Change Management Plan

Version 3.0

Last Revised: 2.29.2016

Prepared by:
South Carolina Department of Health and Human Services (SCDHHS)
Member Management Replacement Project (MMRP)
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1.0 Approvals

The undersigned acknowledge that they have reviewed the document and agree with the information presented within this document. Changes to this document will be coordinated with, and approved by, the undersigned, or their designated representatives.

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Approval Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rhonda Morrison</td>
<td>Member Management Replacement Project Director</td>
<td>3/1/2016</td>
</tr>
<tr>
<td>Lisa Carlyle</td>
<td>DDI Project Manager</td>
<td>2/29/2016</td>
</tr>
<tr>
<td>Paul Leo</td>
<td>Member Management Replacement Project Manager</td>
<td>3/1/2016</td>
</tr>
</tbody>
</table>
2.0 Objective

The South Carolina Department of Health and Human Services (SCDHHS) established the MMRP to ensure project management standards and oversight activities are in place at the project level. Leveraging from the agency’s Project Management Office’s (PMO) efforts, this Change Management Plan (CMP) was adapted for the MMRP using the same guidance and requirements used in the in the PMO’S Change Management Plan V1.2.

2.1 Purpose

The purpose of the MMRP’s CMP is to outline the internal change management approach, methodology, and tools used to request, analyze, review, communicate, implement, monitor, control and report changes that are outside the MMRP’s baseline project schedule, because of a new request for change or a request to modify the scope or schedule of functionally already included in the baseline schedule.

The MMRP Team adopted the Change Management Plan V1.2 to remain in accordance with the PMO since it is the core document used for all projects to guide the program team, project teams and stakeholders for consistent change management activities. The processes outlined in this document manage the internal MMRP changes with the full understanding that this process will be folded into the PMO’s Change Management review process particularly when the change process requires approval by the Investment Review Board (IRB).

2.2 Overview

A change is a modification that affects the baselined scope, schedule, quality, cost, or network infrastructure and requires the discipline of formal change management. Change Management is the formal process for requesting, analyzing, reviewing, escalating, communicating, implementing, monitoring, measuring and reporting of project-related changes in a defined, consistent and repeatable manner.

The Change Management process provides the mechanism for the MMRP and identified SCDHHS leadership and other stakeholders to effectively prioritize changes, evaluate progress, manage costs and communicate status of identified changes that are outside of or a modification to the baseline project schedule.
3.0 Issues and Risks

Issues and risks are external factors that the decision maker has little or no control over, thus they inhibit the decision making process. However, if there are identified issues or risks related to the requested change through the implementation process, they would be documented accordingly.

3.1 Issues

Issues are entered using Microsoft® SharePoint Issue Register Entry Form that populates the Issue Register.

3.2 Risks

Risks are entered using Microsoft® SharePoint Risk Register Entry Form that populates the Risk Register.
4.0 Scope

The CMP outlines how change management activities will be performed, recorded, and monitored throughout the lifecycle of the MMRP including documenting and prioritizing changes approved.

The objectives of change management include the following:

- Ensures changes have value to the project and applicable to:
  - **Project Schedule.** Project Schedule changes may impact the approved project schedule. This type of change may require re-baselining the schedule depending on the significance of the impact.
  - **Budget/Cost.** Budgeted cost-related changes may impact the approved project budget. This type of change may require additional funding, or an APD updated.
  - **Scope.** Scope changes may be the result of unforeseen or unplanned requirements identified or a reprioritization of an existing requirement. This type of change may also impact budget and schedule. Scope changes may require revision to the project’s Work Breakdown Structure (WBS) scope statement, and other project documentation as necessary.

Minimizes the impact of services and/or systems provided to internal and external users which may lead to decreased productivity:

- Reduces planned outages
- Ensures changes are consistent with approved implementation plan
- Analyzes and monitors the quantity, reason, type and associated risks of change
- Monitors the change as it is implemented
- Continuously improves the process to reduce the number of changes

Changes will follow a formal, defined, repeatable process to ensure routine changes are completed with minimal restrictions while complex, high impact changes receive the necessary oversight.

