SCOPE MANAGEMENT AND CHANGE CONTROL

Purpose

To provide a process, a procedure and associated guidelines to facilitate the management of all changes that impact the project scope, benefits, requirements, deliverables, schedule or costs.

Overview

In this Phase, the process for managing changes that impact the project scope, benefits, requirements, deliverables, schedule or costs and the associated roles and responsibilities are defined and agreed. Supporting guidance, forms and templates are created and the process is implemented and managed.

Change requests are tracked and Change Request Reports are prepared and distributed by the Project Office.

A change is defined as any alteration to the scope, requirements (both business and technical) and deliverables that impacts the project baseline, timing or cost. A change is different from an issue. However, the approved resolution of an issue may require the creation of a change request.

A change request is raised and authorised for any change or deviation from the project baseline, timing or cost. The project baseline, timing and cost are normally initially defined or frozen when management signs off the completed initial project plan and budget.

For each change request that is raised, an impact assessment is conducted to provide management with sufficient information to either defer or reject the proposed change or put in place the appropriate resources, plans and changes to scope so that the change can be implemented effectively.

Where significant changes are requested, a high-level impact assessment only may be conducted to determine the impact on the project schedule and the cost of developing a detailed impact assessment of the change request.

The Change Request Form and Change Request Log

Change requests are recorded using a Change Request Form. This form is used to record and track information that:

- Describes the change and the impact of not implementing the change;
- Provides a detailed impact analysis of the proposed change, highlighting the expected changes to project schedule, timing and cost;
- Identifies and approves the decision taken in relation to the implementation of the change e.g., rejected, approved, deferred; and
- Confirms that the change has been successfully implemented.

A Change Request Log is used to control and monitor the flow of the Change Request Forms. The maintenance of an overall Change Request Log also provides a basis on which to identify dependent and duplicate change requests.
### Summary

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Project Information</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Project Organisation Chart</td>
</tr>
<tr>
<td></td>
<td>Change Requests</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Tasks</th>
<th>Define Change Request Management Process, Roles and Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Implement Change Request Management Process, Roles and Responsibilities</td>
</tr>
<tr>
<td></td>
<td>Manage and Track Change Requests and Prepare Change Request Reports</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Interim work products</th>
<th>Change Request Reporting Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Change Request Management System Requirements</td>
</tr>
<tr>
<td></td>
<td>Change Request Management Guidance and Training</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Phase deliverables</th>
<th>Change Request Log</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Change Request Form</td>
</tr>
<tr>
<td></td>
<td>Change Request Management Process Flow</td>
</tr>
<tr>
<td></td>
<td>Change Request Management Procedure</td>
</tr>
<tr>
<td></td>
<td>Change Request Management Roles and Responsibilities</td>
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<tr>
<td></td>
<td>Change Request Management System</td>
</tr>
<tr>
<td></td>
<td>Implemented Change Request Management Process, Roles and Responsibilities</td>
</tr>
<tr>
<td></td>
<td>Implemented Change Requests</td>
</tr>
<tr>
<td></td>
<td>Change Request Reports</td>
</tr>
<tr>
<td></td>
<td>Rejected Change Requests</td>
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</tbody>
</table>

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<thead>
<tr>
<th>Reference materials</th>
<th>Change Request Log</th>
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<td></td>
<td>Change Request Form</td>
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<td>Change Request Management Task/Responsibility Matrix</td>
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</tbody>
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Scope Management and Change Control Phase

N1 Define Change Request Management Process, Roles and Responsibilities

N2 Implement Change Request Management Process, Roles and Responsibilities

N3 Manage and Track Change Requests and Prepare Change Request Reports

Change Request Reporting Requirements
Change Request Management System Requirements
Change Request Log
Change Request Form
Change Request Management Process Flow
Change Request Management Procedure
Change Request Management Roles and Responsibilities

Change Request Management System
Change Request Management Guidance and Training
Implemented Change Request Management Process, Roles and Responsibilities

Implemented Change Requests
Change Request Reports
Rejected Change Requests

Project Information
Project Organisation Chart

Change Requests
1 Define Change Request Management Process, Roles and Responsibilities

Purpose

To define the change request management process flow and procedures, to define change request management roles and responsibilities and to prepare supporting forms and systems.

Overview

This task is used to define the process that is to be used to identify, evaluate, prioritise, assign, review and implement changes. The associated roles and responsibilities are defined and agreed.

A Change Request Form and a Change Request Log are created.

Where a Change Request Management system is to be used, the requirements are defined, system components are purchased and the Change Request Management system is built and tested.

