Change Control Management Plan

Version 1.0

**Revision History**

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**Table of Contents**

[1. Purpose 4](#_Toc278964118)

[2. Scope 4](#_Toc278964119)

[3. Definitions 4](#_Toc278964120)

[4. Roles and Responsibilities 5](#_Toc278964121)

[5. Process 5](#_Toc278964122)

[Appendix A: Attributes Stored for Each Issue 10](#_Toc278964123)

[Appendix B: Change Control Board Charter Template 12](#_Toc278964124)

**List of Tables**

[Table 1: Roles and Responsibilities 5](#_Toc278964023)

[Table 2: Process Summary 6](#_Toc278964024)

[Table 3: Change Management Process Steps 8](#_Toc278964025)

**List of Figures**

[Figure 1: Change Management Process Flowchart 7](#_Toc278964026)

# Purpose

This document describes the process to request and manage changes to work products created or maintained by the ICD-10 project team members. These changes may apply to any area impacted by ICD-10, including policies, processes, and systems. This process will allow for the following:

* Facilitate communication regarding requested changes among the stakeholders of the project team;
* Provide a common process for resolving requested changes and reported problems; and
* Reduce the uncertainty around the existence, state, and outcome of a change that has been requested in a work product.

# Scope

Any stakeholder of the ICD-10 project can submit the following types of change requests for consideration:

* Requests for scope, schedule, or resource changes that may affect program administration;
* Requests for requirements changes (additions, deletions, modifications, deferrals) in software currently under development;
* Reports of problems in current production or test environments;
* Requests for enhancements in current production systems; and
* Requests for new development projects.

This change control process applies to baselined deliverables/work products created or managed by the members of the ICD-10 project team, including:

* Software that has been released to production or is in beta test;
* Requirements specifications for MMIS or other systems impacted by ICD-10;
* Group procedures and processes; and
* User and technical documentation.

The following work product classes are exempted from this change control process:

* Work products that are still under development, except for requirements changes requested in new projects;
* Interim or temporary work products created during the course of a project; and
* Any work products intended for individual use only.

# Definitions

Change Request (CR): An item submitted by a stakeholder for consideration through the change control process.

Stakeholder: Someone who is affected by or who can influence the project.

# Roles and Responsibilities

All ICD-10 project team members play a role in change management and should understand the impacts and opportunities of ICD-10 on their business areas (see Table 1). In addition, the project manager, or designee, should include consideration of Change Control Board (CCB) inputs and outputs on the ICD-10 project scope, cost, and schedule.

Table 1: Roles and Responsibilities

| **Role** | **Activity** |
| --- | --- |
| **ICD-10 Steering Committee** | The group that charters the CCB and approves or rejects ICD-10 project changes where either CCB consensus is not reached or program administration may be affected (e.g., scope, schedule, or costs). |
| **CCB** | The group that approves or rejects proposed changes for the project. |
| **CCB Chair** | Chairperson of the CCB; has decision-making authority as granted by charter (e.g., may have final decision-making authority if the CCB does not reach agreement); directs someone to be the Evaluator for each CR; and directs someone to be the Modifier for each approved CR. |
| **Evaluator** | The person whom the CCB Chair asks to analyze the impact of a proposed change. |
| **Modifier** | The person who is assigned responsibility for making changes in a work product in response to an approved CR; updates the status of the request over time. |
| **Originator** | The person who submits a new change request. |
| **Project Manager** | The person who is responsible for overall planning and tracking of the development project activities. |
| **Verifier** | The person who determines whether a change was made correctly. |

# Process

Outlined in Table 2 and Figure 1, the change management process begins when a stakeholder, at any ICD-10 program level, submits a change request for consideration by the CCB.

