



Appeals Case Management System Project

Change Control Plan



December 5, 2014

Version 1.0

Health and Human Services Agency, Office of Systems Integration

Revision History

REVISION HISTORY			
REVISION #	DATE OF RELEASE	OWNER	SUMMARY OF CHANGES
Version 1.0	12/05/14	Carolyn Borden	Incorporate edits in final plan.

Approvals

NAME	ROLE	DATE
Rick Murphy	Project Manager	

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1 INTRODUCTION

1.1 Purpose

Change Control is an ongoing iterative process throughout the project lifecycle which may involve many individuals at different levels within the organization. This document describes the Appeals Case Management System (ACMS) plan for managing changes during the period of time prior to the arrival of the System Integrator (SI), which is from approximately January 2015 to March 2016. Once the SI arrives, the Change Control Plan will be revised to support the next project period. The purpose of the Change Control Plan is to ensure standardized methods and procedures are used for efficient and prompt handling of all changes prior to the project's System Design phase. A formal, repeatable process minimizes the risk when introducing change to the project environment and helps preserve quality. The Change Control Plan defines the activities, roles, and responsibilities necessary to effectively and efficiently manage and coordinate changes to project items such as scope, schedule and cost baselines.

1.2 Scope

The Change Control Plan describes the actions required to make changes to the project's baselined items up to the beginning of the project's System Design phase.

A formal Change Control Plan aids management by defining the process of requesting, assessing, authorizing, monitoring and controlling change. Adhering to the Change Control Plan and related process prevents unauthorized changes, minimizes disruptions to the project environment and ensures proper analysis and input.

1.3 References

1.3.1 Best Practices Website

For guidance on the Office of Systems Integration (OSI) project management methodologies, refer to the OSI Best Practices Website (BPWeb) (<http://www.bestpractices.osi.ca.gov>).

In addition, the California Project Management Methodology (CA-PMM) information can be found at http://www.cio.ca.gov/Government/IT_Policy/SIMM_17/index.html.

1.3.2 Project Centralized Document Repository

The ACMS Project will utilize a California Department of Social Services (CDSS) shared drive as the Project Centralized Document Repository. This single project library will be controlled and maintained by an ACMS project team member assigned to the role of project librarian.

The location of the Project Centralized Document Repository is: \\cdss\common\ACMS. The project will move documents to OSI Clarity once that is available to the project staff.

Change Control items that will be stored in the centralized document repository include, but are not limited to:

- Change Control Plan
- Change Control Request and Analysis Forms
- Change Request Status Report
- Meeting Minutes and Agendas
- Memos
- Status Reports
- Templates
- Frequently Asked Questions (FAQs)

1.3.3 External References

The following lists some of the external references that support this document:

- The Project Management Institute's (PMI®) A Guide to the Project Management Body of Knowledge (PMBOK – 5th Edition)
- Institute of Electrical & Electronics Engineers (IEEE) Standard 828-2005 for Software Configuration Management Plans
- IT Change Management Policy Documentation Guidelines (Gartner research paper)

1.4 Change Control Plan Integration

The Change Control Plan aligns closely with the Master Project Management Plan, the Governance Plan and the Communication Plan.

The Change Control Plan will also ultimately align with the Configuration Management Plan, which governs overall management of configurable project items.

1.5 Acronyms

ACRONYM	DESCRIPTION
ACMS	Appeals Case Management System
BPWeb	OSI Best Practices Website
CA-PMM	California Project Management Methodology
CCB	Change Control Board
CCP	Change Control Process
CCTS	Change Control Tracking System

CDSS	California Department of Social Services
CR	Change Request
CRA	Change Request Analysis
CRAF	Change Request and Analysis Form
CRC	Change Request Coordinator
ESC	Executive Steering Committee
FAQ	Frequently Asked Questions
IEEE	Institute of Electrical & Electronics Engineers
IT	Information Technology
OSI	Office of Systems Integration
PM	Project Manager
PM Analyst	Project Management Analyst
PMBOK	Project Management Body of Knowledge
PMC	Project Management Committee
PMI®	Project Management Institute
RFP	Request for Proposal
SI	Systems Integrator

1.6 Document Maintenance

This document contains a revision history log. When changes occur, the document's revision history log will reflect an updated version number as well as the date, the owner making the change, and change description.