4.1 Out of Scope

Tasks that require an operational process and are outside the initial scope of the Change Management process include:

- Production Support
- Business Continuity/Disaster Recovery
- IT-related changes that are within the daily administrative process including:
  - Password resets
  - User addition and deletions
  - User modifications
  - Additions, deletions, revisions to security groups
  - File permission changes
5.0 Approach and Methodology

5.1 Change Management Approach
Changes need to be identified as early as possible to minimize their impact; however, changes may be identified throughout the project’s lifecycle. SCDHHS expects changes to be submitted in a standardized format for consistency and effectiveness towards evaluating the change. The Change Manager (CM) ensures that changes are effectively submitted, reviewed, managed and documented throughout the life of the change process.

5.1.1 Change Management Process
The Change Management Process is used to ensure that every change identified is consistently:
- Submitted
- Analyzed/Escalated
- Accepted/Declined/Deferred
- Communicated
- Implemented
- Monitored and controlled
- Reported

5.1.2 Change Identification
Whether a change is identified informally or through a formal review session, change identification occurs.

Changes may in part be identified through the following ways:
- Scheduled reviews at the beginning of each life cycle phase
- Weekly and/or bi-weekly change management or status management reviews
- A project team member or developer at any time during the project lifecycle, including a change to the priority and/or Level of Effort (LOE) for a build already included in the baseline project schedule
- SCDHHS staff at any time during the project lifecycle through a Bright Ideas submission

Changes are submitted and documented by the CM via the Request for Change Request (RFC) form in Microsoft® SharePoint.

5.1.3 Change Analysis
Assessments are used by the CM, Quality Product Manager (QPM) and Project Manager (PM) to analyze the potential benefit and impact of the RFC. Change analysis is performed to identify the potential consequences of a change, estimating the resource needs, effort, schedule impact, which includes the current and downstream schedule effects and the evaluation of the risks associated with the change.

Change analysis is performed by the MM Change Control Board (MMCCB). This process includes:
- Categorizing the potential impact to scope, cost, schedule, technical, and/or quality for a new change or a modification to an existing build
- Prioritizing the change
5.1.4 Change Approval and Escalation

Change approval involves various members of the DDI and Operations MMRP team to provide recommendations and feedback for the disposition and prioritization of submitted changes to move forward in the change management process in part based on their knowledge of the particular item and any known impact to the existing system or planned functionality.

The CM, QPM, PM and Project Director ensures that the requested changes are thoroughly assessed from a technical and business perspective before submitting the change to the MMCCB.

Change(s) with low risk to the project and requiring less than 80 hours of development time, or shifts functionality tracks already included in the baseline schedule with no upstream or downstream impact on the schedule, the MMCCB will be informed of the change, but a vote will not be required.

If a functionality track was already in the baseline schedule, but the revised LOE requires a medium (81-120 hours) or large (121+) adjustment as compared to LOE on the baselined schedule, those changes will be submitted to the MMCCB for a decision.

5.1.5 Member Management Replacement Project Change Control Board

The MMCCB conducts the final review for the financial, scope and schedule impact information of the submitted RFCs, assesses, and prioritizes the change to be implemented. The MMCCB support team consists of the CM, PM, QPM, DDI Manager, Operations Manager, Product Managers, SMEs and SCDHHS representatives as required. The type of RFC will dictate the required members needed to review the RFC.

The MMCCB approved changes will be submitted to the MMRP Project Implementation Team for further action.

5.1.6 Change Communication

Communication during the change process to internal and external stakeholders is taken care of through email and the SharePoint Change Management Document library.

