



# Change Management Plan

## *Centralized Revenue Opportunity System*

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November 2014

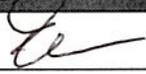
Version 1.0

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Date Submitted for Review: 11/04/2014

**Formal Review**

My signature below indicates I have reviewed this document:

Role	Reviewer Name	Signature	Date Reviewed
Project Director	Eric Steen		11/5/14

Version Number	Version Date	Revision Author	Summary of Major Changes Made
1.0	11/5/14	Rick Alfaro	Reviewed and Approved by Project Director.

## Document Review Cycle

This document is reviewed annually and as needed throughout the Project's lifecycle. The goal of the review is to verify the relevance of the Plan to the business needs of the CROS Project and update the Plan accordingly.

## Table of Contents

1. Overview .....	1
1.1 Purpose .....	1
1.2 Scope.....	1
1.3 Roles and Responsibilities.....	2
2. Entering, Analyzing, and Routing/Escalating Change Requests.....	3
2.1 Submits Request .....	5
2.2 Analyzes and Documents Impact.....	6
2.2.1 Initial Analysis .....	6
2.2.2 Detailed Impact Analysis.....	7
2.3 Approves, Rejects, or Escalates Change.....	8
2.4 Changes Status and Sends Notifications.....	9
2.5 Escalates to CCB or ESC.....	9
2.5.1 Approves/Rejects/Defers.....	9
2.5.2 Changes Status and Sends Notifications.....	10
Appendix A – References and Terms .....	12
A.1 Referenced Documents.....	12
A.2 Definitions of Acronyms and Terms.....	12

## 1. Overview

### 1.1 Purpose

The Change Management Plan describes the processes by which the CROS Project requests, analyzes, reviews, and authorizes changes. The purpose of Change Management is to document, manage, and coordinate changes to the Project's scope, schedule, or cost.

### 1.2 Scope

The scope of this document is limited to the activities that support changes to the Project's scope, schedule, or cost.

This plan documents the following activities:

- **Entering Change Requests** – How CROS Project Team Members (State and Contractor) enter Change Requests into the CROS Change Management list in SharePoint.
- **Analyzing Change Requests** – How the CROS Change Analyst coordinates and documents the analysis of Change Requests to determine impacts to the Project's scope, schedule, or cost. This includes the methodology for quantifying the impact of the Change Requests so Change Requests can direct them to the appropriate teams for review.
- **Approving Change Requests** – How the CROS Change Analyst and those with the authority to approve Change Requests.
- **Communicating Change Requests** – How the CROS Change Analyst communicates Change Requests and their dispositions to affected teams and individuals.

### 1.3 Roles and Responsibilities

Role	Responsibilities
Executive Steering Committee (ESC)	Approves Change Requests that: <ul style="list-style-type: none"> <li>• Require schedule changes that have an impact to the release or project's critical path that is greater than 10%</li> <li>• Result in a cost impact of over one million dollars</li> </ul>
Project Director or Designee	<ul style="list-style-type: none"> <li>• Provides final approval over decisions made by the Change Control Board (CCB)</li> </ul>
CCB	Approves Change Requests that: <ul style="list-style-type: none"> <li>• Require schedule changes that have an impact to the release or project's critical path that is greater than 5% and less than 10%</li> <li>• Result in a cost impact of less than one million dollars</li> <li>• Require a contract change (contract Amendment or Work Authorization)</li> <li>• Were escalated after Affected Teams' review failed to reach agreement</li> </ul>
Change Analyst	<ul style="list-style-type: none"> <li>• Monitors the CROS Change Management list</li> <li>• Analyzes Change Requests</li> <li>• Routes Change Requests to the appropriate teams(s) for approval</li> <li>• Coordinates the analysis of Change Requests</li> <li>• Attends and supports the CCB meetings</li> <li>• Communicates the dispositions of Change Requests to affected teams and individuals</li> </ul>
Affected Team(s) (Leads or Project Managers)	Approves Change Requests that: <ul style="list-style-type: none"> <li>• Require schedule changes that have an impact to the release that is less than 5% and has no cost impact</li> </ul>
CROS Team Members (State or Contractor)	<ul style="list-style-type: none"> <li>• Enters Change Requests</li> </ul>

## 2. Entering, Analyzing, and Routing/Escalating Change Requests

The following flowchart is an overview of the process for submitting, analyzing, and routing/escalating change requests to the appropriate team.