Table 2: Process Summary

| **Inputs** | **Process** | **Outputs** |
| --- | --- | --- |
| * **Charters (e.g., Program, Project, and CCB)** * **Baselined work products** * **Project Plan** * **Risk Assessment Checklist** * **Business/User Requirements** * **Schedule/WBS** * **Valid CR submitted on standard form** | Regularly scheduled CCB meetings to **Evaluate** CRs; **Modify** policies, processes, and systems; and **Verify** any approved changes were made correctly. [See Figure 1 and Table 3] | * Change Management Log reflecting status of issue is either ‘Rejected’ or ‘Closed’ * Modified work products * Updated requirements, including traceability information * Status Reports |

**Note:** The Change Management Log is managed at the Workgroup or Project Level.



Figure 1: Change Management Process Flowchart

Table 3: Change Management Process Steps

| **Role** | **Action** |
| --- | --- |
| **Originator** | 1. Documents CR using standard change request form 2. Stakeholder consults with project team lead (Workgroup/Project Level) about CR 3. Stakeholder and/or project team lead submit CR to CCB |
| **CCB** | 1. Sets initial CR status to ‘Submitted’ 2. Assigns CR to Evaluator |
| **Evaluator** | 1. Assesses the CR as to feasibility, whether it really pertains to the indicated project, whether a reported problem can be reproduced, an estimate of the labor hours needed to implement the change, and other criteria as decided upon by CCB charter. 2. Change CR status to ‘Evaluated’ |
| **CCB** | 1. The CCB decides whether the requested change should be made (or the reported problem fixed) at this time, at some point in the future, or not at all. Input should be solicited from others potentially affected by the change before making the decision. 2. If the change was accepted, the CCB Chair assigns a Modifier, sets the status to ‘Approved,’ enters any explanation in the Response attribute, and schedules the work. The Project Manager negotiates any necessary changes in project commitments with affected stakeholders. Communication is sent to the assigned Modifier and the Originator. 3. If the change was rejected, the CCB Chair sets the status to ‘Rejected’ and enters an explanation of why in the Response attribute. Communication is sent to the Originator and CCB. 4. The CCB Chair and the Originator determine whether formal verification of the change will be required, following the procedure in the **Verification** section. If so, they select the verification method to be used and the CCB Chair assigns a Verifier. |
| **Modifier** | 1. Makes the necessary changes in the affected work products and notifies any other affected parties if corresponding changes need to be made, such as user documentation, help screens, and tests. |
| **Workgroup Lead**  **Project Manager** | 1. Updates the project plans, task lists, and schedules to reflect the impact of the change on project work remaining to be done. The Project Manager revises any task dependencies as necessary. |
| **Modifier** | 1. If it becomes apparent during the work that the requested change is not feasible after all, the Modifier notifies the CCB Chair, who may then set the status to ‘Canceled.’ The Modifier backs out of any modifications made, restoring the work products to their previous baseline. Communication is sent to the Originator, CCB Chair, Modifier, and Project Manager. 2. When the change is completed, the Modifier sets the status to ‘Change Made,’ updates the issue in the database with appropriate notes in the Response attribute, and enters the hours of effort that were required to make the change in the Actual Hours attribute. Communication is sent to the Originator and CCB Chair. 3. Notifies the Originator and Verifier (if one was assigned) that the change has been made and makes all modified work products available to the people responsible for verification. |
| **Verifier** | 1. Performs the agreed-upon verification steps. 2. If verification is successful, the Verifier sets the status to ‘Verified.’ Communication is sent to the Originator and Modifier. 3. If verification is not successful, the Verifier sets the status back to ‘Approved’ and describes the problem in the Response attribute. Communication is sent to the Originator and Modifier. The procedure continues back at step 12. |
| **Modifier** | 1. For a problem report CR or an enhancement request CR, the Modifier installs the modified work product as appropriate and updates the product baseline. For requirements changes, the Modifier updates version numbers on all modified work products per the project’s version control procedure, checks them back into the version control system, updates requirements traceability information, and requirements status attributes as necessary, and updates the requirements baseline. 2. Sets the status to ‘Closed.’ Communication is sent to the Originator and CCB Chair. |

