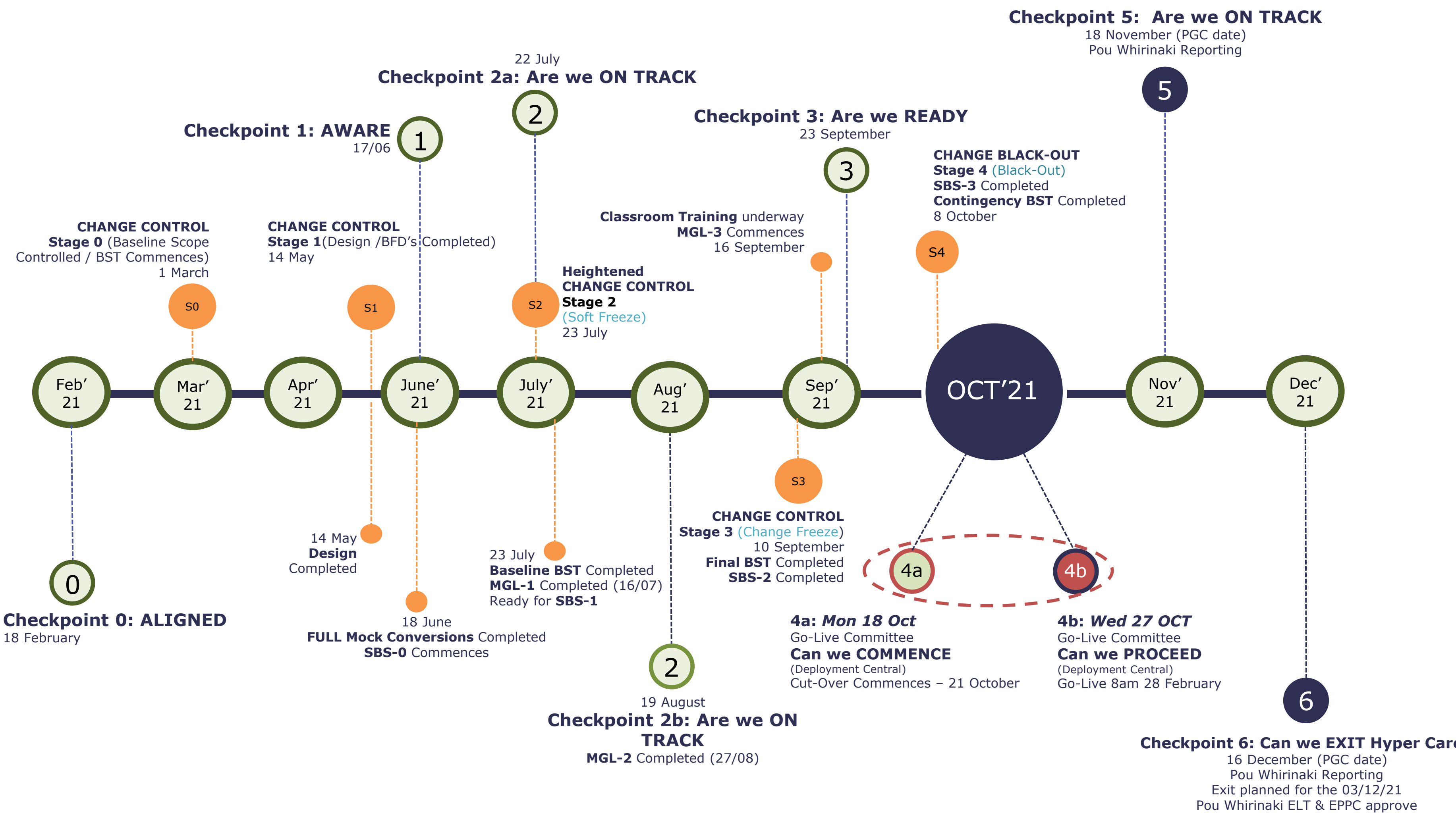
Checkpoint 5: Are we ON TRACK
18 March

- ELS Progress Check
- Customers & Business Adoption Check
- Executive Dashboard Report

Checkpoint 6: Can we EXIT Hyper Care
22 April

- ELS Progress Check
- Customers & Business Adoption Check
- Executive Dashboard Report

Key Dates – START Delivery – Release 2



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Business Transformation

Change Control

START Delivery – Release 1 and 2
(S4.1.R1 and S4.1.R2)

START Delivery - Workstream 1 - Release 1 (S4.1.R1)