5.1.7 Change Monitoring and Controlling

Changes included on the Change Management Log are monitored on a consistent basis in order to:

- Track the status/progress of the submitted change(s)
- Ensure the timely implementation of the change and/or contingency plans
- Identify any new changes

Duties encompassed in monitoring and controlling changes at the project level include ensuring that:

- Approved changes are implemented as planned
- Change-related activities are effective
- Determine if new changes are needed based on new ACCESS Change Request Form
- Determine if new changes are needed to the existing baseline schedule based on a Level of
Effort (LOE) change request

- Monitor deferred changes to determine if they should be placed in the change process
- Assumptions related to the ACCESS Change Request Form are still valid
- Change-based policies and procedures are followed

Change monitoring and controlling is performed by the CM and PM.

5.1.8 Change Reporting

The CM must provide monthly updates in the Eligibility Enrollment Member Management System (EEMMS) MMCCB Monthly Statistics Tracker. These updates allow for accurate tracking of the change status and progress. Monthly reports are provided by the CM by the third business day of the month.

Key Performance Indicators (KPIs) from the Change Management Log include:

- Number of Requests for Change Pending, not submitted
- By Date
- By Status
- By Source
- Number of Informational only Items Presented
- Number of Requests for Change Opened
- By Date
- By Status
- By Source
- Number of Requests for Change Approved, Declined, Closed, Deferred or Duplicated
- By Status
- By Source
- By Meeting Date

5.1.9 Roles and Responsibilities

Each MMCCB member has one vote, with a simple majority required to approve a change. Votes are captured in person or remotely via email if a member is unable to attend in person. The votes must be noted in minutes maintained by the Change Manager.

The current MMCCB voting members and their designees are:

Rhonda Morrison (Project Director – MMRP Project)
Lisa Carlyle (DDI Manager – MMRP Project Alternate)
Michael Jones (Project Director - EEMS)
Lori Risk (Policy and Process Director – EEMS Alternate)
Jimmy Hampton (Regional Director - County Eligibility Representative)
Ginger Mitchell (Performance Manager – County Eligibility Alternate)
Kevin Rogers (Project Manager - Replacement MMIS)
Nancy Sharpe (Project Director – Replacement MMIS Alternate)
When needed other agency, project or Clemson representatives are invited to the meetings or asked for their input regarding the requested changes. Regular project and Clemson team members attendees who provide input and answer questions at the MMCCB meetings are:

- Rudy Rodriguez (Deputy Director of EEMMS - Clemson)
- Jeff Leyh (Production Support Manager – Clemson)
- Richa Gupta (Quality Product Manager)
- Paul Leo (Project Manager)
- Robynn Butler (Operations Manager)
- Timothy Cozine (Product Manager)
- Patina Sidner (IV&V)
- Lorraine Caprio (Change Manager)

5.2 Change Management Methodology

5.2.1 Member Management Request for Change (RFC)

A change is submitted based on the entry of the data elements listed on the Microsoft® SharePoint RFC Form and organized in the table below. Required elements of the change data are notated with an asterisk (*). The ACCESS Request for Change Form is split into 2 forms – an external form (Part I) that the requestor (or designee) completes and then an internal project form (Part II) that is completed by the CM.