1.1 Determine the organisation’s current change management processes, roles and responsibilities and systems.

Determine the organisation’s current change management processes, roles and responsibilities and systems.

Determine whether any of these existing activities need to be included as part of the change management approach.

1.2 Define the criteria to be used to raise a change request.

A change is defined as any alteration to the scope, requirements (both business and technical) and deliverables that impacts the project baseline, timing or cost. A change is different from an issue. However, the approved resolution of an issue may require the creation of a change request.

Mechanisms should be in place to ensure that the appropriate amount of communication between project team members and project managers takes place prior to a formal change request being raised to reduce the risk of inappropriate change requests being formally raised.

Define the criteria that are to be used to raise a change request. Criteria for raising change requests include:

?? A change in scope, deliverables or requirements has been identified that impacts the baseline schedule;
?? A change in scope, deliverables or requirements has been identified that impacts timing;
?? A change in scope, deliverables or requirements has been identified that impacts the project costs; or
?? A change in scope, deliverables or requirements has been identified that impacts the business outcomes and benefits realisation from the project.

1.3 Determine how change requests are to be prioritised.

Determine how change requests are to be prioritised. Prioritisation criteria may include:

?? Relevance of the change request to the realisation of the project objectives or a specific project task;
?? Impact of the change on the project scope, benefits, milestones, timing, quality or budget;
?? Significance of the change in relation to legal, regulatory and policy compliance;
?? Impact of the change on third party or contractual agreements;
?? Current status of project activities that may be impacted by the change;
?? Impact of the change on past or planned project analyses; or
?? Complexity, uniqueness and potential schedule or budgetary impacts associated with implementing the change.

Define the prioritisation categories. For example:

?? **Emergency** - a response to the change is required immediately. Initiate Fast-Track procedure and call an emergency meeting of the Steering Committee;

?? **Urgent** - a response is required within five working days. The Steering Committee is alerted to the problem immediately. Impact assessment to be initiated; and

?? **Routine** - a change is justified but no decision is required prior to the next scheduled meeting of the Steering Committee.

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**Sample Fast-Track Process**

The **Fast-Track** process is designed to cater for emergency situations where a quick response is crucial. The number of emergency changes should be kept to a minimum at all times. This process does not mean that normal management controls are abandoned, only that the change procedure must be completed in a shorter time frame.

**Approach** - A Change Request is raised and submitted to the Project Manager at the earliest possible opportunity. Work may commence on the basis that implementation will not take place until official authorisation is received.

**Assessment of Emergency Changes** - The Project Steering Committee shall be convened at short notice, possibly with a reduced number of members, subject to availability. Any specialists involved or other interested parties may also be invited to attend.

The outcome of the review and impact assessment determines whether the Project Steering Committee approves the emergency change. If it is decided that the change cannot be implemented as an emergency change, the implementer shall be informed of the decision immediately and the change shall be tabled for the next scheduled Project Steering Committee meeting.

**Emergency Change Actions** - The Project Manager records all actions in the Change Request Management system. It is important that the Project Manager has plans in place for allocating resources in this kind of situation to minimise the impact on the overall project plan. Early notification to interested users about the imminent change is also essential.

**Testing Urgent Changes** - The change shall be adequately tested, within the time frame available. Untested changes can be much more costly than the cost of testing itself.

**Implementing Emergency Changes** - It is important to recognise that emergency changes may not have been tested to the same standard as other changes and the Project Steering Committee must ensure that technical expertise is available when implementing such a change.

**Review of Emergency Changes** - Once the emergency change has been successfully implemented, it should be reviewed in the same way as other changes.

Other examples include:

?? **High** - implementation of change required as soon as possible, irrespective of its impact on the overall project schedule;

?? **Medium** - a change that must be incorporated but that can be scheduled in the project timetable in an orderly manner; and

?? **Low** - a minor change that has no significant impact on achieving the milestones and to be scheduled if feasible.
Or

?? **High** - mandatory to be able to deliver a viable solution. No work around solutions available;
?? **Medium** - mandatory or highly desirable to be able to deliver a viable solution. Work around solution is possible; and
?? **Low** - desirable but not necessary to deliver a viable solution. May be a future enhancement.

1.4 Determine the criteria to be used to change assigned prioritisations.

Determine the criteria to be used to change assigned prioritisations. Prepare a list of criteria to be used to change the assigned prioritisation value of a change request.

