

ODOT Change Management Request

A formal Change Management Request (CMR) serves as the vehicle to modify the approved scope, schedule, budget, and delivery method for STIP projects. The CMR will provide input and support for subsequent STIP amendments. A CMR is required to be entered in the CMR database to make changes to a project after the project is programmed in the STIP until a project goes to bid.

Pre Project Initiation Phase

When changes are made to projects prior to Project Initiation phase such as moving funds from a project that has not started yet, a CMR is needed to capture the change. Since this is a CMR prior to Project Initiation phase, the numbering of the CMR in the CMR database begins with a P starting at P1 (CMR - KN P1). For example; 12345-P1, and 12345-P2.

At the Completion of Project Initiation Phase

A CMR 0 (zero) will be required for every state delivered STIP project on the state system with a Project Charter. The CMR 0 (zero) will document changes needed to reconcile any differences between the final Business Case, what was programmed in the STIP or any CMR prior to Project Initiation and the Project Charter in order to provide a clear start into project development. If there are no changes, the CMR 0 (zero) will document that the scope, schedule, budget or delivery approach for the project has not changed. The CMR 0 (zero) and the Project Charter are developed simultaneously. If there are requested changes, the CMR 0 (zero) should be approved prior to signing the Project Charter. Changes made in the CMR 0 (zero) are updated in the CMR database and incorporated into the Project Charter. The CMR 0 (zero) must be attached to the final approved Project Charter.

Post Project Initiation

Changes to a Project after Project Initiation phase will continue to be captured using the CMR database and stop at Bid Letting (once construction contract is in place). The numbering will continue in sequence to KN-01. For example; 123245-01

The Project Lead (Transportation Project Manager or Resident Engineer-Consultant) is responsible for initiating and completing a CMR. The project development team (PDT) will review and analyze the requested change(s) and provide information to document the impacts. The STIP Coordinator will identify additional actions that may be required. These include STIP Amendments, MPO amendments, and OTC approval and funding obligation year changes.

Note: If a change to one project causes a change to another project such as moving funds between projects, two different CMRs will be required to address changes to both projects.

The Project Sponsor (Optional) will be responsible to confirm that the proposed change still meets the project intent and goals.

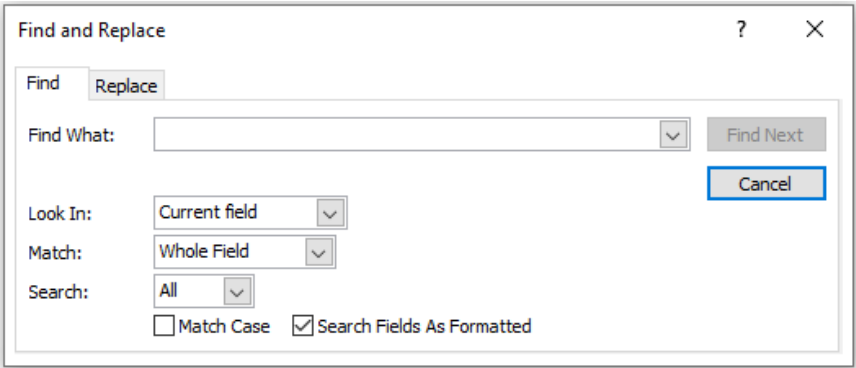
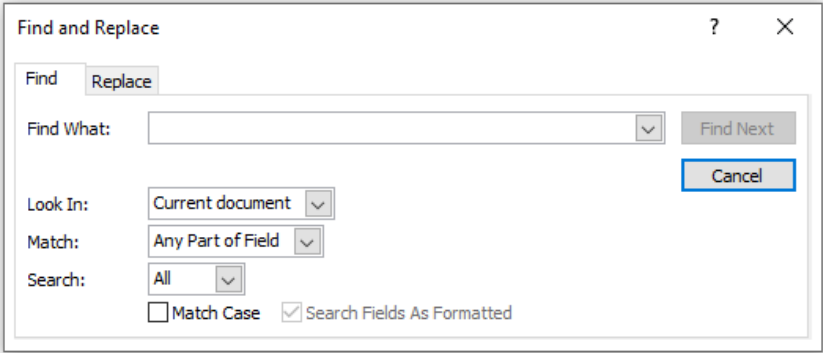
Accessing and Opening the Database

- Located at Change Management Request (CMR) Database
 - Access should automatically open to a blank new form that you can begin to fill out.

