Modernization Program Change Control Plan

Version: 3.0

Revision date: May 2023

TABLE OF CONTENTS

TABLES AND FIGURES

Document Maintenance

This document is maintained by the Modernization team and will be reviewed and updated annually or when major revisions are necessary. Periodic process reviews assess the effectiveness of program plans and processes. Any identified changes or improvements are incorporated in program processes and reflected within revisions to these program plans. All program plans are stored within the program's file share located here: \\WPOEDFILL04\Modernization\00 Program Management\Program Plans\

Version	Date	Author	Change Description
V1.0	12/2018	Jennifer Hannan, Modernization Program Manager	Initial version of the document.
V2.0	5/2019	Jennifer Hannan, Modernization Program Manager	Changes to change control status values, membership, and added clarity on change control board's role to validate analysis and make recommendation to appropriate authority for decision. Also changed name of modernization sponsor.
V3.0	3/2020	Jennifer Hannan, Modernization Program Manager	
	11/2020	Alex Kasner, Modernization Senior Quality and Risk Analyst	Updated approving authorities, prep for SG3 submission.
	5/2023	Martin Kraal, Modernization Project Manager	Added vendor project manager to Roles and Responsibilities section, and as Change Control Board member; and updated standardized text to align with other plans.

Program Overview

The Employment Department's Modernization Program is a multi-year initiative focused on transforming the agency's business processes and core technology systems. Computer systems supporting receipt of unemployment insurance (UI) taxes, Paid Leave Oregon contributions, payment of UI and Paid Leave Oregon benefits, and delivery of employment services will be replaced or established. Further, business processes will be transformed to take advantage of opportunities and benefits available through new system capabilities.

Document Purpose

This plan documents the formal process to manage requests for proposed changes to components in the scope, schedule, and budget baselines of the Modernization Program and its projects. The plan defines the activities, roles, and responsibilities necessary to effectively manage and coordinate changes, and how approved change requests are communicated.

Change control protects the viability of the approved program and project charters. The change process provides the mechanism for analyzing impacts that scope changes may have on schedule and budget. The process also helps govern decisions on whether a scope change should be implemented or not, based on business value and impact. Similarly, if there are changes to schedule or budget, the impact of those changes on scope is analyzed and the request for change is then approved or rejected.

The objectives of this plan are to ensure:

- Changes to project baselines are thoughtfully reviewed and approved in advance;
- Changes are coordinated across the entire project or program; and
- Affected parties are notified of approved changes.

Document Relationships

This plan is an extension of the Modernization Program's Program Management Plan. This plan also relies upon or references other plans. For a complete list of document relationships, see the Document Matrix in the Modernization Document Registry located here: Q:\00 Program Management\Program Plans\Document Registry.

Document Audience

This document is intended for these primary audiences:

- **Sponsors and steering committee members** – to understand the processes that will be followed. They also have a responsibility to ensure processes are appropriate and are enforced.

- **Internal and external oversight entities** – to monitor whether appropriate processes are in place and continue to be followed.

- **Program and project team members and vendor staff** – to understand the processes that will be followed, as well as their role to identify potential changes and implement scope changes.

- **Agency employees and interested parties** – to reference for general awareness.

Risks, Assumptions, and Constraints

RISKS

Risks related to change control and other project management process groups are described and managed through the program's risk and issue process. See the Modernization Program Risk and Issue Management Plan for further details on the risk and issue process. The Modernization Program Risk and Issue Management Plan is located here: Q:\00 Program Management\Program Plans\Risk and Issue Management Plan. See the Modernization Risks and Issues Registries for a current listing of change control risks and issues. The registries are located here: Q:\00 Program Management\Risk-Issue\Risk and Issue Registries.

The primary risk is unmanaged changes that are not brought through the processes stated within this plan. If changes related to scope, schedule, or budget are made without the appropriate change control process and oversight, then work may be introduced (or reduced) that is not planned, work may not be coordinated or dependencies considered, or funding may be impacted. Any of these could have a negative impact on the Modernization Program and projects.

ASSUMPTIONS

- Change requests will be completed and submitted as soon as needs or impacts are known, and prior to any adjustments or work being performed.
- Change board members will be available when needed, and will support and uphold the change control process.
- Escalation of change requests will follow the program's decision process outlined within the Modernization Program Management Plan and the Modernization Program Governance Plan.

CONSTRAINTS

- If a project's scope, schedule, or budget changes by thresholds established in the State's stage gate process, Enterprise Information Services (EIS) Project Portfolio Performance (P3) must be notified and supporting documentation may be required for review and approval.