1.5 Determine how change requests are to be categorised.

Determine how change requests are to be categorised. Categories may be used to define change ownership and should reflect the nature of the change and project organisation structure. For example, a change request categorisation derived based on the nature of a change may include:

?? **Enhancements** - enhancements to existing processes or systems;
?? **Issues** - issues or problems that have occurred, resolution of which requires the implementation of change; and
?? **Gaps** - Identification of gaps in previously agreed requirements.

1.6 Determine the types of impact assessment and possible analysis outcomes.

An impact assessment is conducted to determine the time and costs associated with implementing the change request. It provides management with sufficient information to either defer or reject the proposed change or put in place the appropriate resources, plans and changes to scope so that the change can be implemented effectively.

Define the types of impact assessment and possible analysis outcomes. Types of impact assessment include:

?? Initial high-level impact assessment of not implementing the change conducted as part of the process of raising a change request;
?? Detailed impact assessment of the change on completed deliverables;
?? Detailed impact assessment of the change on the project scope;
?? Detailed impact assessment of the change on the business benefits and project costs;
?? Detailed impact assessment of the change on the project schedule;
?? Detailed impact assessment of the change on the project costs; and
?? Actions required to implement the change.

Impact assessment outcomes include:

?? Rejection of the change request;
?? Approval of the existing change request;
?? Requirement to conduct additional impact assessment before a decision can be made; and
?? Requirement to escalate the change request.

Define the means to be used to identify iterations of the impact assessment task.

1.7 Define the number and types of change request escalation levels.

Define the number and types of change request escalation levels. The number and type of change request escalation levels is influenced by a number of factors including:
Impact of the change request;  
Size, duration and complexity of the projects for which change request management is being provided; and  
Project organisation structure.

Escalation may be required when an effective resolution of a change request requires consultation with a broader audience or decisions and approvals from more senior project or senior management personnel. For example, a change in one project may have a much wider impact if the project forms part of an enterprise-wide programme and the change will affect the overall programme baseline, timing or costs.

1.8 Determine how approved change requests are to be closed.

Determine how approved change requests are to be closed. Ensure that there is a formal closure process and that the responsibilities for closure are clearly defined e.g., system test results formally approved by the project manager. Once approval to implement change has been obtained, a number of tasks may need to be addressed to close the change request including:

- Updating the project plans and schedules to reflect the impact of the change;  
- Updating project costs and budgets to reflect the impact of the change;  
- Communicating the approval of the change to all affected parties; and  
- Ensuring that the approved change is implemented satisfactorily.

1.9 Determine how change requests and issue resolutions are to be linked.

Change requests are often generated by the issue management procedure. However, where the impact is direct and unavoidable, a change may be raised without an issue being raised. If the change relates to a newly identified issue, then the Change Request Form and the Issue Resolution Form may need to be raised together for faster, joint approval.

Determine how change requests and issue resolutions are to be linked.

1.10 Determine change request recording, storage, distribution and tracking methods.

Determine the means that are to be used to record, store, distribute and track change requests. Alternatives may include:

- Word processing files;  
- Spreadsheets;  
- Simple database systems e.g., using Microsoft Access;  
- Sophisticated database systems e.g., using ORACLE or DB2;  
- Change Request Management software packages; or  
- Intranet or web-based storage and retrieval systems.

This information may already have been gathered as part of Start-up phase.

1.11 Define Change Request Reporting requirements.

Define Change Request Reporting requirements. Consider:

- Frequency of reporting;  
- Formats for reporting;  
- Audience for reporting; and  
- Distribution means for reporting.
A sample Change Request Report is shown in Figure N1.

Figure N1: Sample Change Request Report

1.12 Determine Change Request Management system requirements.

Determine Change Request Management system requirements which may include:

- Features;
- Functionality such as types and nature of access required, reporting needs;
- Volumes of records and space requirements;
- Security;
- Interfaces; and
- Technology alternatives.

If a database is to be used, consideration of the record keys necessary to organise and view the change request by originator, by status, by impact assessment, by priority, by due date or by similar requirement may be required.

Determine whether components need to be purchased to create the Change Request Management system. If so, complete the acquisition of the necessary items following the organisation’s formal purchasing rules and processes.

1.13 Create a Change Request Log and Change Request Form.

Create a Change Request Log and Form to support the defined Change Request Management Process Flow and supporting procedure. Ensure that the Change Request Forms and Log can be used to record all of the information that is necessary for change request management.