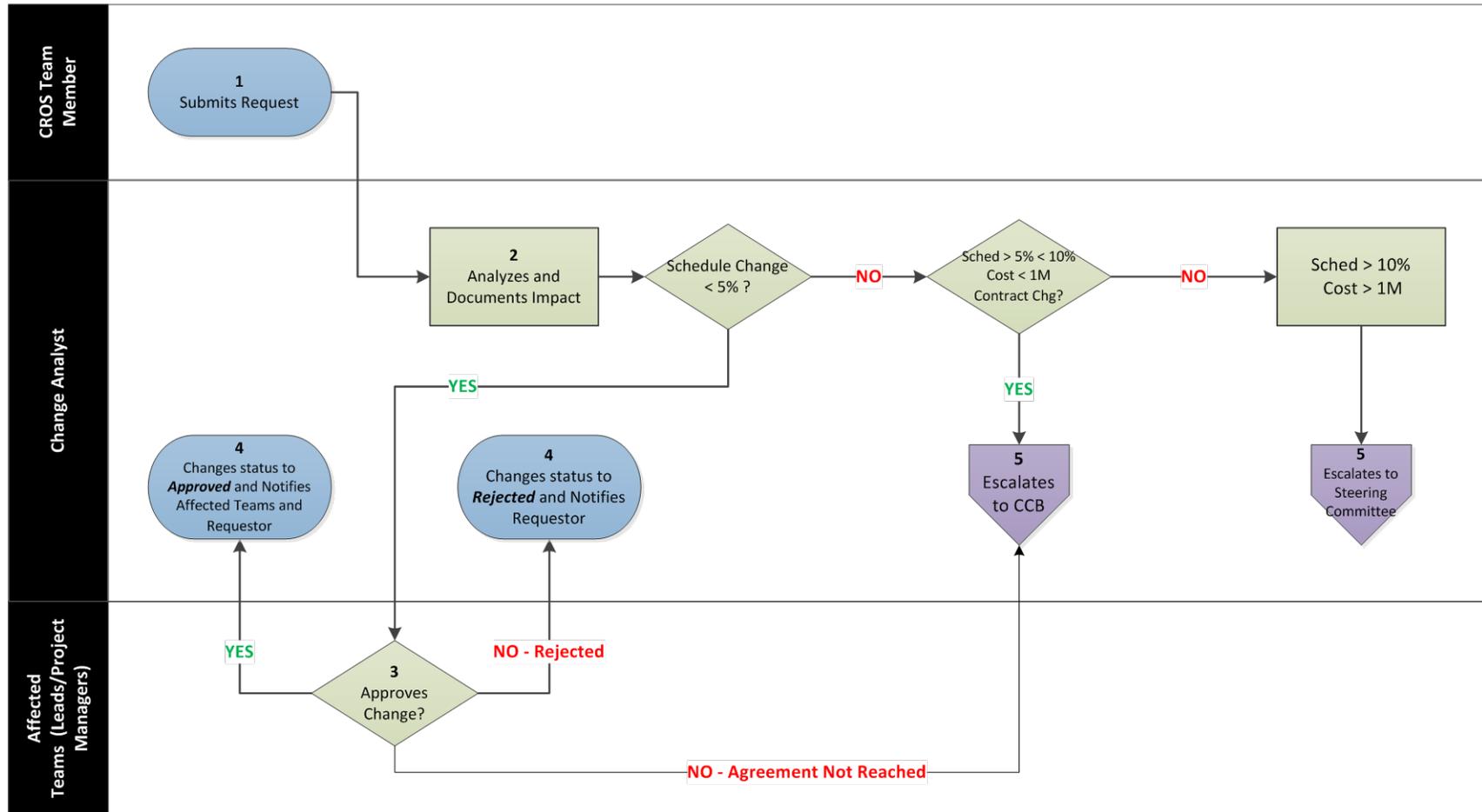


Figure 1 – Entry, Analysis, and Routing/Escalation of Change Requests

This section describes the submission of a new Change Request and the activities that occur after the request is entered, including analyzing and documenting the impact of the change; routing the request for approval, and, when appropriate, escalating it; and notifying the affected teams.