- Since most changes to one area of a project (*scope, schedule, or budget*) will impact other areas, please fill out ALL three areas of a project (scope, schedule and budget) in the CMR form regardless of the topic of concern for your CMR.
For example; if your CMR concerns a change of schedule, please fill out all budget and scope fields in addition to the schedule fields by describing current budget and scope, and also including any possible change as a result of schedule change.

Sections of the CMR Database

Section	Description
Search Inactive CMR	<p>This button is to be used to search for all CMRs that have been approved or denied (Inactive). This helps to keep track of all the CMRs that have been completed for a specific project.</p> <ul style="list-style-type: none"> • To search for the Inactive CMRs, follow the steps below <ul style="list-style-type: none"> ◦ Click on the "Search Inactive CMRs" ◦ Enter the Project Key Number as prompted <div data-bbox="669 1486 1177 1759" data-label="Image"> </div>

	<ul style="list-style-type: none"> o You will be brought to a new tab that will display, in a table, all previous CMRs for this project. Take the last number displayed and count up by one for the current CMR number.
Add Record	This button is used to create a new record (CMR).
Find Record	<p>This button is to be used to search for all CMRs that are in progress (active - not completed). This helps to keep track of all the CMRs that are active for a specific project.</p> <ul style="list-style-type: none"> • To find a record of an active CMR, follow the steps below <ul style="list-style-type: none"> o Click on the "Find Record"  <ul style="list-style-type: none"> o Before entering your search term <ul style="list-style-type: none"> ▪ Using the drop-down menu, change "Look in:" to read "Current document" ▪ Using the drop-down menu, change "Match:" to read "Any Part of Field" ▪ When done, the screen should look like this:  <ul style="list-style-type: none"> o Access considers all records in the database to be the "document". As such, changing your search settings in this way will tell Access to search through all active records.
Email CMR	This button creates an email with an attachment of the CMR to send to the stakeholders or signatories for communication about the CMR. In

	<p>addition to the CMR attachment, this option also provides a link to the CMR database where the CMR can be found.</p>
Create PDF	<p>This button creates an email with an attachment of the CMR to save in ProjectWise after receiving all signatures needed to complete a CMR. This button can also be used to send a copy of the CMR to the stakeholders or signatories for communication about the CMR but doesn't provide a link to CMR database.</p>
Project Information	<p>Enter project information:</p> <ul style="list-style-type: none"> • Request Date • CMR number This will consist of the project five digit Key Number (KN) followed by a sequential number of the CMR for each project starting with 00 for the first CMR at the completion of the Project Initiation phase. Required format is 12345-xx, <ul style="list-style-type: none"> ○ For a project that hasn't reached Project Initiation phase, use CMR Number 12345-P1 ○ CMR zero for a project that is at Project Initiation phase by May 15, 2019. Use CMR Number 12345-00 ○ For a project that has passed Project Initiation phase use CMR Number 12345-01 • Project Lead • Project Name • Key number • Region – select the Region where the project is located. • Area – select the Area corresponding to the Area Manager responsible for delivering the project. • Funding Program (Funding responsibility) - Up to six funding programs can be selected.
Additional Actions	<p>Select the applicable additional actions that will be required based on the proposed changes.</p> <p>The STIP Coordinator will identify if the following items are required based on the requested changes:</p> <ul style="list-style-type: none"> • Type of STIP Amendment • Oregon Transportation Commission (OTC) Approval • Metropolitan Planning Organization (MPO) Amendment <p>The Project Lead will identify if the following items are required based on the requested changes:</p> <ul style="list-style-type: none"> • IGA Amendment • A&E Contract Amendment • Re-baseline project recommendation – this will require concurrence from the Statewide Project Delivery Branch (SPDB) <p>Re-baselining the project will effectively reset the scope, schedule, and budget that performance will be measured against. For example, a Local agency has funding they want to contribute to add scope to a project, which also affects the delivery schedule. When completing the CMR, a request to re-baseline the project is included so the addition of scope, schedule, and budget is recognized as positive changes. Re-baselining the project will require concurrence from the Statewide Project Delivery Branch (SPDB). Re-baselining will be considered for Elective and Unavoidable changes.</p>

