

Modernization Program Change Control Plan

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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 taxes, payment of unemployment insurance benefits, and delivery of employment services will be replaced. 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 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 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
- Stakeholders are notified of approved changes.

Document Audience

This document is intended for these primary audiences:

- **Program 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** – 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 program's risk management plan for further details on the risk and issue process.

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 negative impact to modernization 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 program management plan and the program’s governance plan.

CONSTRAINTS

If project baselines change by +/- 10%, Office of the State Chief Information Officer must be notified and review for re-endorsement.

Roles and Responsibilities

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

Figure 1 – Roles and Responsibilities

Role	Responsibilities
Modernization Sponsor (Modernization Director)	Makes change decisions as part of the emergency change process. Escalates change requests to appropriate governance body.
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	Develops the change control strategy, and works with Modernization Change Control Analyst to develop sufficient management processes. Incorporates change control metrics within status reports.
Change control board	Reviews proposed change requests, along with impact analysis, and makes decisions or recommendations about whether change should be approved or escalated. Resolves change conflict where two or more change requests or recommended solutions are in conflict.

Role	Responsibilities
Modernization Change Control Analyst	<p>Develops and maintains the change control plan and conducts regular assessments to identify how processes could be improved.</p> <p>Enters and maintains all change requests within the change control registry.</p> <p>Reviews proposed change requests with change originators and facilitates analysis of impacts to scope, schedule, budget, policy, processes, etc.</p> <p>Facilitates the change control board and presents change requests for decision by the change control board.</p> <p>Monitors progress of change requests until completed and closed.</p> <p>Provides change request metrics for review by the change control board and for inclusion within status reports.</p> <p>Communicates status of a change request and final decision back to the change originator.</p>
Change originator	<p>Identifies the potential change and change stakeholders.</p> <p>Prepares the change request form.</p> <p>Prepares supporting documentation for the change.</p> <p>Submits the change request to the Modernization Change Control Analyst.</p> <p>Communicates change request decision back to change stakeholders.</p>
Modernization Quality and Risk Analyst	<p>Monitors and facilitates management of change control related risks.</p> <p>Conducts quality control reviews of change control processes.</p>
Independent quality management services (iQMS) vendor	<p>Conducts independent quality control reviews of change control processes.</p>

Change Control Board

The change control board reviews 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 executive sponsor. In this case, the board is responsible for ensuring that appropriately thorough analysis has been conducted, expected impacts are identified, and a recommendation is made.

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

MEMBERSHIP AND DECISION-MAKING

The change control board 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.

Members include:

- Modernization Change Control Analyst (Facilitator)
- Deputy Modernization Director
- Modernization Program Manager
- Project business managers
- Project technical managers

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 recurring meetings, which will be cancelled when not needed. Meetings may be convened as necessary if decisions are needed that should not be delayed until the next regularly scheduled meeting.