Roles and Responsibilities

Significant roles and responsibilities involved in the change control process are described below.

Table 1 – Roles and Responsibilities

Role	Responsibilities
Modernization Program Sponsor	Accountable for the proper execution of the change control management activities.
(Modernization Director)	Makes change decisions as part of the emergency change process.
	Approving authority for change requests.

Role	Responsibilities
Modernization Executive Sponsor	Reviews and decides on proposed change requests that have been escalated for decision.
(Agency Director)	Approving authority for escalated change requests.
Modernization Executive Steering Committee	Reviews and decides on proposed change requests that have been escalated for decision.
	Provides guidance and direction to the Change Control Board as appropriate.
Modernization Program Manager	Responsible for overseeing program and project management activities, including oversight of change control management and the decision process.
	Develops the change control strategy, and works with Modernization Change Control Analyst to develop sufficient management processes.
	Works with the team to prepare communications to impacted partners, customers, and other parties.
	Communicates approved, denied, and escalated change requests in program and project status reports.
Vendor Project Manager	Responsible for overseeing vendor project management activities, including representation of vendor in agency Change Control Board meetings.
	Works with Modernization Program and project staff and Change Control Analyst to produce accurate change reporting.
	Ensures that Modernization change control processes are followed by vendor staff.
	Collaborates with agency staff to prepare communications to impacted groups, including vendor staff.
Change Control Board (CCB)	Established for a project once Stage Gate 3 endorsement has been received.
	Reviews proposed change requests impacting project scope, schedule, or budget, along with impact analysis, and makes decisions or recommendations about whether the change should be approved, denied, or escalated.
	Resolves change conflict where two or more change requests or recommended solutions are in conflict.

Role	Responsibilities
Change Control Analyst (Modernization Program Business Analyst)	Responsible for executing change control management processes, ensuring that appropriate organizational structure, processes, and tools are present and working effectively.
	Maintains the Change Control Plan and conducts regular assessments to identify how processes could be improved.
	Enters and maintains all change requests within the change control registry.
	Reviews proposed change requests with change originators and facilitates analysis of impacts to scope, schedule, budget, policy, processes, etc.
	Facilitates the Change Control Board meetings and presents change requests for decision by the Change Control Board.
	Monitors progress of change requests until completed and closed.
	Provides change request metrics to Modernization Program Manager for inclusion within status reports.
	Communicates status of a change request and final decision back to the change originator, and other impacted groups, as described and elaborated in the Modernization Program Governance Plan.
	Escalates change requests to appropriate decision maker or governance body.
Change Originator	Identifies the potential change and affected programs and/or partners.
	Prepares the change request form.
	Prepares supporting documentation for the change.
	Involves designated business and technical experts when performing analysis and developing change request, so that the CCB has trust and confidence that the recommended change is thorough and accurate.
	Submits the change request to the Modernization Change Control Analyst.
Modernization Quality and Risk Analyst	Monitors and facilitates management of change control related risks.
	Conducts quality control reviews of change control processes.
Independent quality management services (iQMS) vendor	Conducts independent quality control reviews of change control processes.
	Attends CCB meetings.

Change Control Board

The CCB is established for a project once Stage Gate 3 endorsement is received. Its purpose is to review and approve, deny, or escalate proposed changes to project scope, schedule, or budget. This board is comprised of program and project leaders. In many cases, impacts that reach specified thresholds

require the board to escalate the decision to a higher governing committee, such as the Modernization Executive Steering Committee or Modernization Executive Sponsor. In this case, the board is responsible for ensuring that an appropriately thorough analysis has been conducted, expected impacts are identified, and a recommendation is made.

Separate change control boards will be established for different modernization projects.

MEMBERSHIP AND DECISION-MAKING

The CCB is comprised of leaders representing the project's business, technical, and project management roles. The solution vendor and technical experts may also attend meetings so that complexities, dependencies, and impacts are fully considered to avoid unintended consequences.

For the UI Modernization Project, members include:

- Modernization Change Control Analyst (Facilitator)
- Modernization Director
- Modernization Deputy Director
- Modernization Program Manager
- Project business team manager(s)
- Project technical team manager
- Modernization Quality and Risk Analyst
- Vendor project manager

All members are voting, except for the Modernization Change Control Analyst. Decisions will be made by consensus. If consensus cannot be reached the decision will be escalated to the appropriate governing body. See the program's Governance Plan for further details on the decision process and points of escalation.