# Appendix A: Attributes Stored for Each Issue

| **Field** | **How Set** | **Contents** |
| --- | --- | --- |
| **Actual Hours** | Modifier | Actual labor hours of effort needed to implement the change. |
| **Description** | Originator | Free-form text description of the change being requested. This cannot be changed after it is entered. If reporting a problem, enter the exact error message text observed here. |
| **Date Submitted** | System | Date this CR was submitted to the CCB. |
| **Date Updated** | System | Date this CR was most recently updated. |
| **Estimated Hours** | Modifier | Estimated labor hours of effort needed to implement the change. |
| **Implementation Priority** | CCB Chair | Relative importance of making the change: Low (default), Medium, High. |
| **CR ID** | System | Sequence number assigned to the CR. |
| **CR Type** | Originator | Type of change request: Scope, Schedule, Resources, Problem, Enhancement, Requirement Change, New Project. |
| **Modifier** | CCB Chair | Person who is assigned responsibility for implementing change. |
| **Originator** | Originator | Originator’s name. |
| **Originator E-Mail** | Originator | Originator’s e-mail address. |
| **Originator Phone** | Originator | Originator’s phone number. |
| **Originator Priority** | Originator | Originator’s relative importance of change: Low, Medium, High. |
| **Planned Release** | CCB Chair | Product release number for which this approved change is scheduled, determined by CCB. |
| **Product** | Originator | Name of the product or project in which a change is being requested or a problem reported. |
| **Problem Severity** | Originator | For a problem report, set severity of the change (see below). **Minor** - Cosmetic problem, usability improvement, unclear error messages; customer can live with the problem (default)  **Major** - Problem adversely affects product functioning, but a workaround is available; customer will be annoyed; serious usability impairment; problem blocks some testing  **Critical** - Product does not function at all or crashes; wrong results are generated; further testing of application is not possible  **Emergency/Escalated** - Anything that requires a change to be made immediately, bypassing the change control process temporarily for executive sponsor review |
| **Response** | CCB Chair, Modifier | Free-form text log of responses made to the change request. |
| **Status** | Originator, Modifier | Update current status of the change request as it moves through the states described in the **Change Request Status** section. |
| **Title** | Originator | One-line description of the CR. |
| **Verifier** | CCB Chair | Name of individual who is responsible for verifying that changes were made correctly. |

# Appendix B: Change Control Board Charter Template

## Purpose

*<Describe the objectives of the CCB. This section may read: “The Change Control Board (CCB) represents the interests of program and project management by ensuring that a structured process is used to consider proposed changes and incorporate them into a specified release of a product. The CCB shall request that impact analysis of proposed changes be performed, review change requests, make decisions, and communicate decisions made to affected groups and individuals.” Define the relationship of this CCB to any other CCBs in the organization or other decision-making bodies, such as a project steering committee.>*

## Scope of Authority

*<Indicate the scope of decisions that the CCB makes. This scope could be over a specific organizational range; a project, group of projects (program), or subproject; a maximum budget or schedule impact. This scope boundary separates decisions that this CCB can make from those that it must escalate to a higher-level CCB or manager for resolution.>*

## Membership

*<List the members of this CCB. The CCB typically includes representatives from program management, project management, software engineering, hardware engineering, testing, documentation, customer support, and marketing. One individual is designated as the CCB Chair. Keep the CCB as small as possible, to facilitate its ability to make rapid decisions, but make sure that the critical perspectives are represented. Indicate who should be responsible for escalated changes (e.g., scope, schedule, and resources).>*

## Operating Procedures

*<State the frequency of regularly scheduled CCB meetings and the conditions that will trigger a special meeting. Describe how meetings will be conducted, the number of CCB members who constitute a quorum to make decisions at a meeting, and the roles that must be represented for the meeting to proceed. Identify whether guest participants may attend, such as the individuals who proposed the change requests being considered at a specific meeting.>*

## Decision-Making Process

*<Describe how the CCB will make its decisions. Indicate whether voting, consensus, unanimity, delegation to a specific individual, or some other decision rule is used to make decisions. State whether the CCB Chair or another manager is permitted to overrule the CCB’s collective decision.>*

## Communicating Status

*<Describe how each decision that the CCB makes will be communicated to the individual who requested the change, senior management, project management, affected team members who must implement the change, higher- or lower-level CCBs, and any other stakeholders. Indicate where the decisions and any supporting information, rationale, or data will be stored.>*