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

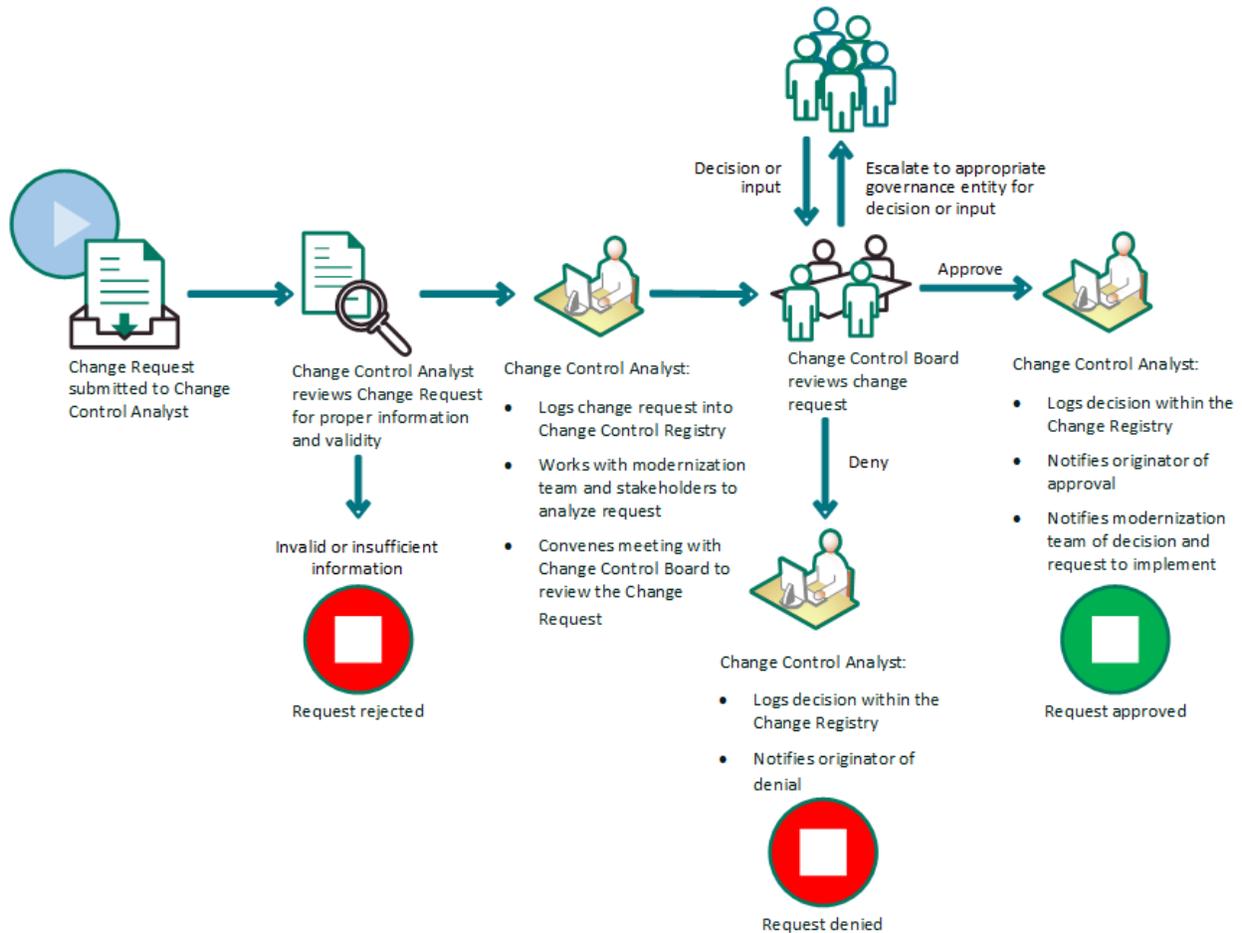
Change Control Process

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
- Approval or rejection of change requests
- Implementation and closure of approved change requests
- Communication and tracking of change requests

Figure 2 – Change Control Process



EMERGENCY PROCESS

The emergency process will be used sparingly. If a change requires an immediate decision, and a meeting of the change control board is not possible, the Modernization Change Control Analyst can communicate the request to change control board members via email or phone to determine consensus.

In the event that e-mail and phone contact with the change control board is not possible, the Modernization Sponsor may make a decision regarding the change.

Change Request Proposal

CHANGE REQUEST ORIGATION

Change can be introduced into a project for many reasons such as the desire for additional functionality, perceived opportunities to improve outcomes, or as a response to changing information or circumstances. Change requests may originate from various sources such as the project team, a vendor, or a stakeholder.

THRESHOLDS FOR CHANGE REQUEST

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

Budget

- Any change that would cause the project's approved budget to be re-baselined.
- Any change that would lead to the use of modernization contingency funds.

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).
- Any change that would lead to the project's approved scope to be re-baselined. (e.g. changes to systems, interfaces, or requirements).

Schedule

- Any change that would impact the timing of milestones, such as a phase or stage gate milestone.

Thresholds requiring referral to the change control board include all of the above plus:

- Any change that could introduce significant risk which must be assessed, for example by 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.

CHANGE REQUEST FORM

A change request form is used to document the nature of a requested change. The Modernization Change Control Analyst is the point of contact for all change requests. 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 (does not impact change thresholds) 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.

Change Control Registry

The Modernization Change Control Analyst monitors requests in the change control registry to ensure requests are resolved and clearly documented. The project's change control board will regularly review change request metrics 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 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 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. 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 Change Control Board may make a decision, or whether the request must be escalated to the Modernization Executive Steering Committee or Modernization Executive 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 appropriate change control board for consideration at the next meeting. If the change request requires immediate attention, the Modernization Change Control Analyst will attempt to contact the change control board members outside of a regularly scheduled meeting to get direction and consensus, or they will follow the emergency request process.