The following table shows the process steps, participants, and outputs in *Figure 1 - Entry, Analysis, and Routing/Escalation of Change Requests*:

Process Step	Participants	Inputs	Outputs
1 – Submits Request	<ul style="list-style-type: none"> <li>Members of the State’s or Contractor’s teams</li> </ul>	<ul style="list-style-type: none"> <li>Description of Change</li> <li>Justification for Change</li> <li>Impact of not Implementing Change</li> <li>Contingency if Change Is Not Implemented</li> </ul>	<ul style="list-style-type: none"> <li>Completed Change Request</li> </ul>
2 – Analyzes and Documents Impact	<ul style="list-style-type: none"> <li>Change Analyst</li> <li>Team Members and Subject Matter Experts (optional)</li> </ul>	<ul style="list-style-type: none"> <li>Affected Items</li> <li>Description of Impact</li> <li>Alternative Solutions Desired</li> <li>Recommended Solution</li> <li>Solution Risk Analysis</li> <li>Implementation Activities</li> <li>Implementation Costs</li> </ul>	<ul style="list-style-type: none"> <li>Updated Change Request</li> <li>Written notifications to the affected teams(s) to review request</li> <li>Notification email to requestor of status change</li> </ul>
3 – Approves, Rejects, or Escalates Change	<ul style="list-style-type: none"> <li>Affected Teams’ Leads or Project Managers</li> </ul>	<ul style="list-style-type: none"> <li>Impact Analysis</li> </ul>	<ul style="list-style-type: none"> <li>Updated Change Request</li> </ul>
4 – Changes Status and Sends Notifications	<ul style="list-style-type: none"> <li>Change Analyst</li> </ul>	<ul style="list-style-type: none"> <li>Notification that a decision has been made</li> </ul>	<ul style="list-style-type: none"> <li>Updated Change Request</li> <li>Written notifications to affected parties and teams</li> </ul>
5 – Escalates to CCB or Executive Steering Committee	<ul style="list-style-type: none"> <li>Change Analyst</li> </ul>	<ul style="list-style-type: none"> <li>Change Request</li> </ul>	<ul style="list-style-type: none"> <li>Updated Change Request</li> <li>Written notifications to the appropriate deciding group for approval of request</li> </ul>

## 2.1 Submits Request

Any individual member of the CROS Project (State or Contractor) may enter a Change Request. A Request may be triggered by events such as:

- The need to change a date in the Master Project Schedule
- Policy changes that affect requirements or project scope
- Legislative changes that affect requirements or project scope

Individuals enter Change Requests into the CROS Change Management list, which is located on the PMO site in SharePoint. To enter a new request, Select either the **Add New Item** link at the bottom of the list:



The **CROS Scope Management – New Item** dialog box is shown:

CROS Change Management - Forms and Reports Binder

View

 Alert Me  
 Delete Item  
 Edit Item

 Close  
 Close

**Change Request**

<b>ID:</b> 1	
<b>Title:</b> Forms and Reports Binder	
<b>Date Submitted:</b> 11/3/2014	<b>Expected Resolution Date:</b> 9/30/2015
<b>Requestor:</b> Williams, Valerie	
<b>Priority:</b> Medium	<b>Status:</b> Change Approved

**Description of Change**

This effort will identify, define, prioritize, and streamline all of the BOE forms and reports within the scope of the CROS Project.

**Justification for Change**

Project management requirement M.DEVL.04.05 specifies the contractor must develop and deploy the "top 300 " reports and all applicable forms in the new system. This effort will be an input into the implementation of the CROS Forms and Reports solution.

**Impact of Not Implementing Change**

This work will need to be done during the Implementation Phase.