Date	Stage	Purpose	What does this mean?
The Change Restriction Period is the period where any *new change* introduced to the IR Enterprise Controls List and to the Non-Production and Production Environments must follow the defined process. For the avoidance of doubt this Change Restriction relates to *any/all change* being introduced to the test (non-production) and live (production) environments.			
13/08/2020	Stage 0	Scope Controlled	**BASELINE SCOPE** under CHANGE CONTROL, changes to scope require a PCR
23/10/2020	Stage 1	Change Restriction CHANGE VISIBILITY IN PLACE (CHANGE BROWN OUT)	**Design under Change Control:** • Design and Business Function Definitions have been completed • Design Authority now endorses any design change • All design decisions are now also assessed for impact and feasibility to be delivered (designed, built and tested) by the (10/12),if not a PCR is required
07/12/2020	Stage 2	Heightened Change (CHANGE SOFT FREEZE)	**APPROVED Change ONLY**: Enterprise-Wide Change Awareness – ONLY the following progressed: • Inflight Major Change and Releases as per the Enterprise Release Schedule • Standard (pre-approved) Change, Service Requests and Cyclic Calendar Events • Pre-approved Planned Maintenance and Major incident • BT Deployment review ALL change to ensure no contention • NO further BSI Cases unless legislative or business urgent • Commences once MGL-1 Completed successfully / Ready to COMMENCE SBS Testing
10/12/2019		Health Check ARE WE ON TRACK?	Are we where we expect to be? BST and Development Verification Testing (DVT) 80% complete for Duties and Foreign Trusts and 60% complete for Unclaimed Monies (UCM)and Paid Parental Leave (PPL) • 100% for all products by 29/01/21
01/02/21 (subject to change)	Stage 3	Change Control (CHANGE FREEZE)	**NO CHANGE** to the QUAL & PROD environments with exclusion of : • BT Prioritised issues remediation resulting from SBS and PROD Major Incident/s • Enterprise-Wide Prioritised Change by exception only • DAILY NPE CAB – ongoing until end of ELS Hyper-Care / CAB membership extended to include BT Deployment and Test Leads. • Commences as MGL-2 commences / Final BST Completed
15/02/2021 (subject to change)	Stage 4	Change Black-Out (CHANGE BLACK-OUT)	**NO CHANGE** progressed to QUAL or PROD - QUAL HARD Freeze, with the exclusion of: • P1/P2 START and Major Incident fixes • Letters and Reports Defect fixes • All changes to the Production **and** Non-Production environments reviewed by the NPE CAB. • BT Architecture Lead and BT Release Delivery Manager join NPE CAB • Commences AFTER SBS-2 COMPLETED

START Delivery - Workstream 1 - Release 2 (S4.1.R2)

Date	Stage	Purpose	What does this mean?
The Change Restriction Period is the period where any *new change* introduced to the IR Enterprise Controls List and to the Non-Production and Production Environments must follow the defined process. For the avoidance of doubt this Change Restriction relates to *any/all change* being introduced to the test (non-production) and live (production) environments.			
01/03/2021	Stage 0	Scope Controlled	**BASELINE SCOPE** under CHANGE CONTROL, changes to scope require a PCR
14/05/2021	Stage 1	Change Restriction CHANGE VISIBILITY IN PLACE (CHANGE BROWN OUT)	**Design under Change Control:** • Design and Business Function Definitions have been completed • Design Authority now endorses any design change • All design decisions are now also assessed for impact and feasibility to be delivered (designed, built and tested) by the (*dd/mm*),if not a PCR is required
23/07/2021	Stage 2	Heightened Change (CHANGE SOFT FREEZE)	**APPROVED Change ONLY**: Enterprise-Wide Change Awareness – ONLY the following progressed: • Inflight Major Change and Releases as per the Enterprise Release Schedule • Standard (pre-approved) Change, Service Requests and Cyclic Calendar Events • Pre-approved Planned Maintenance and Major incident • BT Deployment review ALL change to ensure no contention • NO further BSI Cases unless legislative or business urgent • Commences once MGL-1 is COMPLETED/ Ready to COMMENCE SBS Testing
19/08/2021		Health Check ARE WE ON TRACK?	Are we where we expect to be? • BST and Development Verification Testing 100% for all products by 03/09/21
03/09/2021 (subject to change)	Stage 3	Change Control (CHANGE FREEZE)	**NO CHANGE** to the QUAL & PROD environments with exclusion of : • BT Prioritised issues remediation resulting from SBS and PROD Major Incident/s • Enterprise-Wide Prioritised Change by exception only • DAILY NPE CAB – ongoing until end of ELS Hyper-Care / CAB membership extended to include BT Deployment and Test Leads. • Commences as SBS-2 COMPLETED /MGL-3 ready to commence / Final BST Completed
01/10/2021 (subject to change)	Stage 4	Change Black-Out (CHANGE BLACK-OUT)	**NO CHANGE** progressed to QUAL or PROD - QUAL HARD Freeze, with the exclusion of: • P1/P2 START and Major Incident fixes • Letters and Reports Defect fixes • All changes to the Production **and** Non-Production environments reviewed by the NPE CAB. • BT Architecture Lead and BT Release Delivery Manager join NPE CAB • Commences AFTER SBS-3 COMPLETED