Change Request Review

The change control board meets to review proposed change requests. The change control board reviews the request, along with 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 review or input

The OSCIO requires review for re-endorsement when changes cumulatively impact project baselines (one or more of scope, schedule, or budget) by 10% (regardless of direction). If the cumulative effect of changes are sufficient to trigger review, OSCIO will be notified and involved in the analysis prior to approval.

A change request may be acted upon in three ways:

Approval – If the change request is approved, the Modernization Change Control Analyst updates the change control registry to indicate the decision, and changes the status to “Approved-In Progress.” The Modernization Change Control Analyst notifies the change originator of the decision, and 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, the Modernization Change Control Analyst updates the change control registry to indicate the decision, updates the status to “Denied,” and 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 decision or input by a higher governance body. The escalation thresholds for change requests follows 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 change control board and the Modernization Change Control Analyst for ratification and documentation.

Change Request Implementation

When a change request is approved, the Modernization Program 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 stakeholders.

Once the changes have been implemented, the Modernization Change Control Analyst updates the change request and change control registry to record the actual changes made and any differences from what was 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 project status reports. See Appendix C for an example of the change control report.

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\014\Shared\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.

Approving Authorities

Ethan Benatan

Ethan Benatan (Jun 3, 2019)

Ethan Benatan, Modernization Sponsor
Modernization Director

Date

Jennifer Hannan

Jennifer Hannan (Jun 3, 2019)

Jennifer Hannan, Modernization Program Manager

Date

[Individual to be determined], Modernization Change Control Analyst Date

Appendix A – Change Request Form

Change Request Form

Change Request No. _____

1. CHANGE IDENTIFICATION

Submittal date:	Title:	Originator:
Change category <input type="checkbox"/> Internal <input type="checkbox"/> External	Category (check all that apply): <input type="checkbox"/> Budget <input type="checkbox"/> Schedule <input type="checkbox"/> Scope Urgency (check one): <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low Impact (check one): <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	
Proposal (describe the change being requested):		
Justification (why is the change needed?):		

2. CHANGE IMPACTS

BUDGET IMPACT

Proposed change:		
One-time costs	Ongoing costs	Total costs
\$	\$	\$

SCHEDULE IMPACT

Proposed change:

SCOPE IMPACT

Proposed change:

OTHER IMPACTS

Impact on risk:
Impact on staffing:
Other:

3. IMPLEMENTATION DETAILS

Implementation (describe how the proposed change will be incorporated into the project):
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4. REVIEWS AND APPROVALS

<input type="checkbox"/> Reviewer <input type="checkbox"/> Approver	Name:	Date reviewed/approved:
<input type="checkbox"/> Reviewer <input type="checkbox"/> Approver	Name:	Date reviewed/approved:
<input type="checkbox"/> Reviewer <input type="checkbox"/> Approver	Name:	Date reviewed/approved:
<input type="checkbox"/> Reviewer <input type="checkbox"/> Approver	Name:	Date reviewed/approved:
<input type="checkbox"/> Reviewer <input type="checkbox"/> Approver	Name:	Date reviewed/approved:
<input type="checkbox"/> Reviewer <input type="checkbox"/> Approver	Name:	Date reviewed/approved:

Change Control Board Review

Recommendation:	
Evaluation conducted by:	Evaluation date:
Decision:	
Decision date:	
<p>Scope Change:</p> <p><input type="checkbox"/> Approved request as submitted</p> <p><input type="checkbox"/> Denied</p> <p><input type="checkbox"/> Need more information by:</p> <p><input type="checkbox"/> Postponed - Reconsider on:</p>	
<p>Schedule:</p> <p><input type="checkbox"/> Approved amount: \$</p> <p><input type="checkbox"/> Denied – Reason:</p> <p><input type="checkbox"/> Need more information by:</p> <p><input type="checkbox"/> Postponed – Reconsider on:</p> <p>Change of baseline schedule:</p> <p><input type="checkbox"/> Approved end date:</p> <p><input type="checkbox"/> Denied – Reason:</p>	
<p>Budget:</p> <p><input type="checkbox"/> Approved amount: \$</p> <p><input type="checkbox"/> Denied – Reason:</p> <p><input type="checkbox"/> Need more information by:</p> <p><input type="checkbox"/> Postponed – Reconsider on:</p> <p>Change of baseline budget:</p> <p><input type="checkbox"/> Approved amount: \$</p> <p><input type="checkbox"/> Denied – Reason:</p>	
Comments:	

Appendix C – Change Control Report

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 V2.0

Final Audit Report

2019-06-04

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