MEETING FREQUENCY AND FORMAT

The Modernization Change Control Analyst will schedule all CCB meetings. Meetings may be regularly scheduled (e.g., monthly), convened as necessary if decisions are needed that should not be delayed, or to accommodate the number of change requests proposed.

The Modernization Change Control Analyst facilitates the CCB meetings and will prepare agendas, report status of pending changes, and present newly proposed change requests at the meeting.
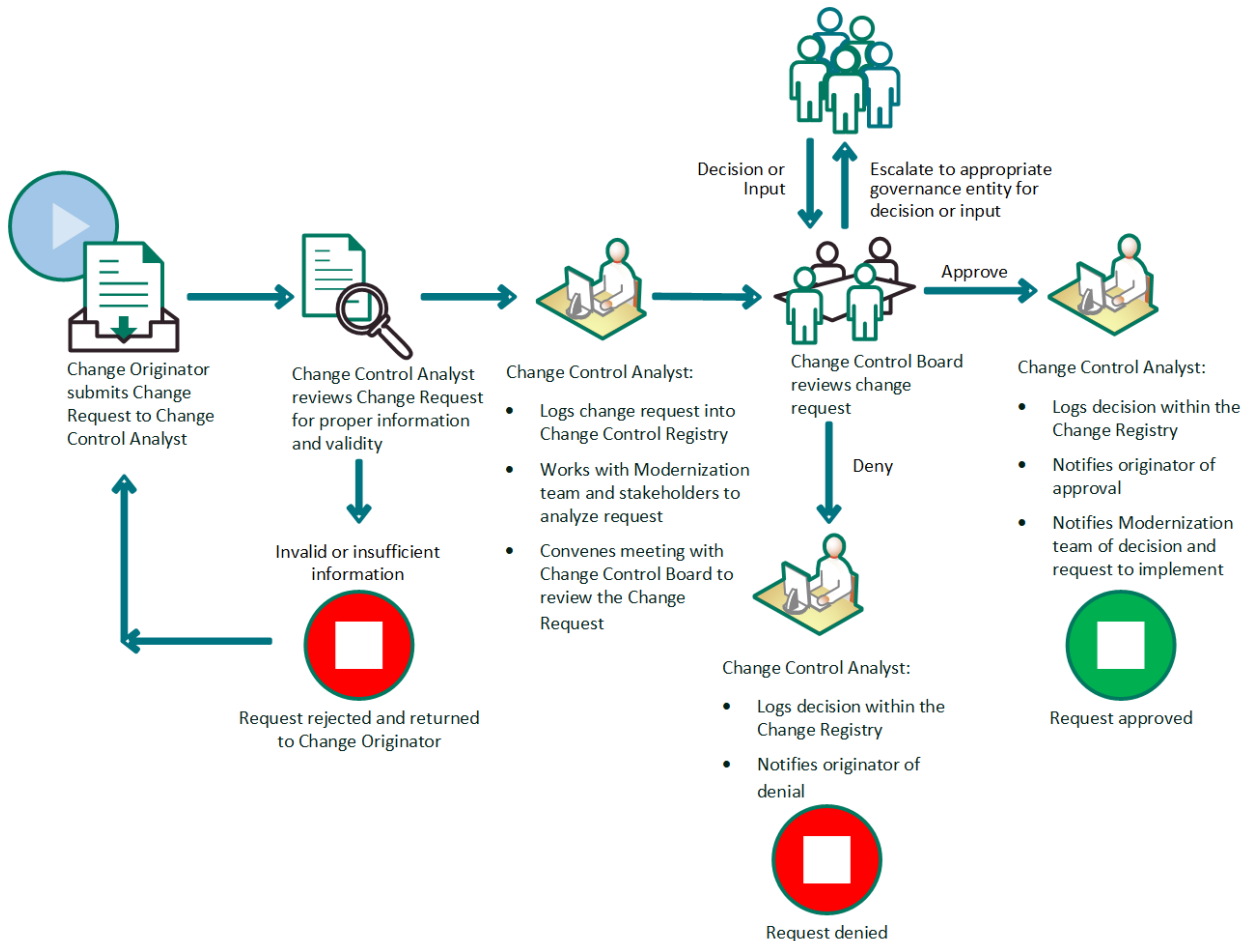
Change Control Process

STANDARD PROCESS

The change control process manages proposed adjustments to project baselines to ensure changes are transparent, thoughtfully analyzed, and agreed upon. The change control process consists of the following activities:

- Initiation and assessment of change requests
- Analysis of change requests
- Review, approval, denial, or escalation of change requests
- Implementation and closure of approved change requests
- Communication and tracking of change requests

Figure 1 – Change Control Process

EMERGENCY PROCESS

An emergency process will be used when a change decision is required and the CCB is not available to meet.