Determine information required for change request management such as:

- For change request identification and tracking:
  - a unique number that can be assigned to each change request for tracking purposes,
  - link to any associated issues that have been raised,
  - name of the change originator,
  - change request title,
  - description of the change request,
  - relationship between the change request and tasks in the project plan,
  - change category that provides an indication of the area of the project to which the change relates,
  - priority of the change request,
  - status of the change request,
  - date the change request is raised,
  - date the change request is closed, and
?? date change implemented;
?? For change request impact assessment:
   ?? description of the impact of the change on the project,
   ?? description of the impact of implementing the change on cost and budget,
   ?? description of implementation actions to be taken, and
   ?? implementation actions taken; and
?? For change request ownership and approval:
   ?? change assignee,
   ?? change implementer,
   ?? reviewers, and
   ?? authoriser.

Devise nomenclature and standards to address such items as:

?? Unique change request numbering;
?? Change request status identifiers e.g., open, defer, reject, analysis required and approved;
?? Date formats; and
?? Foreign language requirements.

Appendix 1 contains a sample Change Request Log and Change Request Form. These forms may need to be tailored to meet the specific requirements of the engagement.


Create a Change Request Management Process Flow.

A sample Change Request Management Process Flow is shown in Figure N2.

The Project Office updates the Change Request Log to record the progress of the change request throughout each of these steps.
Figure N2: Sample Change Request Management Process Flow

1. Identify Need and Raise Change Request
2. Pass to Project Management
3. Assign and Send For Analysis
4. Analyse and Estimate Solution
5. Project Management Review Solution
6. Proceed?
   - Yes
     - High Impact/ Cost?
       - Yes
         - Steering Committee Review Solution
       - No
         - Change Approved?
           - Yes
             - Assign Owner and Update Plans
             - Implement Change
             - Sign-Off Change
           - No
             - Modify
   - No
     - Reject Change
1.15 Prepare a Change Request Management Procedure.

Develop a Change Request Management procedure. A sample set of steps is shown below, based on the detailed process flow shown in Figure N3. For smaller projects, the Steering Committee may be replaced with the Project Sponsor and the Change Management Review Team (CMRT) replaced with the Project Management team:

?? Submit the Change Request - The Submitter completes the Change Request Form (CR) and discusses the proposed CR with the CMRT representative. The CR is then submitted to the Project Office;

?? Log CR - The Project Office assigns a reference number to the CR, creates a brief description for reporting purposes, logs the CR in the Change Request Log and forwards the CR to the Project Manager;

?? PM Review and Assign Responsibility - The Project Manager reviews the CR, designates its type and assigns an owner;

?? Develop Analysis Estimate - The Project Manager co-ordinates the development of the estimated cost, time and schedule impacts to complete the impact analysis, identifies the impacted departments and/or products, develops a high level estimate of the full cost involved (the sizing estimate) and sends back to the Project Office;

?? Update Status - The Project Office adds the Change Owner and updates the CR status;

?? Review and Decide to Proceed - The CMRT reviews the CR estimates and decides to proceed with an impact analysis, defer the CR or cancel it;

?? if the CMRT decides to proceed with an impact analysis, it determines the priority and the due date. The Project Office then updates the status of the CR and forwards it to the Change Owner,

?? if the CR is cancelled, the CMRT enters the reason for cancellation to the CR and forwards it to the Project Office. The status is updated and then the CR is filed, and

?? if it is deferred, the date when the CR is to be revisited is entered by the CMRT on the CR and passed to the Project Office who update the status and files the CR;

?? Impact Analysis and Detailed Estimate - The Change Owner reviews the CR, notifies affected parties and prepares the impact analysis. The owner then forwards the CR back to the Project Office who update the status and forward the CR to the CMRT;

?? Determine Approval - The CMRT evaluates the necessity of the change and determines the appropriate approval process. If the CR is within the approval authority of the CMRT, a decision will be made there, otherwise it will be forwarded to the Steering Committee;

?? the Project Office will update the status of the CR and forward it if necessary to the Steering Committee;

?? Review and Approve - The CR will be further reviewed and an approval decision made by the relevant group depending upon the authority required. This will involve the co-ordination of review (and possibly approval) from all impacted departments and result in approval, cancellation, deferral or a request for modification;

?? if modifications are required, the CR is sent back to the Change Owner,

?? for cancellation, the reason for cancellation will be documented on the CR,

?? if a decision is made to defer the CR, the target date is entered on the CR,

?? if the CR is approved, the approver sets target dates for implementation for input to the project plans and signs off, and

?? the Project Office then updates the CR with the new status;

?? Update Plan/Baseline - The Project Office works with the affected areas to make the necessary changes to the project plans, budget and other relevant documentation;

?? Implement Change - The change is implemented in accordance with the new amended project plan and signed off by the impacted parties;

?? CR Closed - The CR status is updated by the Project Office and relevant documentation is filed. If the change requires immediate action (i.e., it is a retrospective or emergency change), the CR will not be closed until the change has been completed.
Figure N3: Sample Change Request Management Process Flow (Detailed)

Status Codes:

**OPN**: Open Change Request  
**DEF**: Defer  
**APR**: Approve  
**CRW**: CMRT Review  
**ANL**: In Analysis  
**CLS**: Closed  
**CAN**: Cancel  
**SRW**: Steering Committee. Review
1.16 Prepare a Change Request Management Task/Responsibility Matrix.