<table>
<thead>
<tr>
<th>Data Elements</th>
<th>Data Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>Today’s Date *</td>
<td>Prepopulated by SharePoint Site</td>
</tr>
<tr>
<td>Requestor’s Name*</td>
<td>Enter the name of the person requesting the change to document (People Picker field)</td>
</tr>
<tr>
<td>Requestor’s Phone Number*</td>
<td>Phone Number text field</td>
</tr>
<tr>
<td>Data Elements</td>
<td>Data Values</td>
</tr>
<tr>
<td>---------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Requestor’s Email Address</td>
<td>Free-form field used to enter the email address</td>
</tr>
<tr>
<td>Supervisors Name (Requestor’s Supervisor)</td>
<td>Enter the name of the Requester’s Supervisor (People Picker field)</td>
</tr>
<tr>
<td>RFC Description</td>
<td>Free-form field used to enter the short title of the change request.</td>
</tr>
<tr>
<td>Detailed Description of Change*</td>
<td>Free-form field used to enter the large amount of text detailing the change</td>
</tr>
<tr>
<td>Reason for the Requested Change*</td>
<td>Free-form field used to enter the large amount of text detailing the reason for the RFC.</td>
</tr>
<tr>
<td>Consequences if Not Completed*</td>
<td>Free-form field used to enter the large amount of text detailing the consequences if the change is not implemented</td>
</tr>
<tr>
<td>Change ID Number*</td>
<td>Pre-populated by site</td>
</tr>
<tr>
<td>Attachments</td>
<td>Click the button to include an attachment(s). (i.e., Business Case)</td>
</tr>
<tr>
<td>Attach Another Document</td>
<td>Click the button to include an attachment(s).</td>
</tr>
</tbody>
</table>