If a change requires an immediate decision and a meeting of the CCB is not possible, the Modernization Change Control Analyst communicates with the CCB members electronically and asynchronously to review the change request and determine consensus. In the event that electronic or other contact with the CCB is not possible, the Modernization Director may make a decision regarding the change.

No matter the process, the Change Control Analyst is responsible for logging the decision in the Change Registry and notifying the change originator of the result.

Change Request Proposal

CHANGE REQUEST ORIGINATION

Change can be introduced into a project for many reasons such as the desire for additional functionality, modification of existing requirements, perceived opportunities to improve outcomes, or as a response

to changing information or circumstances. Change requests may originate from various sources including the project team, a vendor, or agency staff.

THRESHOLDS FOR CHANGE REQUEST ESCALATION

The escalation thresholds for change requests follow the program's decision process as outlined within the program's Governance Plan. The Modernization Change Control Analyst will forward change request escalations to the appropriate decision maker or decision-making body.

Thresholds requiring escalation to the Modernization Executive Steering Committee or Modernization Executive Sponsor include:

Budget

- Any change that would cause a project's approved budget to be re-baselined (+/-10% after Stage Gate 3 endorsement).
- Any change that would lead to the use of modernization contingency funds.
- Further detail can be found in the Modernization Program Budget Management Plan.

Scope

- Any change that would lead to a substantial change in a project's approved scope.
- Any change that would require customization. Customization refers to system modifications that override core functionality, or require deviation from standard maintenance and support (e.g. cannot apply standard updates, patches, or upgrades without further modification or development to accommodate changes).
- Changes that impact statements of work or contract parameters. Vendors should be involved in review and able to provide feedback and analysis for consideration of the change request.
- Further detail can be found in the Modernization Program Scope Management Plan.

Schedule

- Any change that would cause a project's approved schedule to be re-baselined (+/-10% after Stage Gate 3 endorsement).
- Any change that would impact the timing of significant milestones.
- Any change that could introduce significant risk, such as impacting multiple work streams or design documents.
- Any change that could impact assumptions or constraints that are explicitly or implicitly affecting design and implementation.
- Any change that could impact resource availability or timing across multiple units or work streams.
- Further detail can be found in the Modernization Program Schedule Management Plan.

CHANGE REQUEST TOOLS

Change Request Form

A change request form is used to document the nature of a requested change. All change requests will be numbered for tracking and archival purposes. The Modernization Change Control Analyst is the point of contact for all change requests, and will work with the originator of the change request to gather and document pertinent information. The Modernization Change Control Analyst maintains the change control registry and monitors requests as they move through the change process.

Once received, the Modernization Change Control Analyst reviews the change request to ensure appropriate and sufficient information is documented. If the change request is not necessary or does not include sufficient information, the Modernization Change Control Analyst will return the request and communicate the reason to the change originator. No entry is made within the change control registry. The originator may choose to re-submit the change request with additional information.

If the change request is accepted, the Modernization Change Control Analyst logs an entry within the change control registry with the status of "Pending" and begins the analysis process.

See Appendix A for an example of the change request form.

Implementation Vendor Tools

A project may choose to use an implementation vendor's tools to create, process, and manage change requests.

Change Control Registry

The Modernization Change Control Analyst enters and monitors requests in the change control registry to ensure requests are resolved and clearly documented. The project's CCB will review change requests and metrics as needed to monitor the status of open requests. As a change request moves through the change control process, the Modernization Change Control Analyst will update the status as appropriate. The list of statuses is as follows:

- Pending (change documented and awaiting review).
- Approved-Deferred (change approved, but implementation deferred).
- Approved-In progress (change approved and is being implemented).
- Approved-Completed (change approved and is implemented).
- Denied (change was denied).

See Appendix B for an example of the change control registry.