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Business Transformation

Assessment & Reporting Schedule

S4.1.R1 Checkpoints Timeframes

Checkpoint	**Issue Checklist** (Start review)	**Assessment Completed** (Start to build report)	**Draft Report** (Assessment completed)	**Submit Report** (Post leads review)	**Present Report** (PGC)
	Monday	**Wednesday**	**Friday**	**Monday**	**Thursday**
0	13 August 20	*No Report – Internal Release check based on release reporting*			
1	12 October 20	14/10/20	16/10/20	**19/10/20**	**22/10/20**
2	30 November 20	02/12/20	05/12/20	**07/12/20**	**10/12/20**
3	9 February 21	10/02/21	12/02/21	**15/02/21**	**18/02/21**
4a				***22 February***	*Meetings Run by Deployment Team, attended by Go-Live Committee*
4b				***28 February***	
5	18 March	Pou Whirinaki / Early Life Support team reporting used			
6	22 April	Pou Whirinaki / Early Life Support team reporting used			

S4.1.R2 Checkpoints Timeframes

Checkpoint	Issue Checklist (Start review)	Assessment Completed (Start to build report)	Draft Report (Assessment completed)	Submit Report (Post leads review)	Present Report (PGC)
	Monday	**Wednesday**	**Friday**	**Monday**	**Thursday**
0	**18 February 2021**	*No Report – Internal Release check based on release reporting*			
1	8 June 2021	9 June 2021	11 June 2021	**14 June 2021**	**17 June 21**
2a	12 July 2021	14 July 2021	16 July 2021	**19 July 2021**	**22 July 21**
2b	9 August 2021	11 August 2021	13 August 2021	**16 Aug 2021**	**19 Aug 21**
3	13 September 2021	15 September 2021	17 September 2021	**20 Sept 2021**	**23 Sept 21**
4a				***18 October***	*Date's tbc* *Meetings Run by Deployment Team, attended by Go-Live Committee*
4b				***27 October***	
5	**18 November 2021**	**Handed over to BAU -** Pou Whirinaki Support team reporting used			
6	**16 December 2021**	**Handed over to BAU -** Pou Whirinaki Support team reporting used			

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Business Transformation

Readiness Reporting

Four Major Areas of Readiness Reporting

READINESS AREA

Notify / Promote / Educate / Manage

SUPPORTING INTERACTIONS

Customer

Do our customers know what is changing?
Do our customers understand the changes?
Do our customers understand the new services?
Are our customers ready to use the service changes?

(Individuals, Corporates, Small and Medium Enterprises (SME' , Not for Profits)

Partner

Do our service providers understand the changes?
Are our service providers ready to use the new services?
Are our service providers ready to support the service changes?

(Tax Agents, Bookkeepers, Service Providers, Software Developers, Government Departments)

Impact
Build a quantifiable understanding of change
- Understand scope and features
- Conduct initial assessment
- Gather metrics and volumes
- Perform detailed impact assessment
- Communicate and test with key stakeholders

Readiness
Prioritise and deliver focused engagement based upon the service each customer utilises
- Identify priorities
- Define success factors and key measures
- Develop readiness approach
- Execute engagement approach
- Communicate and test with key stakeholders

- DISCOVER: What is considered an acceptable sample size of customers?
- DESCRIBE: What does good look like for the customer?
- MEASURE: How do we measure the success?
- What is the minimum target for success?
- SUSTAIN: When do track each measure and what are the incremental targets?

Supported by: Customer & Service Provider Awareness , Customer & Service Readiness Framework
Customer Impact Assessment & Change Approach

* As applied to all readiness areas: What is the cumulative impact of prior Releases, other business activity and environmental conditions?