Prepare a Change Request Management Task/Responsibility Matrix that defines, for each part of the Change Request Management Process Flow and supporting procedure, the associated roles and responsibilities. Include the roles and responsibilities for:

- Formally raising a change request;
- Determining and changing the priority of a change request;
- Setting due dates;
- Assigning individuals or teams to undertake the impact assessment;
- Deciding the impact assessment outcomes and setting the status of change requests;
- Updating project schedules and costs; and
- Signing-off on implemented changes.

Clearly indicate the role of the Project Office.

When defining the roles and responsibilities, consider the following issues:

- Identification of a potential change request may originate from inside and outside the project;
- Raising a change request requires an understanding of the impact of the change on project schedule and costs;
- Assigning resources to a change request requires appropriate project authority; and
- Signing-off an implemented change should be undertaken by those impacted by the change.

Appendix 2 contains a Change Request Management Task/Responsibility Matrix Form that can be used as a basis for preparing this matrix.

Figure N4 shows a sample completed Change Request Management Task/Responsibility Matrix.

1.17 Install or build and test the Change Request Management system.

Where the need for a Change Request Management system has been determined, install or build and test the Change Request Management system in preparation for the loading of the initial content. Confirm that the system supports the Change Request Management Process Flow that has been defined.

Configure the system to support the Change Request Management Task/Responsibility Matrix that has been prepared.

1.18 Obtain formal written approval for the Change Request Management Process components.

Discuss and agree the Change Request Management Process Flow and supporting procedures, the Change Request Management Task/Responsibility Matrix, the Change Request Form, Change Request Log, Change Request Reporting Requirements and Change Request Management System, where built.

Make any changes as necessary.

Obtain formal written approval for the Change Request Management Process components.
**Figure N4: Sample Change Request Management Task/Responsibility Matrix**

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<tr>
<th>Task</th>
<th>Assigned Role</th>
<th>Responsibilities</th>
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<tbody>
<tr>
<td>Change Request Identified</td>
<td>Project Team Member</td>
<td>Complete and submit a Change Request Form to the project manager for any changes or deviations to the project. If a significant amount of time and effort is required to assess the impact of a change request (e.g. for a new systems development), then the time/effort to prepare the impact assessment should be included. Significant time should not be spent preparing the impact assessment for the change request until this time has been approved.</td>
</tr>
<tr>
<td>Raise Change Request</td>
<td>Project Manager</td>
<td>Check the details on the Change Request Form, in particular the impact assessment and the priority of the change, where included. Make any changes as necessary. Add a distribution list of project areas or persons impacted by the proposed change. If the change is widely known and already agreed by the affected parties, the Change Request Form should also be annotated accordingly to bypass the comment gathering exercise. Send the completed form to the Project Office.</td>
</tr>
<tr>
<td>Validate Change Request Update Change Request Log</td>
<td>Project Office</td>
<td>Check that the Change Request Form has been completed correctly. If not, liaise with the Project Manager. Enter the change request in the Change Request Log and fill in the status value. File the original. If the change request indicates all parties have already agreed, it may be submitted directly to the Project Steering Committee. Otherwise, send a copy of the change request to the Project Managers of the groups affected by the change request (distribution list), requesting comments and return date. This should include any project risk analysis.</td>
</tr>
<tr>
<td>Review Change Request</td>
<td>Project Steering Committee</td>
<td>Review change request and decide on action. Return approved, deferred, analysis required and rejected change requests to the Project Office as soon as possible. For change requests for which further analysis is required, identify assignee to prepare the impact analysis. Subsequently hold regular meetings with Project Office to review outstanding change requests and determine any corrective action.</td>
</tr>
<tr>
<td>Analysis Required</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Update CR Log Send to Impact Assessor</td>
<td>Project Office</td>
<td>Send a copy of the Change Request Form to the Assignee for impact assessment. File the Change Request Form. Fill in or update the Change Request Log to indicate the assignee and the status of the change request.</td>
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### CHANGE REQUEST MANAGEMENT TASK/RESPONSIBILITY MATRIX

