

ITSD Change Control Policy

Background

Each project change request is unique to project specifics and applies under this policy when an impact to project scope, cost, schedule, or combination thereof. When a Request for Proposal (RFP), Contract, or Project Assessment Quotation (PAQ) is involved, evaluating each change request is considered a contract management function and shall include additional vendor considerations in terms of mutual agreement to changes in cost, scope, and schedule.

Once a project is baselined, the expectation is the project will stay within the scope, cost and schedule originally identified. A change to the contractual agreement will not be made without good cause, including a shared understanding of what the change is, and why it was not previously identified.

Evaluation objectives address the following:

- Due diligence has been exercised in the development of the Impact Analysis, alternatives considered, and recommendation(s) supporting the Change Request
- Impact analysis of the change on the project particularly as it relates to scope, cost and schedule has been carefully evaluated
- All possible alternatives are considered
- Decisions are made in a timely fashion to mitigate potential negative impact
- Appropriate project stakeholder communications have occurred regarding the change control request

Policy Overview

The ITSD Change Control policy defines tracking and documentation required to effectively manage project change that impacts a contract from the earliest phases of the project lifecycle through warranty. Every change request must be:

- **Documented** – *using a change log (see ITSD Status Report)*
- **Status Reporting** – *regularly updated and reported (see ITSD Status Report)*
- **Reviewed** – *completed ITSD Change Control Workflow*
- **Approved** – *updated PAQ is signed by CIO and vendor receives modified Purchase Order*
- **Implemented** – *project plan is re-baselined*

In the event of an emergency or urgent situation, the CSM must contact the ITSD EPMO Office to proceed. Any deviation from the ITSD Change Control Policy shall occur on a case by case basis and only with approval from the CIO, and before any action is taken by the vendor or ITSD.

The change request is not considered 'Approved' until the Change Request (CR) form and the corresponding modified PAQ have completed the workflow process. The modified PAQ must be signed by both the vendor and the CIO and an updated Purchase Order must have been received by the vendor.

Work commenced by the vendor before being fully approved through the ITSD Change Control Process is work that the vendor is performing at their own risk.

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State Responsibility

The ITSD Change Control policy must be incorporated into the planning phase of every project and must be included in all Project Charters. The ITSD Project Manager will ensure the process is reviewed as an item of discussion in the Project Kick-off, this will ensure a firm understanding of the policy and process by the project sponsor, all project stakeholders, project team members, and vendors.

If the Change Request impacts the project schedule the ITSD Project Manager must ensure that the Change Request Process has completed before the original PAQ end date has expired to ensure continuity of the contract.

Vendor Responsibility

Vendors must ensure that change is documented as soon as it is identified using the Project Change Control Log and regularly tracked, updated, and reported (weekly) using the ITSD Status Report.

The vendor must provide an accurate assessment of the situation, including information to perform an impact analysis, the level of effort, and as requested, a firm fixed cost on the scope of work identified in the Change Request.

The vendor is not authorized to perform work identified in the Change Request until the PAQ has been signed by the CIO and the vendor has received an updated Purchase Order.

ITSD Change Request Process

The ITSD Change Control process is mandatory for all ITSD projects.

CHANGE REQUEST PROCESS	
Step	Description
Change Identified	A change to the project's current scope, schedule or cost is identified. This may be identified by a vendor, by a business customer, or by a member of internal ITSD.
Recommended Change Submitted	The recommended change to scope, schedule or cost (or perhaps a combination) can be made to the ITSD PM by any project team member, or the ITSD PM may identify the need.
Change Logged	The ITSD PM logs the requested change request in the Change Request Log on the ITSD Status Report.
Initial Evaluation	The ITSD PM works with the project team to document the detailed specifics of the recommended change. Detailed alternative options are also documented. The ITSD PM works with the project team to agree on a final recommendation. For those change requests deemed necessary by the project team, the ITSD PM Shall: <ul style="list-style-type: none">• Ensure the next Steering Committee meeting's agenda includes item noted to review potential change requests• Presents potential change requests to the Steering Committee NOTE: If no Steering Committee exists, the request must be reviewed by the CSM, the agency Project Sponsor, and potentially a key decision-maker from either ITSD Application Development and/or vendor management.

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Impact Analysis Review	The Steering Committee members (<i>or project decision makers identified in the project charter</i>) will evaluate the detail of the recommended change and project impact analysis, and render a decision as to whether to move forward with a formal Change Request. If the change impacts the project budget the responsible fiscal parties must also agree to the budgetary change. If the change is not approved, the Steering Committee will provide direction to the project team as to which alternative option to proceed and the status report change log is updated.
Develop the ITSD Change Request Form	For changes approved, the ITSD PM develops an ITSD Change Request Form in the SharePoint Change Request Library. The Change Request Form summarizes: <ul style="list-style-type: none"> • Description • Reasons • Benefits /Risks • Costs • Impacts /Other Options • Any supporting documentation
Agency Review and Approval	The Agency reviews the Change Request Form as it starts the workflow process. The Agency has already agreed to the change request as a Steering Committee member, so this step is the final review and approval . However, should new or additional information be available, the Agency will certainly review this information in context with the Impact Analysis, Alternatives Considered and Recommendation(s) to ensure that the Change Request is fully understood. If rejected, the Change Request is returned to the ITSD PM along with recommended next steps.
ITSD EPMO/Fiscal Evaluation and Approval	The ITSD EPMO reviews the Change Request and modified PAQ as the request comes in through the workflow. The EPMO will review the Impact Analysis provided by the ITSD PM which details the impact in terms of cost, scope or schedule or a combination of those, as well as alternatives considered along with the project team’s recommendation(s). If approved, the Change Request moves to the Legal department for review. If rejected, the Change Request is returned to the ITSD PM along with recommended next steps.
Legal Evaluation and Approval	The State Legal department reviews the Change Request and modified PAQ as the request comes in through the workflow. A similar review of the Impact Analysis, Alternatives Considered and Recommendation(s) is approved from a legal aspect. If approved, the Change Request moves to the CIO for review.
CIO Evaluation and Approval	The CIO reviews the Change Request and modified PAQ as the request comes in through the workflow. A similar review of the Impact Analysis, Alternatives Considered and Recommendation(s). If approved, the modified PAQ is signed by the CIO and the change becomes contractually binding. If rejected, the Change Request is returned to the ITSD PM.
Notification	Notification of the approved change request is sent to the vendor. The PO

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Step	Description
	related to the PAQ is updated to reflect the requested change.
Update: Contract, Re-baseline Work Plan, Update Project Deliverables, Announce Approved Change to all Project Stakeholders	The ITSD PM and Vendor, if applicable, will re-baseline the project’s Work Plan and other pertinent project deliverables. The ITSD PM announces the approved change to all project stakeholders and updates reporting mechanisms accordingly. The change request will be closed on the Change Log.
Receipt of Updated PO	The vendor may commence work per the re-baselined project plan.

The ITSD Change Request Form can be found here:

<https://moitsd13.state.mo.us/itsd/PMO/PMODocuments/ITSD%20Change%20Request%20Form.docx>

Version History

Version #	Updated by	Revision Date	Approved By	Approval Date	Reason
1.0		10/12/2016	PMO	01/30/2017	Policy Update