Business Unit

Are our people and business units ready to receive and deliver the service changes?
Can we measure & report business performance post go-live?
Do we have the people we need to manage the transition?

What needs to ready? - People Capability, Operational Readiness, Performance, Planning, Work on hand, Co-existence, Business Continuity (BCP), Crown Accounting and Business Risk, People Readiness surveys and pulse checks.

Supported by: Stakeholder Management Plan & Communications Plans, Surveys, Risk Registers, Operational Plans, Training Attendance, Coexistence Plans

Programme

Does the solution meet the agreed scope, design requirements and quality standards?
Are we ready to support the change?
Can the transition /deployment be achieved within the agreed window at an acceptable level of quality and certainty?

What needs to ready? – START, START reporting and Heritage Coexistence Solutions, Digital Ecosystem and Customer Services solutions, Content, Data Cleansing & Conversion, Tax Policy, New Services Platform and Environments, Testing Services, Customer Contact Centre, Release OCMT, Deployment and Early Life Support

Supported by: Workstream Schedules, Block Plans, Detailed Tracking Registers, Testing Strategy & Plan, Enterprise Change Management Strategy & Plan, Certification and Assurance, BPIV, Release Exit Processes

WHAT DOES READY LOOK LIKE?

Contributing to checkpoint assessments

Checkpoint 1

- Programme (workstream) and
- Business Unit

Checkpoint 2a

- Programme (workstream)
- Business Unit,
- People and Customer readiness approach i.e., what's planned

Checkpoint 2b

- Programme (workstream),
- Business Unit,
- People, and
- Customer

Checkpoint 3 -

- Programme (workstream),
- Business Unit,
- People, and
- Customer

Checkpoint 4a

- Programme (workstream),
- Business Unit,
- People, and
- Customer

Purpose of Release Readiness Checkpoints: Programme

CP0 CP1 CP2 CP3 CP4 CP5 CP6

Solution Readiness

CP0 – AWARE

- Readiness framework communicated and agreed
- Readiness and performance metrics agreed
- Scope freeze agreed
- Design exit agreed
- BST Underway
- Customer / Business unit / People / Intermediary / Service Provider awareness assessment

CP1 – UNDERSTAND

- Design is under change control, primary build completed
- Assembly, system and verification testing on track
- SBS preparation underway
- People Readiness has been assessed and Training Preparation is well progressed
- Deployment plans on track for MGL's
- Ready to enter QUALITY environment
- Partners are aware of the upcoming change

Cutover Readiness

CP2 – READY

- Solution Built
- BST completed
- Ready to commence SBS
- Ready to commence technical testing
- Ready to deliver training
- Early Life Support plan completed
- Change Restriction in place
- Ready for MGL's
- Ready to start final regression & performance testing
- Commence silent deployments
- Customer / Business unit / People / Intermediary / Service Provider readiness assessment

CP3 – READY

Commence Transition

- Trigger Contingency
- Commence Pre-Deployments
- SBS & Performance & Regression testing on track
- MGL status check
- Training delivery status check
- Commence channel closures
- Customer communications
- ELS teams in place
- Customer / Business unit / People / Intermediary / Service Provider readiness assessment

Support Readiness

CP4 – APPROVE

Commencement of Cutover & Go Live

- Commence systems & channel shut down as per cutover schedule
- Deploy all components and elements as per cutover schedule
- Application code deployment as per cutover schedule
- Data conversion as per cutover schedule
- Production Verification Testing and data Reconciliation Re sults.
- Ready to for business go live or make roll back decision

Checkpoint 5 CHECK

- Check: Business performance & productivity,
- Check Customer experience
- Check major incidents, impact and resolution rates
- Check critical products and services performance
- Check Production Quality assurance

Checkpoint 6 EXIT

- Exit ELS and readiness to hand over to Support.
- Support readiness to receive.

Purpose of Business Readiness Checkpoints: Business Units

CP1 CP2 CP3 CP4 CP5 CP5

AWARE & UNDERSTAND

- Readiness and performance metrics agreed
- People Capacity Planning
- Operational Planning Readiness
- Performance Planning
- Work on Hand (WIP)
- Co-existence
- Business Continuity Plans

READY

Commence Transition

- Readiness and performance metrics in place
- People Capacity ready or in place
- Operational Planning Readiness
- Performance Planning
- Work on Hand (WIP)
- Co-existence
- Business Continuity Plans

APPROVE

Commencement of Cutover & Go Live

- Commence systems & channel shut down as per cutover schedule
- Deploy all components and elements as per cutover schedule
- Data conversion as per cutover schedule
- Production Verification Testing and
- Data Reconciliation Re sults
- Ready to for Business Go Live or make Roll Back decision

Checkpoint 5

HYPERCARE EXIT

- Check: Business performance & productivity,
- Check Customer experience
- Check major incidents, impact and resolution rates
- Check critical products and services performance
- *Check Production Quality assurance*

Checkpoint 6
ELS EXIT

- Exit ELS and readiness to hand over to Support.
- Support readiness to receive.