2 ROLES AND RESPONSIBILITIES

This section describes the roles and responsibilities agreed to for the ACMS project change control process.

2.1 Project Manager

The ACMS Project Manager (PM) is an active sponsor of approved changes and builds the necessary coalition of support among project leadership. The PM articulates and reinforces the business case for the change and helps manage and overcome resistance to change. The PM is responsible for the Change Control Process (CCP). The PM is also responsible for assigning project resources for the analysis of each Change Request (CR). The PM is a voting member of the Change Control Board (CCB).

The ACMS PM serves as the chair for the CCB. The CCB chair has responsibility for the initiation of the escalation process defined in the project's Governance Plan when the CCB is unable to reach agreement or the CR must be referred to the Executive Steering Committee (ESC) based on project triggers. The chairperson assigns one or more staff to conduct an analysis, if an analysis is deemed necessary.

2.2 Change Request Originator

Anyone associated with the project may submit a CR. The CR Originator completes a Change Request and Analysis Form (CRAF) and discusses the proposed changes with their manager. If the manager approves the proposed change the originator submits the CRAF to the ACMS Project Management Analyst (PM Analyst) who serves as the Change Request Coordinator (CRC).

2.3 Change Request Originator's Manager

The CR Originator's manager reviews the change request to determine if the form is properly completed and approves it for submittal to the CRC.

2.4 Change Request Coordinator

The PM Analyst serves as the CRC and the single point of contact and control point for all change requests. The CRC maintains the CR information within the Change Control Tracking System (CCTS) and monitors the progress of each CR. The CRC has the following specific responsibilities:

- Receive and record Change Requests in CCTS.
- Assess the CRs for risk and ensure the appropriate follow-up risk management activities occur on the basis of the findings.
- Review approved change requests proposed costs, schedule and resources for their potential impact upon the current Master Project Management Plan and make recommendations to the ACMS PM and the CCB to avert schedule variances that may adversely affect the project budget, resourcing, duration or critical path.
- Schedule and scribe the CCB meetings.

- Maintain information on the status of change requests and guide their movement through the CCP.
- File all CRAFs and associated documents into the document repository.
- Monitor CRs and report their status.
- Measure the CCP, report trends and recommend actions to the ACMS PM if trends indicate a problem.

2.5 Change Control Board

The CCB is responsible for making decisions on CRs received from the CRC. The CCB members include the ACMS PM and the ACMS Program Manager who together form the Project Management Committee (PMC) regarding project Governance. The CRC attends the CCB, but does not vote.

The CCB meets weekly or as needed to determine if a CR is to be approved, rejected or referred to the Executive Steering Committee (ESC) for decision. A CCB decision requires agreement through consensus by the CCB members.

2.6 Change Request Analysis / ACMS Project Team Member(s)

Change requests are assigned by the CCB chair to an ACMS Project Team member, if necessary, to perform an impact analysis and to follow the approved change through to implementation. A full analysis of a change is not always needed. The CR Originator must be available to participate or provide support to the assigned Team Member(s). Once approved, the ACMS PM oversees the execution of the approved change request by the assigned Team Member(s). The CRC contact the Team Member(s) to verify that the change was made correctly, and updates applicable documents.

2.7 Executive Steering Committee

The ESC is responsible for making decisions on CRs escalated from the CCB. The CRs escalated to the ESC involve significant change to scope, costs or schedule. Those situations requiring escalation are defined in the ACMS Governance Plan. ESC decisions are referred back to the CCB for appropriate action.

3 CHANGE CONTROL PROCESS

3.1 Overview

The CCP is a component of the overall project processes and management plans. The CCP is performed ongoing throughout the project's life to ensure that:

- Changes to baselined project items are reviewed and approved in advance of the change.
- Changes are coordinated across the entire project.