Complete these fields:

- **ID** – This is a system-generated field and cannot be changed. A number will not be assigned until the item is saved.
- **Title** – Enter a short description of the change. This field is mandatory.
- **Date Submitted** – This is a system-generated field that defaults to the current date and cannot be changed. A date will not be assigned until the item is saved.
- **Expected Resolution Date** – Enter the date by which the change decision must be made.
- **Requestor** – Enter the name of the requestor.
- **Priority** – The default is *Medium*; select *High*, *Medium*, or *Low*.
  - ♦ *High*: Risk for successful completion of the project is high or change is critical for the functional viability of the product.
  - ♦ *Medium*: Risk for successful completion of the project is medium or change would significantly enhance the functional viability of the product.
  - ♦ *Low*: Risk for successful completion of the project is low or change would enhance ease of use.
- **Status** – The default is *Entered*; leave this as-is.
- **Description of Change** – Describe the change.
- **Justification of Change** – Describe the reason the change needs to be made.
- **Impact of Not Implementing the Change** – Describe the impact of the change being rejected or deferred.
- **Contingency if Change is Not Implemented** -- Describe the planned activities if the change is rejected or deferred.

Click **Save** to complete the Change Request.

## 2.2 Analyzes and Documents Impact

The CROS Change Analyst monitors the CROS Change Management list. For all new Requests, the Change Analyst is responsible for performing the initial analysis of a Change Request, documenting a Detailed Impact Analysis, and coordinating any additional analysis that Subject Matter Expert(s) need to do.

### 2.2.1 Initial Analysis

The purpose of the Change Analyst's initial analysis is to determine if the Affected Teams can approve the Change Request or if the Analyst should escalate it to higher levels for approval. In general, Requests that are not escalated are low-impact schedule changes and will not require detailed analysis; escalated Changes will have a higher impact and require detailed analysis. The Change Analyst uses the following criteria:

- For Change Requests that impact the release or project's critical path less than 5% and have no cost, the lead(s) or manager(s) from the Affected Team(s) may review and decide on whether to approve or reject the Request.

- For Change Requests that
  - ♦ Impact the release or project’s critical path more than 5% and less than 10%, or
  - ♦ Have a cost that is less than one million dollars, or
  - ♦ Result in a contractual change (contract Amendment or Work Authorization),

The CCB must review and approve/reject the Request.

- For Change Requests that
  - ♦ Impact the release or project’s critical path more than 10%, or
  - ♦ Have a cost that is more than one million dollars, or
  - ♦ Result in a contractual change (contract Amendment or Work Authorization),

The ESC must review and approve/reject the Request.

### 2.2.2 Detailed Impact Analysis

After the Change Analyst has determined the appropriate teams(s) to approve the Request, the Analyst will need to coordinate and document the Impact Analysis. Whether or not the Change is escalated, at minimum the Change Analyst needs to describe the impact, note the affected items, and indicate the approvers for the Change.

To enter the Impact Analysis for a request, open the request in the CROS Change Management list. The **CROS Change Management** dialog box is shown for the request:

**Impact Analysis**

Impact Analyst:

**Affected Items**

Scope   
  Schedule   
 Cost    
 Quality    
 Other

Contract Modification    
 Resources    
 Additional Project Risk

**Affected Teams**

<input type="checkbox"/> Business Intelligence <input type="checkbox"/> Communications <input checked="" type="checkbox"/> Data Readiness <input type="checkbox"/> Interfaces <input type="checkbox"/> IT Operations	<input checked="" type="checkbox"/> Program Area Readiness <input type="checkbox"/> Project Management Office
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**Recommended Solution**

1. Create a electronic binder of forms and reports by December 2014. (Assuming nine months and three full-time limited-term resources.)
2. Assign three resources full-time to work on this effort. (Assumes 500 forms and reports overall.)
3. A SharePoint list data collection tool will be needed.

**Solution Risk Analysis**

1. SharePoint may not be a viable repository.
2. Assumptions of number of forms and reports are not valid.

Scroll down to the **Impact Analysis** section and complete these fields:

- **Impact Analyst** – Enter the name of the analyst completing the Impact section; this will usually be the CROS Change Analyst.
- **Affected Items** – Select the items that will be affected by the change.
- **Affected Teams** – Select the teams who will be affected by the change.
- **Recommended Solution** – Describe the recommended solution.
- **Solution Risk Analysis** – Describe the risk(s) if the recommended solution is implemented.
- **Description of Impact** – Describe the impact on the affected items if the change is approved and implemented.
- **Alternative Solutions Desired** – Describe any alternative solutions to the requested change, including pros and cons of selecting the alternative.
- **Implementation Activities** – List and describe the activities required to implement the recommended solution.
- **Implementation Costs** – Provide the cost, in hours and dollars, to implement the recommended solution.
- **Approvers** – Select *Affected Team(s)*, *CCB*, or *Executive Steering Committee*. If you select *Affected Team(s)*, specify the teams in the **Teams** field.
- **Attachments** – Attach any relevant documentation.

When the detailed analysis is complete, the Change Analyst changes the **Status** field to *Analysis Complete*. Click **Save** to complete the update to the Change Request.

When the status is changed, the Change Analyst notifies the Requestor that the analysis is complete. If the Change Request is not being escalated, the Analyst notifies the lead(s) or manager(s) from the Affected Team(s) that the Request is ready for review and approval.

### 2.3 Approves, Rejects, or Escalates Change

After the lead(s) or manager(s) from the Affected Team(s) review the Change Request for approval, they open the request in the CROS Change Management list and record their approval/rejection in the **Approvals** field:

Approvals	
Test Approves the schedule change.	
Alfaro, Rick	9/30/2014
The Design Team met on 9/27/14 and approves the schedule change.	

When they have documented their reviews and responses to the Request, the Approvers notify the CROS Change Analyst.

**Note:** Once an approval has been entered and saved, it is read-only and cannot be changed.

## 2.4 Changes Status and Sends Notifications

After all of reviewers from the Affected Team(s) have completed their review of the Change Request, the Change Analyst opens the request in the CROS Change Management list and changes the status to *Change Approved* or *Change Rejected*. If the reviewers do not agree on the disposition of the Request, the status remains *Open* and the Change Analyst escalates the Change Request to the CCB for additional review and a decision.

## 2.5 Escalates to CCB or ESC

The CCB or ESC reviews Change Requests that are escalated to them following the Initial and Detailed Analysis. The following sub-sections map to sub-process in the flowchart.

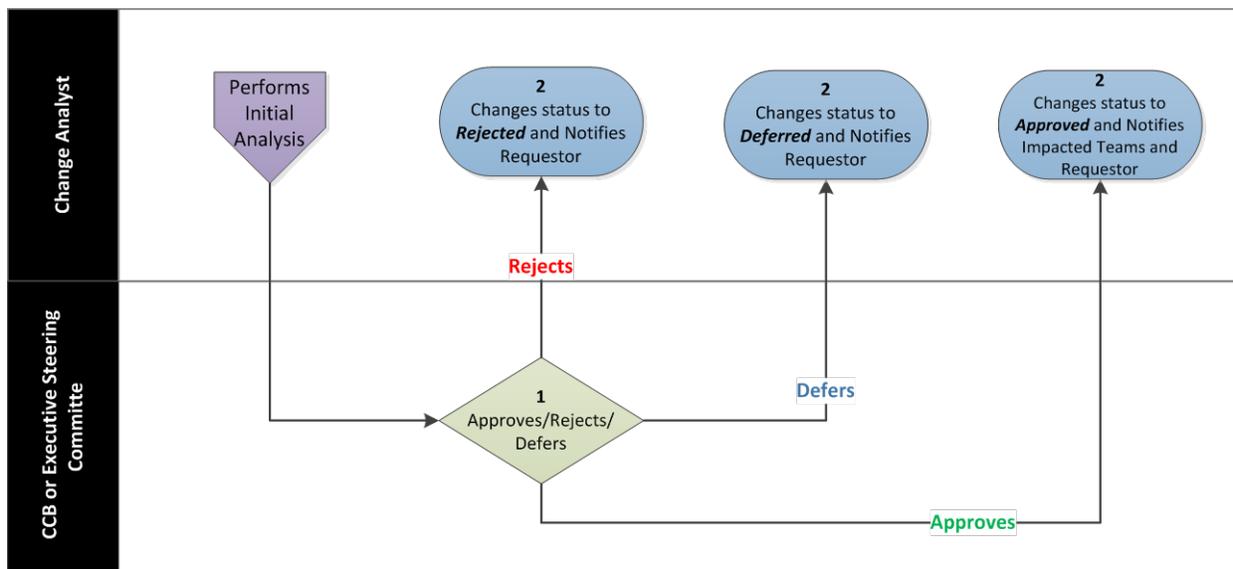


Figure 2 – CCB and ESC Review of Change Requests

The following table shows the process steps, participants, and outputs in *Figure 2 - CCB and ESC Review of Change Requests*:

Process Step	Participants	Inputs	Outputs
1 – Approves/Rejects/Defers	<ul style="list-style-type: none"> <li>CCB or ESC</li> </ul>	<ul style="list-style-type: none"> <li>Change Request with completed Impact Analysis</li> </ul>	<ul style="list-style-type: none"> <li>Completed Change Request</li> </ul>
2 – Changes Status and Sends Notifications	<ul style="list-style-type: none"> <li>Change Analyst</li> </ul>	<ul style="list-style-type: none"> <li>Notification that a decision has been made</li> </ul>	<ul style="list-style-type: none"> <li>Updated Change Request</li> <li>Written notification to affected parties and teams</li> </ul>

### 2.5.1 Approves/Rejects/Defers

Change control items may be escalated to the CCB or ESC if the escalation criteria is met.

### 2.5.1.1 CCB

The CCB meets regularly to discuss and decide on the disposition or escalation of Change Requests. The CCB is comprised of the Project Director, Business and Technical Project Managers, CROS PMO, and the Contractor.

The CCB is comprised of *Voting* and *Non-Voting* members. Voting Members participate in all CCB meetings and decide the disposition of Change Requests; Non-Voting Members attend meetings as requested and provide analysis to assist the Voting Members in making decisions on Requests. Voting Members include the State CROS Management Team, and the Non-Voting Members include the Contractor's Project Manager and any team members the CCB needs to provide expertise related to the Request. The Project Director has final authority on all Requests escalated to the CCB.

### 2.5.1.2 ESC

The ESC is a governing group that is comprised of executive level members from each department of the BOE. The ESC will meet monthly to receive project status updates and discuss issues and concerns related to the CROS Project, including escalated Change Requests. If time is of the essence for a Change Request, a special meeting of the ESC will be scheduled. The CROS ESC consists of:

- BOE Executive Director
- Deputy Director, Sales & Use Tax Department
- Deputy Director, Property & Special Taxes Department
- Chief Information Officer Deputy Director
- Deputy Director, Administration Department
- Chief Legal Counsel
- Deputy Director, External Affairs Department
- Chief Research and Statistics

The Executive Director has final authority on all Requests escalated to the ESC.

## 2.5.2 Changes Status and Sends Notifications

After the CCB or ESC have completed their review of the Change Request, the Change Analyst opens the request in the CROS Change Management list and changes the status to *Change Approved* or *Change Rejected*. If the reviewers need more time or information to complete a disposition of the Request, the Analyst changes the status to *Change Deferred* and, when needed, coordinates the gathering of the necessary information.

The Change Analyst is responsible for notifying the affected parties and teams (State and Contractor) of the final decision on the Change Request. Notifications include:

- The Requestor, who should be notified of the outcome of their request.
- The Affected Teams, who should be notified of any approved changes.
- The CROS Project Schedule Manager(s), who should be notified of changes resulting in a change to the project schedule.

- The CROS Deliverable Manager(s), who should be notified of any changes resulting in a change to the MRD activities or dates.
- The CROS Contract Manager, who should be notified who of changes resulting in the development of a Contract Amendment or Work Authorization, as defined in the *CROS Contract Management Plan*.

## Appendix A – References and Terms

### A.1 Referenced Documents

The Change Management Plan references the following documents:

Document/Version	SharePoint Location
<i>CROS Contract Management Plan, V1.0</i>	TBD
<i>CROS Configuration Management Plan, V1.0</i>	TBD
<i>CROS Document Management Plan, V1.0</i>	TBD
<i>CROS Governance Plan, V2.0</i>	TBD

### A.2 Definitions of Acronyms and Terms

Term/Acronym	Definition
Change Control Board (CCB)	The CCB meets regularly to discuss and decide the disposition or escalation of Change Requests. The CCB is comprised of the Project Director, Business and Technical Project Managers, CROS PMO, and the Contractor.
Executive Steering Committee (ESC)	The CROS Executive Steering Committee (ESC) is a governing group that is comprised of executive level members from each department of the BOE.
Request for Proposal (RFP)	The RFP is the set of documents containing the instructions governing the requirements for proposals to be submitted by interested bidders who want to provide the system integration services for the CROS Project. Once the contract is signed, the RFP forms the basis of the CROS contract.