Planning | Cutover Readiness | Support Readiness

Customer Readiness Summary

- The Customer Readiness Assessment is one component of the overall Readiness Framework and has been updated to reflect lessons from prior releases and scaled to reflect the requirements of the current stage and scope.
- Customer readiness determines "where we expect customers and third parties to be" measured via readiness criteria at each checkpoint. Readiness will vary by product and customer segment to recognise when the change needs to land with the customer, i.e., some readiness criteria extend beyond go-live.
- Members of the External Stakeholder Engagement working group will review and endorse the assessment for each checkpoint, including go to green plans where required. Customer segment leads will also review and provide feedback of the high-level assessment against criteria based on "where we expect to be" for each checkpoint.

What's different this release?

Given the targeted customer groups impacted and smaller scale of the releases and initiatives in Stage 4:

- No customer insight research is being conducted to inform the readiness assessment or marketing effectiveness, although this will be conducted for S4-1-R2 (child support and upgrading myIR to version 12).
- Customer interaction testing of myIR will be reviewed and considered.
- Customer readiness will be assessed against agreed criteria as reported by Community Compliance, Account Managers, Product Owners, Digital Ecosystem Team and others based on their interactions with customers and stakeholders using the risk RAG ratings detailed overleaf.

Components of the Customer Readiness Assessment

- Utilise metrics and data already collected including those relating to marketing & communications activities, for example, reach of direct mail, social media and advertising.
- Reports via Account Managers (Account Managers, External Relationship Managers, Community Compliance and Significant Enterprises) against specific criteria on the readiness status of the customers, intermediaries and service partners they engage with.
- Insights from Customer Design Validation into customers' expectations of e-Services, including ease of use.
- Assessment of known risks and issues.

Customer Readiness Reporting

At checkpoint 2 and 3, customer readiness reporting provides the information required to satisfy the needs of the target audience to enable decision making e.g., customer readiness will be assessed by product and defined customer sub-segment.

Checklist >

Specific readiness criteria relevant for each checkpoint, agreed by the External Stakeholder Engagement working group.

Assess >

Conduct assessment of evidence against the criteria for each Product before each checkpoint, including reasons if not green and go-to-green plan.

Confirm assessment with the External Stakeholder Engagement working group and relevant Segment Leads.

Report

Summarise the point-in-time customer readiness assessment for each product, showing the RAG status, rationale and residual risk.

It is important that to identify the "so what". This allows the time to rectify prior to Go Live, or to ensure that we "know what we are up against" should it be a high-risk area. This information also feeds into contingency and Early Life Support planning.

For any criteria indicating Light Amber to Red report on:

- Reason for not being Green
- The Go to Green plan i.e., what activities are underway or planned to address reasons for not being green
- The residual risk if the status does not change, or deteriorates (using the Enterprise Risk Framework)

Assessed By Jonathan Pickard / Po Ki Ho

Criteria	Reported By	Current Status	Reasons for the status NOT GREEN?	Go To Green Plan (Activities underway)	Business /Customer Risk at Go-Live	Residual Risk
Single channel, full channel and full day simulation **Performance Tests** complete, and EXIT Report approved	Sundar Thangaraj	A	18/1 – Workstream performance tests have been completed and their results are being reviewed. The end to end performance test continues per plan to complete by - Single Channel (19/1) - Full / Combined Channel (23/1) - Full Day Simulation (24/1)	18/1 – The team is progressing with performance tests per plan and has daily DMS to cover both test progress and environment availability to support the test team.	18/1 – The late completion of the performance tests due to BCP and workstream testing means it is likely any medium to low rating (severity 3 or 4) defects will not be fixed or re-tested before Go Live. It is possible these lower severity defects will cause minor customer experience impacts, such as ad-hoc response time degradation via Call Centre to START or via myIR.	**Medium** (Possible / Minor)
All unit **DR tests** complete - 25th Jan, EXIT Report should be approved by 2nd Feb	Detlef Kristen	A	18/1 – CoreTax DR is scheduled for 19/1 and is on track to finish on 20/1. All Unit DR has a target completion of 26/1 (morning) – this is on track with approval to proceed at ECRB (20/1). This is also dependent on the CoreTax DR having no unresolved P1 /P2 defects prior to the All Unit DR.	12/1 - CoreTax will have its single unit DR on 19/1. In addition, a DR working group was setup since Dec with representatives from each workstreams (stakeholder group) to streamline approvals and decision making on DR design and test execution.	18/1 - Since functional testing will only complete on 20-Jan, any late configuration changes to either connectivity or infrastructure as part of defect fixes could impact the DR procedure and test. This means these changes will not be re-tested prior to Go Live due to time constraint	**Medium** (Likely / Minor)