Change Request Analysis

The Modernization Change Control Analyst works with the Modernization team to analyze the change request, understand options for how the change might be implemented, and assess possible impacts of the change. Tasks and resources necessary to implement the change are identified, and time, effort, and costs are estimated. Care must be taken to ensure all aspects of the change impact are considered, and that affected units (business areas within the agency, as well as partners or vendors that may be impacted) are consulted. Many interdependencies exist within a project, and changes in one area may have impacts in other areas. For example, scope changes typically have an effect on the project schedule and budget. The analysis should include identification of whether the resulting impacts are such that the CCB may make a decision, or whether the request must be escalated to the Modernization Executive Steering Committee, Modernization Executive Sponsor, or Modernization (Director) Sponsor.

Once analysis is complete, the Modernization Change Control Analyst updates the change control registry with information from the change request. The change request is then referred to the project's CCB for consideration at the next meeting. If the change request requires immediate attention, the Modernization Change Control Analyst will attempt to contact the CCB members outside of a regularly scheduled meeting to get direction and consensus, or the emergency request process will be followed.

Change Request Review

The CCB meets to review proposed change requests. The CCB reviews the request, along with the supporting analysis, and considers the following factors:

- Risk to the business if the change is implemented or not implemented.
- Risk to the project if the change is implemented or not implemented.
- Impact to budget, schedule, resources, or scope.
- Impact to operations.
- Impact to project risks and project issues.
- Potential need to escalate the change request to a higher governance body for input or decision.

A change request may be acted upon in three ways:

Approval – If the change request is approved by the CCB, the Modernization Change Control Analyst updates the change control registry to indicate the approval of the change request, and changes the status to "Approved-In Progress." The Modernization Change Control Analyst notifies the change originator of the decision and, depending on the scale of the change, sends the change request to the Modernization Program Manager for incorporation into the program or project work and schedule. In some instances, implementation of a change may be deferred to a later date. In this situation, the status is changed to "Approved-Deferred," and comments are noted indicating the reasons for the deferral and information relating to when the change will be considered.

Denial – If the change request is denied by the CCB, the Modernization Change Control Analyst updates the change control registry to indicate the denial of the change request, and updates the status to "Denied." The Change Control Analyst notifies the change originator that the change was denied and provides any supporting justification or explanation. A change request may be denied for the following reasons:

- Request does not align with the goals and objectives of the project.
- Request is valid, but the impact to project scope, schedule, or budget is too severe to implement.
- Request is valid, but constraints (e.g., legislative, technical, or contractual) make the request difficult or impossible to implement.

Escalation – Specific types of requests must be escalated for a decision or input from a higher governance body. The escalation thresholds for change requests follow the program's decision process as outlined within the program's Governance Plan. The Modernization Change Control Analyst will forward the change request to the appropriate decision maker. Decisions or input are brought back to the CCB and the Modernization Change Control Analyst for awareness and documentation.

Change Request Implementation

When a change request is approved, the Modernization Program Manager, a project business team manager, or project technical team manager works with the program or project team and solution vendor (as necessary) to begin the process of implementing the change. Implementation of a change request will likely require adjustments to tasks and estimates as determined during the change analysis process. These adjustments are then incorporated within schedule, scope, or budget baselines as

appropriate. The Modernization Program Manager works with the team to prepare communications to impacted groups.

For the UI Modernization Project, approved changes relating to requirements are noted in Delivery Workbench, the software solution's project management tool, and communicated with project staff. For the Workforce Modernization Project, specific communication and implementation processes will be determined when a vendor is selected and the project is being executed.

Once the changes have been implemented, the Modernization Change Control Analyst updates the change request and the change control registry to record the actual changes made and any differences from what may have been requested in the original change request. The Modernization Change Control Analyst then updates the change control registry with a status of "Approved-Completed." The change request documentation is updated and stored in the program's document repository. The Modernization Change Control Analyst notifies the change originator that the change has been completed.

Reporting

The Modernization Change Control Analyst prepares regular change control reports that reflect submission of new change requests or action taken on pending requests. These reports are incorporated within the project monthly status report. See Appendix C for an example of the change control report.

Approving Authorities

Renee Royston
Renee ROYSTON (May 5, 2023 13:49 PDT)

Renee Royston, Modernization Program Sponsor Modernization Director	Date

David B FORD
David B FORD (May 8, 2023 14:15 PDT)

David Ford, Modernization Program Manager	Date

Christopher CHASE
Christopher CHASE (May 30, 2023 14:48 PDT)

Christopher Chase, Modernization Change Control Analyst	Date

Appendix A – Change Request Form

The change request template is located in the following folder: Q:\00 Program Management\Change Control\Templates.