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<table>
<thead>
<tr>
<th>Task</th>
<th>Assigned Role</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare Impact Assessment</td>
<td>Assignee</td>
<td>Prepare impact assessment. Update Change Request Form with impact assessment details. Send back to Project Office</td>
</tr>
<tr>
<td>Update CR Log</td>
<td>Project Office</td>
<td>Receive completed form from assignee. Update Change Request Log and send Change Request Form to Project Steering Committee</td>
</tr>
<tr>
<td>Review CR Impact Assessment</td>
<td>Project Steering Committee</td>
<td>Review the impact assessment that has been completed for the change request. Determine whether escalation is required. Return approved, deferred, analysis required, escalation required and rejected change requests to the Project Office as soon as possible.</td>
</tr>
<tr>
<td>Update CR Log</td>
<td>Project Office</td>
<td>Update Change Request Log. Send copy of the Change Request Form to the project manager so that plans and costs can be updated. Send a copy of the approved change request to the assignee for implementation.</td>
</tr>
<tr>
<td>Update plan</td>
<td>Project Manager</td>
<td>Update plans and costs to reflect the impact of the approved change request.</td>
</tr>
<tr>
<td>Implement Change</td>
<td>Change Owner</td>
<td>Implement agreed change. Complete Change Request Form to indicate what was changed and when the change was successfully implemented.</td>
</tr>
<tr>
<td>Obtain acceptance and sign-off</td>
<td>Project Office</td>
<td>Distribute the completed Change Request Form to affected parties for sign-off and acceptance of the implemented change.</td>
</tr>
<tr>
<td>Accept and sign-off</td>
<td>Project Manager</td>
<td>Review implemented change and confirm that the change has been implemented. Communicate acceptance for the implemented change to the Project Office.</td>
</tr>
<tr>
<td>Update Change Request Close CR</td>
<td>Project Office</td>
<td>Update the Change Request and Change Request Log to close the Change Request.</td>
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</tbody>
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2 Implement Change Request Management Process, Roles and Responsibilities

Purpose

To implement the Change Request Management Process, Roles and Responsibilities.

Overview

This task is used to prepare and distribute any additional guidance materials and to complete any training required to support the Change Request Management Process, assign change request management roles and responsibilities and provide access to the Change Request Management system.

2.1 Prepare Change Request Management training.

Determine project requirements for Change Request Management training. Where a Change Request Management system is to be used, the following training activities may need to be undertaken:

?? Identify personnel to be trained;
?? Determine training scope and strategy;
?? Develop training course materials; and
?? Conduct training sessions.

2.2 Prepare Change Request Management Guidance materials.

Prepare Change Request Management Guidance materials by collating and packaging the Change Request Management Process Flow, Change Request Management Procedure, Change Request Reports, Change Request Form, the Change Request Log and any additional material that has been prepared to support use of the Change Request Management system.

Change Request Management Guidance materials should provide the project team members with sufficient information to be able to:

?? Determine when to raise a formal change request;
?? Make appropriate use of the Change Request Form throughout the Change Request Management Process;
?? Access and use the Change Request Log to determine whether a change request needs to be raised and track raised changes; and
?? Identify individuals who are responsible for different aspects of the Change Request Management process to whom they can refer for further assistance, when necessary.

2.3 Assign Change Request Management Roles and Responsibilities.

Identify and brief members of the project who are going to fulfil roles in the Change Request Management Process following the organisation’s formal human resource processes, where appropriate.

Conduct orientation sessions for each member of staff separately to agree the job descriptions.

2.4 Distribute Change Request Management guidance.

Distribute the Change Request Management Guidance. Complete the Change Request Management training. Provide access to the Change Request Management system.
3 Manage and Track Change Requests and Prepare Change Request Reports

Purpose

To manage and track change requests and to prepare and distribute Change Request Reports.

Overview

This task is used to manage change requests, manage the Change Request Log and follow-up on any outstanding change requests.

Change Request Reports are prepared and distributed to provide a means of communicating the status of change requests affecting the project to various audiences.

3.1 Manage change requests.

Manage change requests and their resolution using the Change Request Management Process and procedures. Project Office tasks may include:

- Collating raised change requests and validating information;
- Assigning a change request categorisation;
- Assigning a change request tracking number and updating the Change Request Log;
- Distributing change requests for analysis and review;
- Collating completed change request analyses and review decisions;
- Ensuring that project plans, timing and costs are updated to reflect the impact of approved changes;
- Distributing approved change requests to appropriate project team member for implementation;
- Obtaining sign-off for implemented changes; and
- Closing the change request and updating the Change Request Log.