Supporting Documents	Use this field to add any desired attachments that support the change request, such as cost estimates, MS Project schedules, or lengthy justifications. Just double click in the box and follow the instructions.
Change type/Reason Code	<p>Select category for change.</p> <ul style="list-style-type: none"> • <u>Elective</u> changes are positive or good changes to projects such as combining projects for efficiencies, leveraging, practical design and value engineering solutions. • <u>Unanticipated</u> changes are project changes beyond what was reasonably anticipated. Some examples are field conditions, market conditions, regulatory agency requirements, and local agency actions. • <u>Avoidable</u> changes are project changes that were preventable such as an error in cost estimating, inadequate scoping, missed items, failure to identify and manage risk. <p>Select reason code for the requested change. The selected reason code should identify the primary driver for the change and not necessarily the resulting impacts. For example, if resource availability results in a schedule delay that affects the funding obligation year, the primary driver is the resource availability. The requested changes would be to both the project schedule and budget. See Appendix A for additional information on change categories scenarios and reason code descriptions.</p> <p>A single CMR can accommodate up to three distinct changes. Each change will require a change category and reason code. Multiple CMRs will be required for more than three changes at one time.</p> <p>In the event that not all of the submitted changes are approved, clear documentation of what change(s) is approved and what change(s) is not approved is necessary.</p>
Scope	<p>Scope changes (adding or removing work) that require a STIP amendment or have impacts that require changes to the project schedule or budget require a CMR. Major scope changes include:</p> <ul style="list-style-type: none"> • Change in project termini - greater than 0.25 mile in any direction • Changes to the approved environmental footprint • Impacts to air quality(AQ) conformity • Adding capacity per FHWA Standards • Adding or deleting work type <p>Describe the current approved project scope (from Business Case for CMR 0 or last CMR).</p> <p>Describe in detail the change in scope. What is being changed?</p> <p>Describe in detail the justification for the scope change. Why is the</p>

	<p>change being requested? Since information from these CMRs will be used in reports that are to be shared with OTC, please clearly explain the reasons for change as you would when responding to OTC.</p> <p>Describe how the project will proceed if the change is not approved. What is the risk?</p>
Schedule	<p>Changes to project milestone dates shown on the Project Charter require a CMR; except for the following:</p> <ul style="list-style-type: none"> • If moving a project milestone date does not impact downstream project milestone dates, scope or budget <p>Describe in detail the schedule change. What is being changed?</p> <p>Describe in detail the justification for the schedule change. Why is the change being requested? Since information from these CMRs will be used in reports that are to be shared with OTC, please clearly explain the reasons for change as you would when responding to OTC.</p> <p>Describe how the project will proceed if the change is not approved. What is the risk?</p> <p>Enter the current approved schedule dates from the last approved CMR. Enter the proposed milestone dates. For CMR 0, enter the programmed federal fiscal obligation year from STIP-FP for the current approved dates. Note that only the dates associated with funding obligations will be entered. Enter proposed dates from MS Project for all milestones. When selecting the proposed dates make sure to include enough time for the CMR approval process as well as any additional action items.</p> <p>Note that changes to Forecasted 1st Note, Forecasted 2nd Note, and Forecasted 3rd Note dates that do not affect other aspects of the project will not require a standalone CMR. These dates should be updated in the next sequential CMR.</p>
Budget	<p>All budget changes require a CMR.</p> <p>Describe in detail the budget change. What is being changed?</p> <p>Describe in detail the justification for the budget change. Why is the change being requested? Since information from these CMRs will be used in reports that are to be shared with OTC, please clearly explain the reasons for change as you would when responding to OTC.</p> <p>Describe how the project will proceed if the change is not approved. What is the risk? If there are budget changes to multiple funding programs, describe the details of the breakdown as well.</p>