Change Request Form

<div style="text-align: right">

Change Request No. _____

</div>

1. CHANGE IDENTIFICATION

Submittal date:	Title:		Originator:

☐ IT requested change ☐ Business requested change ☐ Contractor requested change

Change category	Category (check all that apply):
☐ Internal ☐ External	☐ Budget ☐ Schedule ☐ Scope ☐ Other Urgency (check one): ☐ High ☐ Medium ☐ Low Impact (check one): ☐ High ☐ Medium ☐ Low

Proposal (describe the change being requested):
Catalyst (what event(s) made this change necessary):
Justification (why is the change needed?):

2. CHANGE IMPACTS

BUDGET IMPACT

Proposed change:		
One-time costs	Ongoing costs	Total costs
$	$	$
Impacts on cash flow:		

SCHEDULE IMPACT

Proposed change:

SCOPE IMPACT

Proposed change:

OTHER IMPACTS

Impact on risk:
Impact on staffing:
Other (customers, partners, equity and inclusion, etc.):

3. IMPLEMENTATION DETAILS

Budget action required?	☐ No ☐ Yes Type:
Implementation (describe how the proposed change will be incorporated into the project):	

4. REVIEWS AND APPROVALS

Change Control Board Review

Recommendation:	
Decision: ☐ Approve ☐ Deny ☐ Escalate	Decision Date:
Comments:	
Only complete the following section in the event of an escalation	

Governance Entity Review

Escalated to:	
Decision: ☐ Approve ☐ Deny	Decision Date:
Comments:	

Appendix B – Change Control Registry

The Change Control Registry is located in the following folder: Q:\00 Program Management\Change Control.

Change Control Registry

Change #	Date	Originator	Change Description	Escalated?	Decision	Decision Date	Status	Comments

Appendix C – Change Control Report

Historical change control reports are located in the following folder: Q:\00 Program Management\Change Control\Reports.

Change Control Report

Changes reviewed by the change control board this month are shown below.

Total changes approved to date: XX

ID	Date Submitted	Change Area	Change Description	Decision Date	Decision
##	XX/XX/XXXX	[Scope / Schedule / Budget]	[Brief narrative description of the change and impact]	XX/XX/XXXX	[Approved / Denied]

Modernization Change Control Plan V3.0

Final Audit Report   2023-05-30

Created:	2023-05-05
By:	Martin KRAAL (martin.e.kraal@employ.oregon.gov)
Status:	Signed
Transaction ID:	CBJCHBCAABAAHJDK8UCjimZBh_Fjg2CjbOUb0-9teSja

"Modernization Change Control Plan V3.0" History

📄 Document created by Martin KRAAL (martin.e.kraal@employ.oregon.gov)
2023-05-05 - 8:46:50 PM GMT

📧 Document emailed to Renee ROYSTON (renee.royston@employ.oregon.gov) for signature
2023-05-05 - 8:47:42 PM GMT

📧 Document emailed to David FORD (david.b.ford@employ.oregon.gov) for signature
2023-05-05 - 8:47:42 PM GMT

📧 Document emailed to Christopher CHASE (christopher.g.chase@employ.oregon.gov) for signature
2023-05-05 - 8:47:43 PM GMT

📄 Email viewed by Renee ROYSTON (renee.royston@employ.oregon.gov)
2023-05-05 - 8:48:51 PM GMT

✍ Document e-signed by Renee ROYSTON (renee.royston@employ.oregon.gov)
Signature Date: 2023-05-05 - 8:49:47 PM GMT - Time Source: server

📄 Email viewed by David FORD (david.b.ford@employ.oregon.gov)
2023-05-08 - 9:14:28 PM GMT

✍ Signer David FORD (david.b.ford@employ.oregon.gov) entered name at signing as David B FORD
2023-05-08 - 9:14:59 PM GMT

✍ Document e-signed by David B FORD (david.b.ford@employ.oregon.gov)
Signature Date: 2023-05-08 - 9:15:01 PM GMT - Time Source: server

📄 Email viewed by Christopher CHASE (christopher.g.chase@employ.oregon.gov)
2023-05-30 - 9:47:05 PM GMT

📧 New document URL requested by Christopher CHASE (christopher.g.chase@employ.oregon.gov)
2023-05-30 - 9:47:27 PM GMT

Document e-signed by Christopher CHASE (christopher.g.chase@employ.oregon.gov)
Signature Date: 2023-05-30 - 9:48:21 PM GMT - Time Source: server

Agreement completed.
2023-05-30 - 9:48:21 PM GMT