3.2 Review the Change Request Log and Change Request Forms.

Review the Change Request Log on a regular basis. Follow-up on any change requests that are outstanding to check their progress.

Make any alterations to the change request prioritisation for outstanding change requests using the list of criteria that has been developed. Communicate these changes to the relevant project team members.

Regularly review the Risk Log. Remove any risks that have materialised as change requests from the Risk Log. Ensure that an entry exists on the Change Request Log.

3.3 Prepare Change Request Reports.

Prepare Change Request Reports which may include:

- How individual change requests are linked to each other and how they impact each other;
- How many change requests have been closed and how many are open in the reporting period and for the project life;
- How many change requests have been raised for the reporting period and for the project life;
- Change request by status/impact/type;
- Key change request “themes” that are emerging from the project;
- How individual change requests are linked to other projects; or
- How change requests from other projects within the overall programme may affect this project.
Figure N5 shows a sample Change Request Report that illustrates, for a four month period, the number and status of outstanding change requests, the number of new change requests and the number of change requests that have been closed.

**Figure N5: Sample Change Request Reports**

![Outstanding Change Requests](chart1)

- Approved
- Approval overdue
- Awaiting Approval
- Resolution overdue
- Awaiting Resolution
- Awaiting logging

![New Change Requests Raised](chart2)

- Feb
- Mar
- Apr
- May

![Change Requests Closed](chart3)

- Feb
- Mar
- Apr
- May

Figure N6 shows a sample Change Request Report that illustrates, for a twelve month period, the number of Change Requests raised, opened and closed every month.

**Figure N6: Number of Change Requests Raised, Opened and Closed by Month**

![Number of Change Requests](chart4)

- Jan
- Feb
- March
- April
- May
- June
- July
- August
- Sept
- Oct
- Nov
- Dec

- Raised
- Open
- Closed

Figure N7 shows a sample Change Request Report that illustrates, over a three month period, an aged analysis of open Change Requests.

**Figure N7: Sample Aged Analysis of Open Change Requests**

![Aged Analysis of Open Change Requests](chart5)

- This month
- Last month
- Previous month

No of Change Requests

No of days since raised
3.4 Distribute Change Request Reports

Distribute the Change Request Reports to the agreed list of recipients together with appropriate graphics or packs to provide the report audience with an instant overview of project change requests which may affect their work.

Change Request Reports provide a source of information that should be used by project management and the Project Steering Committee on an ongoing basis to address the important and pertinent change requests affecting the project.

3.5 Project close.

When the project is closed, ensure that any open change requests are included in the formal project close tasks which are addressed in Close phase. These open change requests may have an impact on the business outcomes and benefits realisation from the project.
Appendix 1: Change Request Log and Form

Change Request Log

Change Request Form
Appendix 1

Change Request Log

Purpose

To maintain a master list/control log of all Change Requests.

Completion Instructions

1. Change request number Assign the next available sequential number. The assigned number is also documented on the Change Request Form.

2. Change request title Specify the title of the change request. This title should correspond to the title on the Change Request Form.

3. Raised by Name of person who raised the change request. This should correspond to the name provided on the Change Request Form.

4. Date raised Date the change request is raised.

5. Priority Identify the change request priority e.g., prioritisation categories in use may include:
   - H - required as soon as possible, irrespective of its impact on the overall project schedule;
   - M - a change that must be incorporated but that can be scheduled into the project timetable in an orderly manner; and
   - L - a minor change that has no significant impact on achieving the milestones and to be scheduled if feasible.

6. Milestone The first milestone that the change request impacts

7. Issue number The issue number detail from the Issue Resolution Form that the change request has resulted from, where applicable.

8. Status The current status of the change request e.g., status descriptions in use may include:
   - O - open;
   - A - assigned;
   - I - investigated;
   - R - resolved;
   - A - approved;
   - D - deferred;
   - N - no action (cancelled); and
   - C - closed.

9. Status date The date the last status change was made.

10. Assigned to The name of the individual to whom the change request has been assigned.

11. Date assigned The date on which the change request was assigned to the assignee.
<table>
<thead>
<tr>
<th>Change request number</th>
<th>Change request title</th>
<th>Raised</th>
<th>Status</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Raised by</td>
<td>Date raised</td>
<td>Priority</td>
</tr>
<tr>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
</tbody>
</table>
Appendix 1

Change Request Form

Purpose

To document any change requests which are identified during the course of the project.

This form provides a mechanism for recording and controlling change requests and their implementation.

Completion Instructions

1. **Change request number**  Assign the next available sequential number.

2. **Change request title**  Specify the title of the change request.

3. **Issue number**  The issue number detail from the Issue Resolution Form that the change request has resulted from, where applicable.

4. **Date raised**  Date the change requested raised.

5. **Raised by**  Name of person who raised the change request.

6. **Project**  Name of the project that is raising the change request.

7. **Workstream**  Workstream that is raising the change request.

8. **Milestone**  The first milestone that the change request impacts.

9. **Priority**  Identify the change request priority e.g., prioritisation categories in use may include:
   - **High** - required as soon as possible, irrespective of its impact on the overall project schedule;
   - **Medium** - a change that must be incorporated but that can be scheduled in the project timetable in an orderly manner; and
   - **Low** - a minor change that has no significant impact on achieving the milestones and to be scheduled if feasible.

Or

- **Emergency** - a response to the change is required immediately. Initiate Fast-Track procedure and call an emergency meeting of the Steering Committee;
- **Urgent** - a response is required within five working days. The Steering Committee is alerted to the problem immediately. Impact assessment to be initiated; and
- **Routine** - a change is justified but no decision is required prior to the next scheduled meeting of the Steering Committee.

Or

- **High** - implementation of change required as soon as possible, irrespective of its impact on the overall project schedule;
- **Medium** - a change that must be incorporated but that can be scheduled in the project timetable in an orderly manner; and
- **Low** - a minor change that has no significant impact on achieving the milestones and to be scheduled if feasible.

10. **Description of change and impact**  A description of the change and the impact.

11. **Distribution list for comments**  List of personnel who may be impacted or should comment on the change request before it is approved/rejected.

12. **Category**  Identify the change request category. Example categories include:
\textbf{Enhancements} - enhancements to existing processes or systems;
\textbf{Issues} - issues or problems that have occurred, resolution of which requires the implementation of change; and
\textbf{Gaps} - identification of gaps in previously agreed requirements.

13. \textbf{Date required by} Date by which all comments should be received.

14. \textbf{Comments} Detailed comments by personnel from whom comments have been requested.

15. \textbf{Impact assessment of change} Describe the types of impact assessment performed and possible analysis outcomes. Types of impact assessment may include:
- Initial high-level impact assessment of not implementing the change conducted as part of the process of raising a change request;
- Detailed impact assessment of the change on completed deliverables;
- Detailed impact assessment of the change on the project scope;
- Detailed impact assessment of the change on the business benefits and project costs;
- Detailed impact assessment of the change on the project schedule;
- Detailed impact assessment of the change on the project costs; and
- Actions required to implement the change.

Describe the impact assessment outcomes which may include:
- Rejection of the change request;
- Approval of the existing change request;
- Requirement to conduct additional impact assessment before a decision can be made; and
- Requirement to escalate the change request.

16. \textbf{Prepared by/Date} Indicate the name of the person who has prepared the impact assessment and the date prepared.

17. \textbf{Date submitted} Date the impact assessment was submitted for approval.

18. \textbf{Approved/Rejected} Mark the appropriate box to indicate whether the change request has been approved or rejected.

19. \textbf{Initials/date} Initials of the individual who has approved or rejected the change request and the date on which the decision is made.

20. \textbf{Assigned to} Indicate the name of the individual to whom responsibility for implementing the change request has been assigned.

21. \textbf{Date assigned} Indicate the date on which responsibility for implementing the change request was assigned.

22. \textbf{Closure actions} For approved change requested, list the actions required to close the change request which may include:
- Updating the project plans and schedules to reflect the impact of the change;
- Updating project costs and budgets to reflect the impact of the change;
- Communicating the approval of the change to all affected parties; and
- Ensuring that the approved change is implemented satisfactorily.

23. \textbf{Date closed} Indicate the date when the change request is closed.
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<thead>
<tr>
<th>Change request number:</th>
<th>Change request title:</th>
<th>Issue number:</th>
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### Change Control

**Impact Assessment of Change**

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</table>
Appendix 2: Change Request Management Task/Responsibility Matrix

Purpose

To document the change request management roles and responsibilities.

Completion Instructions

1. **Task**  Describe the task that is to be completed.

2. **Assigned role**  Describe the role that has been assigned to complete the task.

3. **Responsibilities**  Describe the responsibilities associated with the assigned role.
### CHANGE REQUEST MANAGEMENT TASK/RESPONSIBILITY MATRIX

<table>
<thead>
<tr>
<th>Task</th>
<th>Assigned role</th>
<th>Responsibilities</th>
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