- Stakeholders are notified of approved changes to the project.

The CCP includes the processes for controlling and monitoring changes. This document discusses the CCP in terms of:

- The process used to request, approve and track changes.
- The roles and responsibilities of participants of the change control process.

3.2 Baselined Items

As mentioned in Section 1, the time period for this plan is from approximately January 2015 to March 2016. Therefore, this plan will support primarily project management work, whereas the next phase change control plan will include much more of a product change control focus. Project Management baselined items shall be controlled by the CCP.

Baselined items can be any of the following project management components: system documentation, project management plans, Request for Proposal (RFP) requirements, project office documentation, and contracts.

Requested changes to baseline items must be submitted to the CCP if the nature of the change meets the minimum threshold criteria defined in this document. Please reference the ACMS Governance Plan for information on threshold criteria.

3.3 Change Control Process Description

The CCP identifies, manages, and tracks CR through completion and provides a standardized method for dealing with CRs. The high-level CCP includes the following five activities described in more detail in the sections that follow:

- Change Request Initiation and Processing
- Change Request Analysis
- Change Approval
- Change Implementation
- Change Request Scheduling and Coordination

3.3.1 Initiating a Change Request

Any stakeholder can request or identify a change. The stakeholder, as a CR Originator, uses a Change Request Analysis Form (CRAF) to detail the request. The CRAF is a two-part form with information on the 1) change request, and 2) change analysis and disposition.

The CRAF includes:

- Change Request Title
- CR Category

- Project Management
- Procurement
- Administrative
- RFP Requirements
- CR Number (assigned by the CRC)
- CR Originator Information (Name, Organization, Phone, Email, CR Submission Date, and Originator's Manager)
- Priority
- Detailed Description of Proposed Change
- Justification for Change
- Potential Cost Considerations
- Additional Information/Comments

The proposed CRAF is reviewed and approved by the Originator's manager to confirm the need and completeness of the form. If deemed complete and appropriate, the CRAF is submitted to the CRC.

The CRC is the controller for the CCP. The CRC maintains CRs and related documents. The CRC monitors and tracks the change request as it moves through the appropriate steps as defined in the CCP.

The CRC logs the CR into the CCTS as a new CR. After an initial review for completeness, the CRC provides the completed form to the CCB for review and disposition. The CCB may reject the CRAF, return it to the originator for additional information, request an analysis or approve it for implementation.

3.3.2 Change Request Analysis

An assigned ACMS Team Member(s) analyzes the change request to determine possible solutions and the impact on the items to be changed and upon other project management items, users, stakeholders, project costs and the project schedule. The ACMS PM assigns the analysis to one or more Team Members representing areas which may be impacted by the change and who have the expertise to understand the implications and if the change is made. The analysis performed by the Team Member(s) is documented in a CRAF. Once developed and accepted, the CRAF becomes the primary source document for complete information pertaining to the CR. The CRAF captures the following analysis information, added to the initial CR data:

- Team Member(s) assigned to do the CR Analysis (CRA) (i.e., CRA Assigned To, Date CRA Assigned, CRA due date, CRA completed Date)
- Impact Areas (i.e., Increase or Decrease in Project Cost, Schedule, Scope; Contract Modification)

- Description of the recommended solution and its impact on baselined items and the project
- Discussion of potential implementation risks and their mitigation
- Alternative solutions considered
- Confirmation that changes were implemented and verified
- CR disposition

Upon completion, the CRC sends the CRAF to the CCB for decision.

3.3.3 Change Request Resolution/Approval

The CCB reviews the new CRs and determines one of the following dispositions:

- Rework – Return to the CR Originator, or ACMS Team Member(s) assigned to the analysis, for additional analysis or rework (via the CRC)
- Not Accepted – Reject and return to the CR Originator (via the CRC)
- Withdrawn – The CR Originator may withdraw the request at any time
- Deferred – Defer the CR for later consideration (refer to CRC)
- Approved – Approve the CR for implementation

CRs, for which no analysis took place, may be referred for analysis when the CCB determines that the CRAF does not contain sufficient information to determine its disposition or impact.