Frameworks are used to define Current Status and Residual Risk

Key	Red	Light Red	Amber	Light Amber	Light Green	Green
Headline	Highly problematic	Problematic	Problematic	Problematic in defined areas	Not problematic	Not problematic
Business Readiness Assessment	On critical path and currently predicted that it is not possible to recover to be ready on time. It will almost certainly lead to missing the go-live date and in the most serious cases influence a decision to postpone the go-live.	Currently not on target to succeed and on the critical path. It needs focussed attention & active management to ensure that the due date is met.	Not on target to succeed, requires active management to get back on track. With support, focus and the appropriate mitigation this will not impact the critical path.	Is deviating from target in some specific but non-critical areas, it's under active management and is showing signs of heading to green.	Generally on target but needs some minor management attention and/or assistance to be completed within due date	On track and likely to be delivered on time. Can be managed without intervention on a day to day basis.

Enterprise Risk Framework

LIKELIHOOD	Minimal	Minor	Moderate	Major	Severe
Almost Certain	Low	Medium	High	Very High	Extreme
Likely	Low	Medium	High	Very High	Extreme
Possible	Low	Medium	High	Very High	Extreme
Unlikely	Negligible	Low	Medium	High	Very High
Rare	Negligible	Negligible	Low	Medium	High

CONSEQUENCE

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People Readiness Summary

- The People Readiness Assessment is one component of the Readiness Framework. It assesses sentiment and the comfort levels of our people about the change coming i.e., "their hearts and minds". It is a component of business readiness which includes criteria about how people are feeling in general, with business readiness also including environmental criteria such as work on hand levels, burndown work, planning activities, prioritisation, recruitment activities, contingency plans and so forth.
- Using lessons learned from previous releases, people readiness will still be assessed through in-person discussions and team surveys which enable valuable insight to be gathered from those directly impacted and allow themes to emerge quickly.
- The assessment will be scaled to reflect the requirements of Stage 4, release 1, release 2 and other scope.
- CCS Segment leads will review and provide feedback of the high-level assessment as part of the people and business readiness criteria for each checkpoint.
- In addition to the report that goes to PGC, the results of the people readiness assessment will be shared with CCS Segment, Group and Team Leads to assist with their implementation planning.

Components of the People Readiness Assessment Approach

- “Close up” team interviews which are 30 minute discussions with the highly impacted teams using open ended questions to tease out themes and insights. Utilised mainly for those in Change Group A.
- Team Surveys which are 6-7 minute surveys completed by the Team Lead following a team discussion based on a set of provided questions to assess the team's current level of awareness, understanding and readiness. Utilised for those in Change Group A and B).
- Pulse Check Surveys which takes 1-2 minutes completed by a random sample of people from across the organisation to assess levels of awareness and understanding before go-live. Utilised for those in Change Group B and C).
- Training uptake and insights (when training has commenced).

Business Readiness Exception Reporting

At each Checkpoint Business Readiness reporting provides the information required to satisfy the needs of the target audience to enable decision making.

Detail Checklist - containing specific readiness criteria relevant for each checkpoint

Executive Exceptions detail

- Reason not Green
- Go to Green Plan
- Business / Customer Risk at Go Live
- Residual Risk