	<p>Enter the current approved budget from the STIP-FP Phase Total Estimate Cost field (Note: this should match the approved budget amount from the last CMR). Enter the requested budget. The database will automatically calculate the budget change.</p>
Signatures	<p>Please direct signatories to your CMR's record in the database and have them sign and date the form by typing their name and date. <i>Do not send out PDFs for electronic signatures or scanned physical signatures.</i></p> <p>Funding Program Manager(s) - The Funding Program Manager is responsible to ensure the project scope conforms to the program requirements, the project schedule meets their needs for funding obligation and construction years, and the project budget is adequate and within the program budget. The Funding Program Manager has the authority to approve or reject the CMR.</p> <p>Project Lead - responsible for effective planning, collaboration, execution, monitoring, and delivery of assigned projects in accordance with objectives and specifications outlined in the Business Case, Project Charter, and Funding IGA (if needed). Applies Change Management process, and makes recommendations/ decisions with or on behalf of the Project Development Team. Responsible for originating the CMR and ensuring all appropriate signatures are obtained. The Project Lead works with resource providers to identify and secure project team members to support delivery of the project e.g., Transportation Project Manager, and Resident Engineer - Consultant</p> <p>STIP Coordinator – responsible to identify additional actions required and complete any necessary STIP amendments after the CMR is approved. Conduct quality control of the data, information and justification.</p> <p>Area Manager- is responsible for ensuring projects are delivered on scope, schedule, and budget as programmed. The Area Manager has authority to approve or reject the Project Charter and subsequent CMRs.</p> <p>Project Sponsor (optional) - works with the Project Lead to gain endorsement of Project Charter in accordance with the project's purpose and need. . The Sponsor is a project advocate/champion who is primarily invested in seeing the project's intent is met. They have input and influence throughout the project lifecycle. (e.g., Area Manager, Region Local Program Manager, District Manager, Region Project Delivery Manager)</p> <p>Tech Center Manager- reviews Charter and provides input. The Tech Center Manager is responsible for providing and overseeing the technical resources assigned to complete quality project designs, plans, and specifications according to the approved scope, schedule and budget.</p> <p>Region Manager (optional) – The Region Manager is the appointing authority and may be a signatory to the CMR at the Region's discretion. It is recommended that the Region Manager sign any CMRs</p>

that require STIP amendments or OTC approval.

Additional Signatory: Space for up to two additional signatures is provided for use as needed.

Note that for the purpose of the CMR access database, signatures consist of the signatory entering their name and approval date. Once all signatures are collected, the Project Lead will need to create a PDF of the CMR using the "Create PDF" button in the top menu and save to the Project Wise Project Management folder using the standard naming convention. Then notify the Project Delivery Program Coordinator (PDPC) by clicking the PDPC button near the bottom.

The PDPC will complete the CMR process by checking the appropriate "CMR Approved" or "CMR Denied" box at the bottom. This action will remove the CMR from the active transactions. **Note:** This is not Statewide Project Delivery Branch (Salem) approving the CMR. It is just to complete the database process to change the status of the CMR from Active to Inactive once the decision (Approval or Denial) has been made in the Region.

Appendix A

Change Management Request Scenarios: Guidance for Categorizing Changes

To categorize any particular CMR into elective, unanticipated, or avoidable categories, requires us to ask why at least two or three times to get to an underlying cause of the CMR, beyond a proximate, surface-level cause.

For example, consider a hypothetical, but not uncommon, situation of a delay in DOJ review of our A&E contract, resulting in delay of our project delivery schedule. Milestones need to be rescheduled and a CMR is required. Is it an avoidable or unanticipated change? It depends on the facts of the situation, for which one must ask why more than once.

The following is an example of how to categorize a CMR with correct underlying reason depending on the situation.

Why is our schedule needing to be extended?

Because DOJ review results in delays to project milestones (CMR reason code #205 – DOJ Review)

Why is there a delay due to DOJ review?

- Because we didn't plan for the typical DOJ review duration (or we didn't know) → on us and avoidable
- Because DOJ's review is beyond their typical review duration.

Why is DOJ's review beyond their typical review duration?

- Because our package was incomplete and had errors requiring rework by us and DOJ → on us and avoidable
- Because of DOJ staff turnover and lack of review coverage (and we submitted a complete package on time and planned for typical DOJ review duration) → on DOJ and unanticipated
- We do not know why DOJ is late, they just are (but we submitted a complete package on time and planned for the typical DOJ review duration) → it's on DOJ and unanticipated

Additional Major Change Scenarios

Change Scenario	Considerations for CMR categorization	Specific Examples
New standards are required, not accounted for in current project plan. Requires changes in scope, schedule, or	<ul style="list-style-type: none">• <i>If the standards were in place (by legal requirement or by policy) prior to recognizing the need for them, then it's an avoidable change.</i>	<u>ADA</u> : Federal ADA requirements have been in place before 2018-2021 STIP. ODOT missed an opportunity to adhere to those standards on time. Hence,

budget.	<ul style="list-style-type: none"> If the standards are actually new relative to the existing plan, and it would not be reasonable to expect that we should have known they were coming, then it's an unanticipated change. 	meeting ADA requirements for the projects in the 2018-2021 STIP, for which projects were not scoped with this requirement in mind, are now avoidable changes to scope, schedule, and budget.
Projects (e.g. Roadway assets) were scoped at conditions present during scoping; conditions have deteriorated by the time of project development.	<p>If changes are made to a project due to deteriorating conditions of an asset that was supposed to be considered/forecasted during scoping, then it is an avoidable change.</p> <p>If changes are made to a project due to unexpected deteriorating conditions of an asset that couldn't have been captured during scoping, then it is an unanticipated change.</p>	<p>If changes are made to a bridge project due to deteriorating conditions of the bridge that were supposed to be considered/forecasted during scoping, then it is an avoidable change.</p> <p>If changes are made to a bridge project due to unexpected deteriorating conditions due to extreme weather condition that couldn't have been captured during scoping, then it is an unanticipated change.</p>
Canceling a lower priority project to fund another project	<p>For a project that is canceled, the change should be categorized as Elective.</p> <p>For a project that is receiving funds, the change should be categorized based on the reason for cost (budget) increase.</p>	<p>If a project of any type is canceled to fund another project, this change should be categorized as Elective.</p> <p>If a project of any type receives funds from a canceled project due to missed standards or something that could have been prevented, this change should be categorized as Avoidable.</p>

Descriptions of Reason Codes

Scope Reasons (100)

Number	Scope Reason (100)	Description
101	Adding scope	Adding scope to a project. It can be adding new features to a project. Example: sidewalk infill added to preservation project, ADA ramps added, ROW phase added, Local Agency contributes funding for certain design elements, etc.

102	Combined projects	Adding a new project to the scope of another project to form a new project. This may include canceling another project that gets added to an existing project. Example: two projects in close or overlapping proximity on the same delivery schedule are combined into one to avoid work conflicts.
103	Delivery method changed	Changing the approach used to deliver a project. This includes changing from In-house delivery to outsourced or A&E contracting methods such as multi perimeter.
104	Engineering reveal issues not apparent during scoping	Advanced investigations or preliminary design uncovers need for additional work. Example: chloride test on bridge deck reveals that overlay is not adequate and a deck replacement/bridge replacement is necessary, geotechnical investigation reveals poor/unstable soils requiring soil stabilization.
105	External stakeholder issues	Changing project scope to address public needs or requirements. This may be due to something that was missed during scoping or new project feature needed to address public needs.
106	Unresolved environmental issues	Impacts to natural or historic resources which require mitigation. Example: Wetland restoration, storm water treatment, or historic interpretation elements.
107	Reduced Scope	Scope being removed. Example: Costs have increased resulting in project being over budget while no additional funding is available. Scope needs to be reduced in order to remain within budget.
108	Splitting Projects	One project is split into two or more projects. Example: One item of work is delayed but remaining work is on time. Delayed work is split into second project in order to keep other essential work on time.
109	New Design Standards	Design standards changed during delivery process, requiring additional scope.
110	Railroad Crossing Requirements	Adding missed or new railroad requirements.

Schedule Reasons (200)

Number	Schedule Reason (200)	Description
201	ROW acquisition delayed	ROW acquisition takes longer than anticipated resulting in delays to project deliverables.
202	Environmental permits delayed	Permit approval results in delays to project milestones.
203	Late plan revisions	Inadequate QC, deliverables not completed on time, design exceptions not approved.
204	Resource constraints	Unable to adequately resource project or deliverables not completed on time.
205	DOJ review	Required DOJ review results in delays to project milestones.

206	IGA delayed	IGA agreement execution results in delays to project milestones.
207	A/E contract development	A&E Contract execution results in delays to project milestones.
208	Unresolved utility conflicts	Conflicts not identified accurately, deliverables not completed on time.
209	Local permits delayed	Permit approval results in delays to project milestones.
210	Maintenance Concerns	Necessary maintenance items not included resulting in redesign. Example: access approaches or pads.
211	Haz-Mat issues	Mitigation of hazardous materials results in delays to project milestones.

Budget Reasons (300)

Number	Budget Reason (300)	Description
301	Project estimate exceeds project budget	Added scope elements or schedule delays resulting in increased project costs.
302	Additional budget added	Completion of funding obligation. Example: PE programmed in advance of remaining phases which follow later.
303	Reallocation of budget authorization between work types	Strategically moving funds to a different project work type to cover the cost.
304	Leveraged funds	Additional funding available to add new or increased work items.
305	Budget removed	Splitting projects or prioritizing work on other projects.