The CCB reviews/approves the final CR priority (High, Medium, and Low). Table 1 defines CR priority levels that reflect the importance and urgency of the CR.

Table 1. ACMS Change Request Priorities

1	High	<ul style="list-style-type: none"> • Prevents the accomplishment of critical milestone(s) • Has project-wide impact • Creates a significant public relations risk
2	Medium	<ul style="list-style-type: none"> • Adversely affects the accomplishment of critical milestone(s) • Large project impact • Creates a public relations risk
3	Low	<ul style="list-style-type: none"> • Results in inconvenience or annoyance but does not affect critical milestones • Small overall project impact • Low public relations risk

If the request requires referral or escalation to the ESC, the request form and analysis is sent to the ESC for review and a determination of what action to take. When a decision

is made, the ESC informs the CCB and the CCB continues processing the request accordingly. Refer to the ACMS Governance Plan for information on threshold criteria.

When the CCB approves a request for change, it is sent to the CRC for a recording of the disposition in the CCTS and forwards the approved CRAF to the ACMS PM. The ACMS PM assigns and oversees the execution of the approved change request.

3.3.4 Change Request Implementation

The ACMS PM assigns one or more ACMS Team Member(s) to carry out the approved changes to the baselined items and other impacted items.

The CRC tracks the execution of the change request and verifies that the change is completed. Once changes are complete, the CR Coordinator uses the finalized CRAF to close the CR. As part of closing the request, the Coordinator updates the CR record and ensures all pertinent documentation has been filed in the project document repository:

- Change Request and Analysis Form
- Supporting material

The Coordinator also notifies the CR Originator that the CR is complete.

3.3.5 Change Request Scheduling and Coordination

Decisions on the disposition of CRs may occur at one of two levels in the CCP:

- CCB
- ESC

The CCB is the initial entry point for consideration of all CRs after they are received and recorded by the CRC. Changes will be approved or escalated as authorized in the ACMS Governance Plan Decision Authority Matrix.

4 PROJECT CHANGE REQUEST TRACKING

4.1 Change Control Tracking System (CCTS)

The project uses a CCTS to describe, organize, prioritize, track and display project CRs, issues, concerns and action items. The CCTS application provides standard database functions to add and delete CRs, specialized functions for prioritizing and closing project CRs, linking documentation to the CR, as well as maintaining a log of historical events related to a particular CR.

No confidential or sensitive items are recorded in the database since the reports are shared with control agencies and other stakeholders. Potentially confidential or sensitive changes are reviewed with Legal prior to their being documented.

The CRC is responsible for administration and maintenance of the CCTS and its associated database.

4.2 Change Request Tracking

The CRC monitors the CRs in the CCTS database weekly to ensure new CRs and recently completed CRs are clearly documented. The CRC tracks the resolution due dates and reports overdue items at the weekly ACMS Project Team Meeting or as needed. The statuses of open CRs are also monitored at the CCB meetings.

4.3 Reports and Communication

Table 2 lists the primary CR reports provided by the CRC.

Table 2. Change Request Reports

TITLE	FREQUENCY	CONTENT	USAGE
Approved CRs	Weekly Team Meeting	Summary of the approved CRs since last reported.	Keeps the project team and stakeholders informed about the changes being made.
Overdue Items	Weekly or as needed	List of CRs overdue.	Discussed at Weekly Team Meetings.
Open CRs	As needed	Listing of all open CRs by each approval body (CCB or ESC) to which the CRs are assigned. Within each approval body, the CRs are listed in priority order; current processing status; and CR ID.	Discussed at CCB Meetings.
Completed CRA	As Completed	A CRA with information on impact to project scope, schedule and/or cost.	Used by management to select course of action to resolve issue.
Reporting of CR Metrics	Monthly	Number of CRs resolved, number of CRs overdue, number of CRs; aging statistics (how old are the open CRs); number of days to resolve; number of CRs referred to CCB and ESC; number of rejected CRs.	Discussed at CCB Meetings.

