Child Welfare Digital Services

Change Management Plan

Version 3.2 – October 2018

Revision History

VERSION #	DATE OF RELEASE	AUTHOR	SUMMARY OF CHANGES
1.0	12/2/2014	Dora Serpa, Wa La, Joyce Humphrey	Initial Plan – Waterfall Approach
2.0	8/23/2016	Chad Bratton	Begin agile alignment. Created new process and Visio diagrams for CR / CN process.
2.1	11/15/2016	Chad Bratton	Created pyramid change control authority Visio diagram
2.2	4/27/2017	Chad Bratton	Updated Roles and Responsibilities, updated CR and CN Processes. Added ELT review information.
3.0	11/15/2017	Cindy Blehm	• Added executive summary • Updated roles and responsibilities • Provided more detail on the different types of CR and CN and the criteria/ threshold for each
3.1	12/05/17	Chad Bratton	• Replaced Change Request Pyramid Diagram with a table to help clarify when a CR is required. • Incorporated roles from the CA-PMF Change Management plan template, fixed page number formatting
3.2	10/26/2018	Sri Tanniru	• Updated plan to incorporate the Decision Making Framework (DMF) process

Table of Contents

1 EXECUTIVE SUMMARY

The purpose of the Change Management Plan is to establish a standardized agile change management approach for the approval and tracking of proposed changes for the CWS-NS project.

This Plan describes the processes, people, and tools involved in managing changes to CWS-NS project artifacts. To assist CWS-NS in efficient management of change control when the proposed changes in scope are minimal, this document defines both formal and informal change control processes.

2 INTRODUCTION

Change Management is the process of managing changes to the Child Welfare Services-New System (CWS-NS) project, artifacts, application code, deliverables at a strategic, tactical, and operational level. The objective of change control is to ensure that appropriate changes are approved before the change is implemented.

2.1 Purpose

The purpose of the Change Management Plan is to establish a standardized agile change management approach for the approval and tracking of proposed changes for the CWS-NS project.

2.2 Scope

This Plan describes the processes, people, and tools involved in managing changes to CWS-NS project artifacts. To assist CWS-NS in efficient management of change control when the proposed changes in scope are minimal, this document defines both formal and informal change control processes.

2.3 Project Approach

In November 2015, the CWS-NS project changed its approach towards the procurement, design, development, and implementation of the new system from a waterfall methodology to an agile methodology. The primary reasons for moving towards an agile approach are to accelerate business value delivery to our constituents and to mitigate the significant risks that plague large, complex IT projects of the past.

To align with Agile, change management processes were streamlined to accommodate the fluctuating nature of the service team sprints and to allow for a more efficient change control process that would not inhibit the natural flow of the sprint iterations. Since the idea of Agile development is to enable and encourage product or application owners to change their minds, change management in an Agile context needs to be smooth and natural. Authority is therefore delegated to the CWDS service team level to allow for a grass-roots change control process.

2.4 CWDS Governance

This Change Management Plan, in conjunction with the [CWDS Project Governance Plan](#) and [Decision Making Framework(DMF) plan](#) defines the CWDS change request process and specifies the levels of authority required to approve changes. Iterations in Agile development methodologies are designed to elicit feedback and requests for change. Handling them in a formalized change management process is designed to be smooth and natural. The Change Management vision is to execute change management at the lowest level of responsibility in the CWDS organization – at the service team level. This approach is in line with the agile methodology in making decisions at the lowest level possible or team level.

A change is defined as an addition, modification, or removal of a configurable item (CI) that could have an effect on scope, budget or time. Configurable items are defined in the CWDS Configuration Management Plan. The type of change will necessitate the type of response.   The scope of this plan covers changes during all agile stages (Planning and Analysis, Discovery, Alpha, Beta and Live).

3 POLICIES

Change Management should adhere to the following policies:

- The State is responsible for managing and enforcing the change management process.
- The Change Manager is the single point of contact for change requests to minimize the likelihood of conflicting changes and potential disruption to supported environments.
- The tracking of all changes to defined configuration items under the change control process will be recorded in the Change Request Log.
- All change requests should be assessed for their impact on scope, schedule, cost, quality, risk, resources, and customer satisfaction.
- Change Requests are closed by the Change Manager only upon verification that the change has been rejected or successfully completed.
- Success is defined as implementation of the change.
- The Change Management tool is a State-provided tool.

3.1 Document Maintenance

This document will be reviewed annually at minimum and updated as needed as the project proceeds.

This document contains a revision history log. When changes occur, the version number will be updated to the next increment and the date, owner making the change, and change description will be recorded in the revision history log of the document.

3.2 Integrated Plans and Processes

The Change Management Plan is closely integrated with the CWDS Configuration Management Plan. The scope of the Configuration Management Plan states that configuration items (CI) require version control and change requests, whereas non-configurable items only require version control and a less formal change request (CR) process called "change notification (CN)". Section 4 below goes into more detail on both the CR and CN processes.

The Change Management Plan approach is integrated with the Master Project Management Plan, CWS-NS Project Governance, Communication Management, Contract Management, Quality Management, Risk & Issue Management, Document Management, Schedule Management, Cost Management, and Requirements Management Plans.

4 ROLES AND RESPONSIBILITIES

The Table below lists Change Management roles, responsibilities and authority. Responsibilities may be delegated, but delegation does not remove responsibility from the individual accountable for a specific action.

ROLE	CHANGE MANAGEMENT RESPONSIBILITY
Service Team (includes Service Manager, Scrum Master, Performance Analyst, Core Team and Vendor Development Team)	The service team is the lowest level possible for a change to be initiated or implemented. The Service Team is responsible for: • Completing the Change request log entry • Completing the analysis of the change impact • Implementing approved changes (when appropriate)
Change Request Owner	The Change Request Owner is responsible for: • Identifies the potential change. • Identifies possible solutions and their impact to the project and its Stakeholders. • Takes ownership and works with the project team to analyze, evaluate, and, if approved, implement CRs. • Completes the CR Form (CRF). • Prepare supporting documentation for the CR. • Obtains manager approval to submit the CRF to the CR Coordinator (CRC). • Submits CRF to the CRC. • Verifies CRs are implemented correctly.

ROLE	CHANGE MANAGEMENT RESPONSIBILITY
Change Request Product Owner (or Service Manager)	The Change Request Product Owner is responsible for: • Reviews and approves the CRF created by the CR Owner.
Change Request Coordinator (CRC)	The Change Request Coordinator is responsible for: • Single point of contact for CRs. • Receives and records CRs in the chosen tracking tool. • Performs initial CR risk assessment and follows up with the Risk Manager. • Reviews the CR's impact to the project's scope, schedule and cost. • Schedules and transcribes the CCB meetings. • Maintains the CR tracking tool, monitors CR progress and reports status regularly. • Produces metrics on CRs. • Measures the overall quality of the CCP to report trends and make recommendations for process improvement. • Maintain project CR documentation in project library.
Project Manager	The Project Manager is responsible for: (can delegate responsibilities as needed) • Creates or delegates the creation of the Change Control Management Plan. • An active sponsor of approved changes. • Manages the CCP and any resistance to approved changes. • Approves CRs for analysis. • Assigns the CR analysis to a Change Owner. • Reviews the scope, budget and schedule impacts. • Assigns project resources for CR analysis and, if approved, implementation. • Reviews the CR implementation after it is deployed. • Communicate CR status/decision back to Stakeholders. • Votes as a member of the CCB. (May or may not be the CCB chairperson, depending on project size and complexity.) • Initiates the escalation process to the Executive Steering Committee, as needed.

ROLE	CHANGE MANAGEMENT RESPONSIBILITY
Release Manager	The Release Manager is responsible for: • Ensure changes do not have a negative impact to planned releases.
CCWG (Change Control Working Group)	The CCWG is responsible for: • Analyzing change requests before CCB meetings to ensure necessary SME's are present for CCB meetings.
Change Control Board (CCB)	The CCB is responsible for: • Primary decision-making body for CRs. • Meets on a regular basis to address outstanding CRs and escalates to Project Sponsor(s) and/or Executive Steering Committees, as necessary. • Take action on CR decisions by Project Sponsor(s) and/or the Executive Steering Committee
Executive Leadership Team (ELT)	The ELT is responsible for: • Approving changes for anything that does not require an SPR • Final approving authority for the Change Control Management Plan, by consensus if there are multiple Sponsors. • Determines the need for and composition of a Steering Committee. • Makes decisions on CRs escalated by the Change Control Board (CCB).
BOD (Board of Directors)	The BOD is responsible for: • Approving CRs pertaining to changes in scope, cost, or schedule.

4.1 Change Control Board

Change Requests can be reviewed at a weekly or bi-weekly CCB meeting, or CR's can be reviewed on an as needed basis to support CWDS business and development needs. CR review helps to ensure change requests are carefully evaluated, analyzed, and assigned to the correct subject matter expert for further analysis and/or implementation. CWDS CCB members consist of existing Legacy System Staff, Service Directors, PMO Manager, Security Lead, Technical Lead, Change Manager, Release Manager, County Representative, Procurement Manager, Policy Manager, and other CWDS staff as needed. The CCB will review open CR's and evaluate new CR's. The Change Request Coordinator will log all CCB decisions during each meeting.

5 CHANGE MANAGEMENT PROCESS

Change requests are identified based on business, technical, and/or project need. For example, the origin of a change request may be due to environmental factors such as federal mandates, regulation changes, or technical issues. Regardless of the origin, all change requests must be evaluated and prioritized for impact to the business, system and/or project.

In alignment with Agile, fewer changes are required to go through the formal change control process and are managed and communicated internally within the project in a more informal manner.   At any time prior to approval, a change request can be rejected or sent back for further evaluation or assessment.

5.1 Change Type Response Times

Type	Response Times
Normal	Normal changes are reviewed at the weekly CCB meeting. CCB responses are logged each week, including requests for further analysis if needed.
Emergency	Emergency changes will be sent out for review and approval the same day that the change requests are received.
Routine	Routine change requests are reviewed at the weekly CCB meeting. CCB responses are logged each week, including requests for further analysis if needed. Note: A routine change is a change request can be approved by the CCB to become a pre-approved change, which would allow the service team to perform specific actions without needing CCB approval. A routine change request also requires a change notification as described in section 5.7 Change Notification
Service Enhancement	Service Enhancement requests are reviewed at the weekly CCB meeting. CCB responses are logged each week,

		including requests for further analysis if needed.

5.2 Project Baselines: When to submit a CR

Use the high level table below as well as sections 5.3, 5.4 and DMF to see when a Change Request or Change Notification is required to be submitted.

Change Request	Change Notification	Change Description
YES	**YES**	**Production Changes:** This includes changes to CWS-CARES, and other CWDS Production Systems such as JIRA, GitHub, and other tools that support development and business needs. Changes in these systems should be carefully evaluated and planned with a Change Request.
NO	**YES**	**Standard changes to Configuration Items*** Standard Changes include things like password updates for non-production systems, updating project documentation, or deploying code to a lower level environment. Users should be informed with a Change Notification, but a Change Request is not required for standard changes.
YES	**YES**	**Non-standard changes to Configuration Items*** Any non-standard changes require a Change Request.
YES	**YES**	**Any Increase in cost (not currently in an approved budget).**
YES	**YES**	**Adverse impact to planned standards (NIST, SACWIS, CCWIS).**
YES	**YES**	**Team needs additional resources not approved in BCP.**
YES	**YES**	**Policy and/or CDT mandates that affect digital teams.**

*Reference the CWDS Configuration Management Plan for more information related to configuration items.

5.3 Changes to Requirements (Scope)

Why do requirements change? Because people change their minds for a variety of reasons. This happens because:

- **A Requirement was missed.** A stakeholder will often work with an existing system and realize that it's missing a feature.

- **A defect was identified.** A bug, or more importantly the need to address the bug, should also be considered a requirement.

- **Development teams did not understand the actual business need.** Digital service teams may show a stakeholder the working system to date only to have

them realize that what they asked for really isn't what they want after all. Active stakeholder participation and short iterations may reduce this risk.

- **Politics Happen.** The political landscape within CWDS is dynamic. When the balance of political power shifts amongst your stakeholders, and it always does, so do their priorities. These changing political priorities may motivate changes to CWDS requirements.

- **Legislation changes.** New legislation requires new features, or changes to existing features.

The CWDS digital service teams embrace change, accepting the idea that requirements will evolve throughout a project. The challenge is to do just enough initial requirements envisioning to identify the project scope and develop a high-level schedule and estimate. During development, the digital service teams will model in a just-in-time manner to explore each requirement in the necessary detail.

Change management should be avoided in the middle of an iteration (sprint), since Agile modeling may have preceded the implementation in that iteration. In such cases, changes themselves need to be scheduled as stories or features for the next iteration. Changes done during an iteration may introduce defects due to inadequate modeling thought. When properly scheduled in iterations, modeling reviews can be done just before an iteration is started, and the kinds of defects due to architectural mistakes are avoided. These are regression defects due to unforeseen side effects of architectural and code changes. They are best avoided during an iteration but can be carefully considered at the beginning of an iteration. When change management is blended in with stories or features, careful thought can be applied to see if the changes need to go earlier in the iterations or can wait.

It is important to note that progress does <u>not</u> slow, or stop, while the impact of a scope changes is assessed and estimated. Changes are assessed throughout the project life cycle, and the scope is re-planned at the start of each iteration within the program increment (PI), and at the planning stage of the PI itself. There is a natural break at the start of each iteration where upcoming scope items and upcoming change assessments are prioritized by the technical staff and the business sponsors. Digital service teams conduct a detailed assessment of the impact of changes that are important enough to work on during the next iteration -- in this way, the project is not delayed by assessing changes that may be pushed out to later in the project or even into future follow-on projects.

Additionally, with the continuous testing nature of CWDS as an agile project, changes resulting from defects are discovered and rectified almost immediately, reducing the risk of late-emerging defects impacting the project schedule. Changes are easily incorporated into the natural process of reprioritization and planning that takes place at the start of each iteration and at the start of each PI.

New requirements, including defects identified as part of user testing activities, are prioritized by the project stakeholders and added to the backlog in the appropriate place. Project stakeholders have the right to define new requirements, change their minds about existing requirements, and even reprioritize requirements as they see fit. However,

stakeholders must also be responsible for making decisions and providing information in a timely manner.

Fundamentally a single person, the Product Owner, needs to be the final authority when it comes to requirement prioritization within each digital service team. Scrum suggests that you freeze the requirements for the current iteration to provide a level of stability for the developers. Any change to a requirement you're currently implementing should be treated as just another new requirement.

5.4 Changes to the Schedule

Determining the project end date in projects managed with agile techniques is really no different than the methods used in determining end dates in projects managed traditionally. However, in agile projects, there is a clear understanding at the beginning that the project plan, including the schedule, will indeed change, as iterations are completed. The project plan at the beginning is only a plan—not a finite prescription of how the project will unfold.

Estimating time for the CWDS project is based on two concepts: "velocity" and "ideal time" vs. "elapsed time."

- **Velocity** is the rate at which the digital service team develops some number of product features in a timeboxed iteration. CWDS uses two types of timeboxed durations:

    o Sprint – 2 weeks

    o Program Increment – 12 weeks (6 sprints)

- **Ideal time** is defined as the time it takes to accomplish a task when all peripheral tasks are stripped away—that is, when all "waste" is removed from the essential task. **Elapsed time**, on the other hand, is the clock time it actually takes to accomplish a task.

    When estimating the schedule for CWDS, the digital service team should be encouraged to think in terms of ideal time, since all non-essential tasks will be factored into the project team's velocity. In other words, team's estimate the effort, not the duration.

For each digital service team, the product owner and team are continuously planning the next set of activities, the next iteration. There should be a high degree of certainty in the schedule for this next iteration, with decreasing certainty in future iterations. CWDS uses three mechanism to track the traditional "schedule activities" for the project:

- **Product Roadmap** – the product roadmap defines, for each digital service team, the following:

    o System-wide design elements

    o New or enhanced functionality

    o Core business processes

      o API and data needs

- **JIRA** – JIRA serves as the on-line, real-time scrum tool to manage the backlog and current iteration of each digital service team. Labels are defined and attached to high level epics and features that define the program increment (PI) for delivery.

- **MS Project Schedule** – At a high level, an MS Project Schedule is maintained to track each digital service team, along with the project support teams, high level epic or feature stories.

5.5 Changes to the Budget

<mark><This section is under development></mark>

5.6 Change Request Process

Change Request Process for CWDS Configurable Items

Svc. Team

Submit CR with "Discovery" Staus

6. Team Makes Changes / Performs more analysis as requested by CCB

7. Svc. Manager Approval

Service Manager

2. Review CR for agreement

Rejected

CCWG, Change Manager

3. Review CR for accuracy and completion. Reject / Accept

Notify

5. Log CCB Decision and Notify

8. Close CR

CCB / ELT / BOD

Accepted

4. CCB Review and Analysis. Approved / Needs More Analysis

Note: A change can also be flagged for ELT or BOD review at this step

Stakeholder Relations

9. CR Blast Message Received for review

10. Add to communications Blast

Change Request Process Steps:

Step #	Step	Description
1	Change Control Process Begins	The service team must submit a CR with "Discovery" status for changes to Configurable Items.
2	Service Manager / Product Owner Review and submission	The Service Manager or Product Owner reviews the CR. If service manager is in agreement, change the CR status to "Submitted" so that the CCWG and CCB can begin to review the CR. If the service manager / product owner does not agree, they will relay the information back to their team for further discussion.
3	Change Control Working Group / Change Manager Review	CR is reviewed for accuracy and completion. Status is updated to "accepted", or "rejected" if adjustments are needed from the submitting team.
4	CCB Review	Accepted CRs are reviewed and analyzed by the CCB.
5	Change Decision	The CR is either approved for implementation, rejected, or the CCB determines more analysis is needed. The decision is sent to the Service Team and logged by the Change Manager. A description is added to the CR log to explain the decision. A CR can also be flagged for ELT or BOD review at this step.
6	Team Analysis	If approved for analysis, the Service Team performs analysis, makes appropriate changes and prepares release notes or a change notification to include in a blast message.
7	Service Manager / Product Owner Approval	Service Manager / Product Owner reviews and approves changes, and notifies the Change Manager and Stakeholder Relations.
8	Close CR	CR is closed by Change Manager
9	CR Blast Review	Stakeholder Relations reviews CR Blast Message
10	Add to blast	Stakeholder Relations adds the message to a blast, and a blast is sent to the CWDS Distribution list

5.7   Change Notification Process:

Change Notification Process

Service Team

1. Svc. Team is authorized to make the change.

2. Team Decision: CR Submission, Changes are made

3. Change Notification is sent to Communications

Communications

4. CN Received. Review CN Blast Message

5. Add to communications Blast
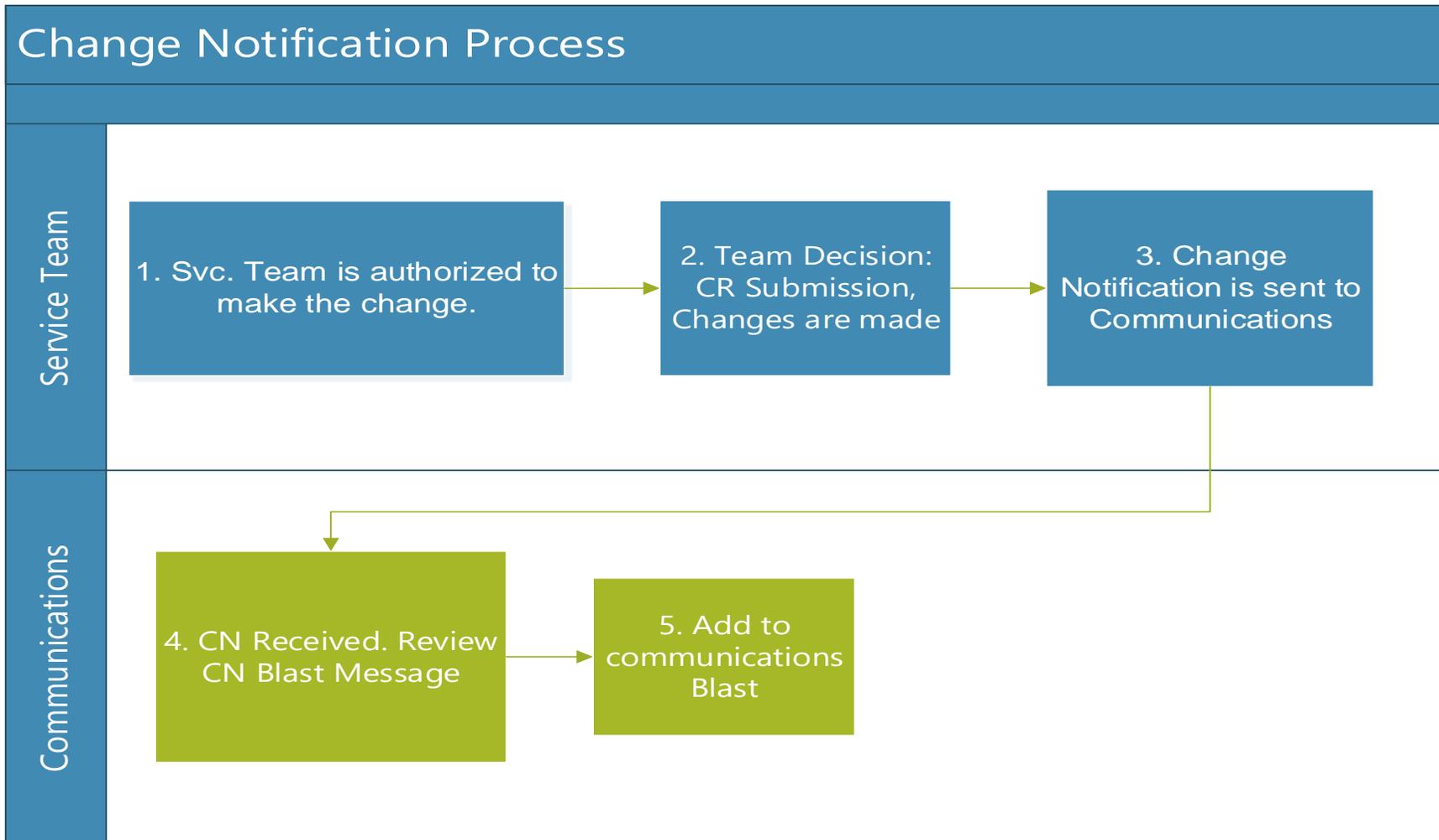
Change Notification Process Steps:

Step #	Step	Description
1	Change Notification Process Begins	If the Service Team is authorized to make a "pre-approved" change, it does not need to go through the CCB. In order to have authorization for a pre-approved change, the service team must submit the CR with a type of "Routine" to indicate that this is a routine task performed by the service team. At this point, the CCB would review the CR and decide whether or not to approve the change as pre-approved, or change the request to a normal CR as defined in Table 5.1 Change Type Response Times
2	Team Action	Team decides who should make the change, a CR is submitted as a "pre-approved" change, and the changes are reviewed by the team's Service manager and implemented as discussed amongst the team.
3	Notification Sent to Stakeholder Relations	A Change Notification message (CN) is sent to Communications
4	CN Received	Communications reviews CN Blast Message
5	Add to Blast	Communications adds the CN to a blast, and a blast is sent to the CWDS Distribution list

5.8 Change Request Log

The Change Request Log is stored on the CWDS SharePoint site here. Compared to a complex PDF form, the CR log offers a simplified method of change management used for tracking and updating change requests. A custom view has been setup for ELT review of change requests. Items needing ELT review are marked "Yes" underneath the "Needs ELT Review" column.

Change Request Log

Open CR's   All CR's   ELT Review   •••   Find an item   🔍

	Edit	ID	Title		Change Type	Originator's Name	Pre-approved Change	Needs ELT Review
✓								
	📝	6	New Interface - Mock Change Request	•••	System Functionality	☐ Bratton, Chad@OSI	No	Yes

nission Form

gement

agement

5.9 Priority Levels

The priority of a change requests is based on impact. Impact is defined as the level of benefit achieved if successfully implemented, or the level of negative impact to users or resources.

Priority Levels:

1 - Critical: Work Stoppage or severe impact.

2 - High: Work stoppage is imminent, need resolution.

3 - Medium: Impact on productivity is expected; workaround has been identified and a solution is needed.

4 - Low: Impact on productivity is low, solution is needed.

Screenshot of the tool:

CR Priority

◯ 1 - Critical: Work Stoppage or severe impact.
◯ 2 - High: Work stoppage is imminent, need resolution.
◯ 3 - Medium: Impact on productivity is expected; workaround has been identified and a solution is needed.
◉ 4 - Low: Impact on productivity is low, solution is needed.

5.10 **Tracking a Change Request**

Tracking must include collecting and tracking data for each change request. This may include, but is not limited to, the following types of data:

- Unique Tracking Number

- Date of Request

- Summary of Request

- Impact Analysis

- Status or disposition of the CR

- Status Date

- Person Assigned

- Date Due

- Date of Implementation

- Change Origination

- Date of Closure

5.11 **Change Notification**

All change notifications should be under a separate header within a blast message. Here is an example:

Stakeholder Feedback Update:

On Tuesday, CWDS began communicating to stakeholders that the CWDS Pivotal Tracker projects are publicly visible. To support that effort, the team developed communication material, a new CWDS web page, instructional text and videos, and a feedback form that allows stakeholders to provide feedback directly related to our Pivotal Tracker stories.

If you are interested in seeing what we launched, visit the CWDS Stakeholder Feedback page.

Facilities and Business Services Update:

You may have noticed that some of our teams have moved office spaces. Procurement, Budget/Fiscal/Reporting moved out of Suite 210, making room for API, Intake, and Technology to move in. Please make sure to say hello to your new neighbors.

Change Notifications:

The Project Management Office updated the Schedule Management Plan on the CWDS Website.

6 ACRONYMS AND TERMS

ACRONYM/TERM	DESCRIPTION
Baseline	Approved version of an item subject to configuration control.
BOD	CWDS Board of Directors
Change	The addition, modification or removal of anything that could have an effect on IT services. The scope includes changes to all architectures, processes, tools, metrics and documentation, schedule, projects, as well as changes to other configuration items.
Change notification(CN)	Notification of a change that was made.
Change request (CR)	A CR is a formal request for a change to be implemented. Approval is required. A CR will specify the details of the proposed change.
Configuration Item (CI)	A CI is any component or other service asset that needs to be managed in order to deliver an IT service.
ELT	Executive Leadership Team
Release notes	Release notes are documents, which are released as part of the final build that contains new enhancements that went in as part of that release and the known issues of that build. Release notes also feed the process of end-user documentation, user guide and training materials