BRAC 3a Exception Status: Programme

Assessed By Jonathan Pickard / Po Ki Ho

Criteria	Reported By	Current Status	Reasons for the status NOT GREEN?	Go To Green Plan (Activities underway)	Business /Customer Risk at Go-Live	Residual Risk
Single channel, full channel and full day simulation **Performance Tests** complete, and EXIT Report approved	Sundar Thangaraj	A	18/1 – Workstream performance tests have been completed and their results are being reviewed. The end to end performance test continues per plan to complete by - Single Channel (19/1) - Full / Combined Channel (23/1) - Full Day Simulation (24/1)	18/1 – The team is progressing with performance tests per plan and has daily DMS to cover both test progress and environment availability to support the test team.	18/1 – The late completion of the performance tests due to BCP and workstream testing means it is likely any medium to low rating (severity 3 or 4) defects will not be fixed or re-tested before Go Live. It is possible these lower severity defects will cause minor customer experience impacts, such as ad-hoc response time degradation via Call Centre to START or via myIR.	**Medium** (Possible / Minor)
All unit **DR tests** complete - 25th Jan, EXIT Report should be approved by 2nd Feb	Detlef Kristen	A	18/1 – CoreTax DR is scheduled for 19/1 and is on track to finish on 20/1. All Unit DR has a target completion of 26/1 (morning) – this is on track with approval to proceed at ECRB (20/1). This is also dependent on the CoreTax DR having no unresolved P1 /P2 defects prior to the All Unit DR.	12/1 - CoreTax will have its single unit DR on 19/1. In addition, a DR working group was setup since Dec with representatives from each workstreams (stakeholder group) to streamline approvals and decision making on DR design and test execution.	18/1 - Since functional testing will only complete on 20-Jan, any late configuration changes to either connectivity or infrastructure as part of defect fixes could impact the DR procedure and test. This means these changes will not be re-tested prior to Go Live due to time constraint	**Medium** (Likely / Minor)

A "point in time" assessment is made for each criteria at each Checkpoint. For those criteria indicating Light Amber – Red status "exceptions' the following details are collected:

- Reason for not being Green
- The "go to green" plan (i.e. what activities are planned / underway to address reasons for not being Green)
- The risk to the organisation (business, customers etc) if status does not change (using the Enterprise Risk Framework)

It is important that to identify the "so what". This allows the time to rectify prior to Go Live, or to ensure that we "know what we are up against" should it be a high-risk area. This information also feeds into our contingency planning – so where possible high-risk areas have a contingency plan developed well ahead of Go Live.

Frameworks are used to define Current Status and Residual Risk

Key	Red	Light Red	Amber	Light Amber	Light Green	Green
Headline	Highly problematic	Problematic	Problematic	Problematic in defined areas	Not problematic	Not problematic
Business Readiness Assessment	On critical path and currently predicted that it is not possible to recover to be ready on time. It will almost certainly lead to missing the go-live date and in the most serious cases influence a decision to postpone the go-live.	Currently not on target to succeed and on the critical path. It needs focussed attention & active management to ensure that the due date is met.	Not on target to succeed, requires active management to get back on track. With support, focus and the appropriate mitigation this will not impact the critical path.	Is deviating from target in some specific but non-critical areas, it's under active management and is showing signs of heading to green.	Generally on target but needs some minor management attention and/or assistance to be completed within due date	On track and likely to be delivered on time. Can be managed without intervention on a day to day basis.

Enterprise Risk Framework

LIKELIHOOD \ CONSEQUENCE	Minimal	Minor	Moderate	Major	Severe
Almost Certain	Low	Medium	High	Very High	Extreme
Likely	Low	Medium	High	Very High	Extreme
Possible	Low	Medium	High	Very High	Extreme
Unlikely	Negligible	Low	Medium	High	Very High
Rare	Negligible	Negligible	Low	Medium	High

Executive Summary

Summary – Checkpoint 1

	Conditions per Checkpoint	Red	Light Red	Amber	Light Green	Green
CUSTOMER	2					2
SERVICE PROVIDERS	2			2		2
PROGRAMME	36	0	3	10	6	17
BUSINESS UNITS	27			3		24

The Readiness Process

Readiness Process Preparation

FRAMEWORK

- Confirm readiness areas & owners
- Confirm dates and purpose of checkpoints

CRITERIA

- Readiness owners identify criteria owners
- Identify criteria for each checkpoint working with criteria owners

PREPARATION

- Meeting booked with PGC (Governance)
- Meeting booked with PLT (if required)
- Meetings booked with Reporters
- Meetings booked with Assessors

ADMINISTRATION
Prior to each Checkpoint

- Validate with Criteria Owners that the criteria (questions) are correct
- Should be specific criteria to meet at each checkpoint – rather than status or tracking of future checkpoint criteria
- Review criteria with Reporter to validate for completeness.
- Submit to Readiness Manager for review

Checkpoint Process

Week prior to Checkpoint (Monday)

- Criteria rated by Reporters
- Roll up criteria (where applicable) into categories and submit to Assessors

Week prior to Checkpoint (Wednesday)

- Ensure Reporters have reported, and assessors have moderated
- For Criteria NOT Green provide:
  - Commentary (easy to understand) on why it is not green
  - What is the "go to green" plan
  - Business / Customer risk at go live
  - Overall Residual Risk rating (using Enterprise Risk Matrix)

DRAFT Exception Report (Friday)

- Review Draft Exceptions report with Assessors (group meeting if possible)
- Review with Programme Manager
- Review with PLT

Submit Exception Report (Monday)

- To PMO
- Review with key Stakeholders

PGC Meeting (Thursday)

- Programme Manager and representatives from other major reporting areas present exception report to PGC members

Readiness Review Preparation

Week before of the check point

Mon — Wed — Thurs — Fri

Week of the check point

Mon — Tues — Wed — Thurs

(**Monday / Tuesday**)

Reporters
- Commence assessment
- Rate each criteria
- Check the "consequence if not ready" and update if necessary
- If assessment not **G** or **LG**
  - Provide reason why
  - Provide go to green plan
  - Provide residual risk (using Enterprise Risk matrix)
  - Provide action owner/s

(**Wednesday**)

Reporters & Assessors
- Review and if needed update:
  - Assessments,
  - Go to green plans
  - Residual risk
  - Consequence
  - Action Owner
- Attend review meeting if any criteria are not **G** or **LG**

(**Thursday**)

Review Leads
- Prepare draft exception report

(**Friday**)

Review Leads
- Complete DRAFT exceptions report
- Circulate report to Reporters for final review

Reporters / Leads
- Attend Review Meeting

Review Lead/s
- Submit Report to PMO

(**Monday**)

- Release Programme Manager review with Programme Director

(**Tuesday**)
- PMO Submit report
- Present Report to PLT

(**Wednesday**)
- PLT Leads review with key PGC stakeholders

(**Thursday**)

PGC Meeting

- Programme Manager and representatives from other major reporting areas present report to PGC members

Roles and Responsibilities in the Readiness Process

Portfolio Governance Board
Accountable for making the decision to whether to proceed through a checkpoint based on the readiness assessment presented to them by the Programme Manager.

Programme Director & Programme Manager
Accountable for presenting the PGC an integrated view of deployment readiness with sufficient explanation and detail to allow them to make an informed decision at the readiness checkpoints.

Readiness Manager
Responsible for managing the readiness framework including getting the criteria defined and agreed, collecting status information from the readiness owners, co-ordinating the checkpoint meetings and reporting on the overall readiness status to the Programme Manager

Readiness Owners
Responsible for providing an integrated view of the readiness of their area and an overall assessment of the fundamental question – is their area ready?
Work with the criteria owners to manage risks to achievement of their criteria.

Customer Readiness
OCMT (Customer Change Lead)

People and Business Readiness
OCMT (Organisation Change and Business Deployment Leads)

Programme Readiness
Release Delivery Support Lead

Criteria Owners
Responsible for achieving the criteria they are owners of (i.e. completing the work associated with the criteria). Provides updated to the readiness owners on progress against their criteria along with risks to achievements and mitigations being put in place.

RAG Definitions

Key	Red	Light Red	Amber	Light Amber	Light Green	Green
Headline	**Highly problematic**	**Problematic**	**Problematic**	**Problematic in defined areas**	**Not problematic**	**Not problematic**
Readiness Assessment	On critical path and currently predicted that it is not possible to recover to be ready on time. It will almost certainly lead to missing the go-live date and in the most serious case influence a decision to postpone the go-live. Risks and Issues are generally **Extreme** with escalation to the highest level: Programme Sponsor (PGC)	Currently not on target to succeed and is on the critical path. It needs focussed attention and active management to ensure that the due date is met. Risks and Issues are generally **Very High** to **Extreme** with escalation to the PLT and Programme Director	Currently not on target to succeed and requires active management to get back on track. With support, focus and the appropriate mitigation this will not impact the critical path. Risks and Issues are generally **Very High** to **High** with escalation to the PLT and Programme Manager	Is deviating from target in some specific but non-critical areas, is under active management and is showing signs of improvement. Risks and Issues are generally **Medium** to **Low** with escalation to the Release Lead	Generally on target but needs some minor management attention and/or assistance to be completed by the due date. Risks and Issues are generally **Low** to **Negligible** with NO escalation required above the Workstream	On track and likely to be delivered on time. Can be managed without intervention and or day to day management attention. Risks and Issues are generally **Negligible** with NO escalation required above the Workstream