Refer to Appendix B for a sample Change Request Status Report template.

APPENDIX A: CHANGE CONTROL REQUEST AND ANALYSIS FORM

ACMS Change Request Title:			
CR Category:		CR No:	
CR Originator Name:		CR Originator Org.:	
CR Originator Phone:		CR Email:	
Date CR Submitted:		Originator's Manager:	
Priority (Check One): <input type="checkbox"/> 1 – High	<input type="checkbox"/> 2 – Medium	<input type="checkbox"/> 3 – Low	
Detailed Description of Proposed Change:			
Justification for Change:			
Potential Cost Considerations: (if known)			
Additional Information / Comments:			
Change Request Analysis (CRA)			
CRA Assigned To:		Date CRA Assigned:	
CRA Due Date:		CRA Completed Date:	
Impact Areas: (Check One or More) Project Cost: <input type="checkbox"/> Increase <input type="checkbox"/> Decrease Project Schedule: <input type="checkbox"/> Increase <input type="checkbox"/> Decrease	Project Scope: <input type="checkbox"/> Increase <input type="checkbox"/> Decrease Contract Modification: <input type="checkbox"/> Yes <input type="checkbox"/> No		
Solution Description and Impacts:			
Implementation Risks and Mitigation:			
Alternative Solutions Considered:			
Changes Implemented: (CRC Use Only)	<input type="checkbox"/> Yes <input type="checkbox"/> No	Changes Verified: (CRC Use Only)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Change Request Disposition (CRC Use Only)	<input type="checkbox"/> Rework <input type="checkbox"/> Accepted <input type="checkbox"/> Withdrawn <input type="checkbox"/> Deferred <input type="checkbox"/> Approved Disposition Comments:		

Appeals Case Management System (ACMS) Deliverable Acceptance

This attached form is the deliverable acceptance form for the Appeals Case Management System (ACMS) Project. The purpose of the form is to have a formal acceptance of contractor deliverables; to ensure deliverables are tracked and all events are recorded; and to ensure a copy of each deliverable and all supporting materials are filed in the project library. Deliverable management is necessary to ensure the state only accepts deliverables that meet contract requirements and contractors are only paid for acceptable deliverables.

The deliverable is submitted for acceptance after the deliverable has been reviewed and approved through various project staff, users and stakeholders to ensure their needs will be met. Thus when this process is invoked, the deliverable should be complete and ready for signature. Reviews of early drafts are encouraged to ensure a smooth and timely final approval review.

Appeals Case Management System (ACMS) Deliverable Acceptance Form

Request for Acceptance

Date:	12/05/14
Submitted By:	Rick Murphy
Submitted To:	Manuel Romero
Project:	ACMS

Deliverable Description: The ACMS Change Control Plan describes the Appeals Case Management System (ACMS) plan for managing changes during the period of time prior to the arrival of the System Integrator (SI).

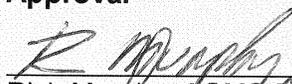
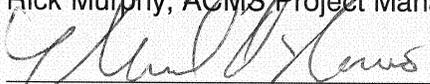
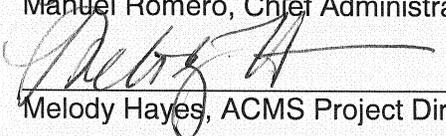
Title of Deliverable: Appeals Case Management System Change Control Plan, 12/05/14, Alexan Unanticipated Tasks 9.1

Soft Copy Location: DSS Common ACMS

Due Date: 12/09/14

Reviewers (note comments not resolved): None

Approval Signatures and Title:

Approval	Date
 Rick Murphy, ACMS Project Manager	12/8/14
 Manuel Romero, Chief Administrative Law Judge, SHD, CDSS	12-14-14
 Melody Hayes, ACMS Project Director	12/22/14

Signature for Pending Acceptance

Signature _____ Date _____

Name _____ Title _____

Rejection Comments:

