Project: Flood Refuge Site

Change control approach

Documenting how you will manage changes during the project

UNHCR/FLOOD/CCA/V1.0

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# Introduction

A change control approach is used to identify, assess and control any potential and approved changes to the project baselines to protect the project’s products. This project will use a suitable change control procedure to ensure that we protect and maintain the agreed scope of the project.

The project board (specifically the Executive) will be responsible for ensuring there is a suitable change control approach in place.

# Issue management and change control procedure

(Example provided based on PRINCE2 approach, if there is a suitable Organizational procedure in existence we should use this).

Baselining Method: We will use a basic document management approach to baselining. Simple Configuration Item Records and Product Status Accounts will be used.

Change Control Procedure: Informal issues will be captured in the project managers Daily Log (these are defined as issues with no direct impact on overall project objectives).

Formal Issues will follow the agreed PRINCE2 procedure of CAPTURE / ASSESS / PROPOSE / DECIDE / IMPLEMENT and recorded on the Issue Register and Issue Reports.

# Tools and techniques

A workshop approach will be followed when carrying out the ASSESS step of the change control procedure. The workshop will determine the impact of the issue.

A basic document maintenance approach will be undertaken to maintain the baselines.

# Records

Format and Structure of reports as per:

A12 Issue Register

A6 Configuration Item Record

A7 Daily Log

# Reporting

Issue reporting will be carried in the following way:

A13 Issue Report(s): Providing details of a specific formal issue – request for change; off-specification; problems/concerns.

A18 Product Status Account: Providing details of issues across any range of criteria as specified – e.g. completed products in a stage; stage of development of products in a workpackage

Checkpoint reports: Produced by the team manager this will advise the project manager on any issues being dealt with and raised by the team during delivery of the work package.

Highlight reports: Produced by the project manager to advise the project board of the current position in respect of the stage. These will provide the project board with an update of the key issues raised and actioned during the stage.

End Stage reports: Produced by the project manager to advise the project board of completion of stages. These will provide the project board with an update of the key issues affecting the project.

End Project Report: Produced by the project manager to advise the project board of the achievement of the overall project objectives. This will provide a final update of any agreed off-specifications. It will also advise on agreements made with customer management about follow-on actions for outstanding issues.

Exception reports: Any issues raised by the proposed handling of the exception will be identified, analysed and any appropriate control actions recommended.

# Timing of issue management, change control and issue activities

Ongoing management of issues will be carried out by the project manager throughout the stage.

Formal activities will arise at the end of the stage or the end of the project where product status accounts will be created to show the completion of stage/project products in order to provide the project board confidence to approve the next stage or project completion.

# Roles and responsibilities

Project Management Team Roles as per the Change Theme and Appendix C.

If the project board decide to implement a delegated Change Authority then this will be recorded under this heading. For this example the project board have delegated lower level authority to the project manager and middle level authority to a ‘change board’.

# Scales for priority and severity

Priority of issues will be assessed for this project using the following scale:

High: Judged essential to the ongoing viability of the project if not addressed

Medium: Not essential -may impact viability if not addressed in a reasonable timescale

Low: Will not impact project objectives if not addressed urgently

Severity scales relate to the delegated authority level at which the role can make decisions on issues. For this project it will be based on time and cost impact:

Project Manager: Up to US$1000 per issue (maximum of US$8000 in a stage) / time impact to implement the change up to 4 days.

‘Change Board’: US$ 1000 up to US$ 5000 (maximum of US$25,000 in a stage / time impact of 4 to 10 days to implement the change

Project Board: Any changes above the recorded levels.

# Guidance on how to complete

***(Note: following completion of the Business case the pages beyond this point can be deleted)***

## Purpose

A change control approach is used to identify, assess and control any potential and approved changes to the project baselines to protect the project’s products. It describes the procedures, techniques and standards to be applied and the responsibilities for achieving an effective issue management and change control procedure.

## Composition

A change control approach includes the following:

* **Introduction** States the purpose, objectives and scope, and identifies who is responsible for the approach.
* **Issue management and change control procedure** Describes (or refers to) the issue management and change control procedure to be used. Any variance from corporate, programme management or customer standards should be highlighted, together with a justification for the variances. The procedure should cover activities such as capturing issues, assessing their impact, proposing actions, deciding on actions, and implementing actions.
* **Tools and techniques** Refers to any systems or tools to be used and any preference for techniques that may be used for each step in the issue management and change control procedure.
* **Records** Defines the composition and format of the issue register.
* **Reporting** Describes the composition and format of the reports that are to be produced, their purpose, timing and chosen recipients. This should include reviewing the performance of the procedures.
* **Timing of issue management and change control and issue activities** States when formal activities (e.g. reviews or audits) are to be undertaken.
* **Roles and responsibilities** Describes who will be responsible for what aspects of the procedures, including any corporate, programme management or customer roles involved with the change control of the project’s products. Describes whether a change authority and/or change budget will be established.
* **Scales for priority and severity** Describes the scales for prioritizing requests for change and off-specifications and for determining the level of management that can make decisions on the severity of an issue.

## Derivation

A change control approach is derived from the following:

* the customer’s quality expectations
* the corporate, programme management or customer tools and systems used for change control (e.g. any software in use or mandated by the user)
* the programme quality management strategy and information management strategy (if the project is part of a programme)
* the user’s quality management system
* the supplier’s quality management system
* specific needs of the project product(s) and environment
* project management team structure (to identify those with change control responsibilities)
* facilitated workshops and informal discussions.

## Format and presentation

A change control approach can take a number of formats, including:

* a stand-alone document or a section of the PID
* an entry in a project management tool.

## Quality criteria

The following criteria apply to a change control approach:

* Responsibilities are clear and understood by both user and supplier.
* The issue management and change control procedure is clearly documented and can be understood by all parties.
* The chosen change control approach is appropriate for the size and nature of the project.
* Scales are clear and unambiguous.
* The scales are appropriate for the level of control required.
* Reporting requirements are fully defined.
* Resources are in place to administer the chosen method of change control.