Table 1: Member Management Request for Change Request (RFC)
<table>
<thead>
<tr>
<th>Data Elements</th>
<th>Data Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assigned To *</td>
<td>Enter the name of the person assigned to the change to document (People Picker field)</td>
</tr>
<tr>
<td>Priority</td>
<td>Select the current priority of the change:</td>
</tr>
<tr>
<td></td>
<td>• High</td>
</tr>
<tr>
<td></td>
<td>• Medium</td>
</tr>
<tr>
<td></td>
<td>• Low</td>
</tr>
<tr>
<td>Status *</td>
<td>Select the current status of the change:</td>
</tr>
<tr>
<td></td>
<td>• Open</td>
</tr>
<tr>
<td></td>
<td>• Deferred</td>
</tr>
<tr>
<td></td>
<td>• Accepted</td>
</tr>
<tr>
<td></td>
<td>• Declined</td>
</tr>
<tr>
<td></td>
<td>• Duplicate</td>
</tr>
<tr>
<td>Type of Change*</td>
<td>Select the applicable type of RFC from the following:</td>
</tr>
<tr>
<td></td>
<td>• Scope</td>
</tr>
<tr>
<td></td>
<td>• Budget</td>
</tr>
<tr>
<td></td>
<td>• Schedule</td>
</tr>
<tr>
<td></td>
<td>• Technical</td>
</tr>
<tr>
<td>Change Start Date*</td>
<td>Enter the anticipated date the change needs to begin.</td>
</tr>
<tr>
<td>Related Change Numbers*</td>
<td>Free-form field used to enter any related change numbers.</td>
</tr>
<tr>
<td>Initial Risk Likelihood Value</td>
<td>When the RFC is originated, the system-generated value is calculated and displayed based on risk assessment criteria entered below. Values available include:</td>
</tr>
<tr>
<td></td>
<td>• Very High</td>
</tr>
<tr>
<td></td>
<td>• High</td>
</tr>
<tr>
<td></td>
<td>• Medium</td>
</tr>
<tr>
<td></td>
<td>• Low</td>
</tr>
<tr>
<td></td>
<td>• None</td>
</tr>
<tr>
<td>Technical Subcategories</td>
<td>Select the Technical Subcategory:</td>
</tr>
<tr>
<td></td>
<td>• Security</td>
</tr>
<tr>
<td></td>
<td>• Hardware</td>
</tr>
<tr>
<td></td>
<td>• Data Communication</td>
</tr>
<tr>
<td></td>
<td>• Operating System</td>
</tr>
<tr>
<td></td>
<td>• Network</td>
</tr>
<tr>
<td></td>
<td>• Software</td>
</tr>
<tr>
<td></td>
<td>• Database</td>
</tr>
<tr>
<td></td>
<td>• Data Warehouse</td>
</tr>
<tr>
<td>Data Elements</td>
<td>Data Values</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| Technical Criticality                                                        | Select the Technical Criticality:  
  - Emergency  
  - Normal  
  - Routine                                                                                                                                                                                                 |
| If Technical Change Type, Is a planned outage expected.                      | Select a Yes, No or N/A value. If Yes, enter the estimated hours and the from and to date.                                                                                                           |
| Has a back-out and restoration plan been developed?                          | Select a Yes or No value. If Yes, enter an explanation.                                                                                                                                                  |
| Has the solution been incorporated into the Business Continuity Plan?         | Select a Yes or No value. If Yes, enter an explanation.                                                                                                                                                  |
| Has the solution been thoroughly tested including load, stress, security (if applicable) and passed? | Select a Yes or No value. If Yes, enter an explanation about the testing and documentation.                                                                                                                |
| Has the support team(s) been notified of this change?                        | Select a Yes or No value. If Yes, enter the names of the support team.                                                                                                                                  |
| Does this change impact the project schedule more than 10 business days?*    | Select a Yes, No or N/A value. If Yes, enter the estimated days.                                                                                                                                          |
| Does this change require additional funding of more than $100,000 or more than 10% of the approved project’s budget?* | Select a Yes, No or N/A value If Yes, enter the estimated cost rounded up to the next whole dollar: $                                                                                                   |
| Does this change impact existing project or business SME resources?*         | Select a Yes, No or N/A value and enter the number of resources impacted.                                                                                                                                  |
| What additional resources are anticipated to implement this change?           | Select the type of resource role(s) from the list:  
  - Business Analyst  
  - Technical Analyst  
  - Developer  
  - Test Engineer  
  - Project Manager  
  - Business SME  
  - Other (required to list the other resources if selected)                                                                                                                                  |
<table>
<thead>
<tr>
<th>Data Elements</th>
<th>Data Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estimate the number of hours the selected resource(s) are required to implement this change?</td>
<td>Enter the number of hours:</td>
</tr>
<tr>
<td>Does the change to this project affect other project(s)?*</td>
<td>Select a Yes, No or N/A value and enter the affected project(s) and a detailed explanation of the effect.</td>
</tr>
<tr>
<td>Does this change require additional business requirements or change existing business requirements for the project?*</td>
<td>Select a Yes, No or N/A value and enter a detailed explanation of the change or alteration of the business requirements.</td>
</tr>
<tr>
<td>Is this change necessary for the overall success of the project?*</td>
<td>Select a Yes, No or N/A value and enter a detailed explanation of the how the success of the project is affected.</td>
</tr>
<tr>
<td>Will this change delay the project end date by more than 30 calendar days?*</td>
<td>Select a Yes, No or N/A value and enter the detailed explanation of why the project end date is delayed.</td>
</tr>
<tr>
<td>Does this change result in significant business or technical impact?*</td>
<td>Select a Yes, No or N/A value and enter a detailed explanation of the negative impact.</td>
</tr>
<tr>
<td>Have all the affected stakeholders been considered and do they endorse the change?*</td>
<td>Select a Yes, No or N/A value. If Yes, enter a detailed explanation of the stakeholders which approved the RFC and endorsement. If No, enter a detailed explanation of the stakeholders which didn’t approve the ACCESS Request for Change Form and why the stakeholders didn’t endorse the change.</td>
</tr>
<tr>
<td>Does this change affect any vendor(s)?*</td>
<td>Select a Yes, No or N/A value and enter the number of expected vendor(s) impacted</td>
</tr>
<tr>
<td>Are there contractual or funding ramifications?*</td>
<td>Select a Yes, No or N/A value and enter a detailed explanation of the contractual or funding ramifications and the effect of commitments related to outside vendors, CMS or Federal funding or the State Budget funding.</td>
</tr>
<tr>
<td>Are there legal or regulatory requirements or impact associated with this change?*</td>
<td>Select a Yes, No or N/A value and enter explanation of the legal or regulatory requirements effected.</td>
</tr>
<tr>
<td>Data Elements</td>
<td>Data Values</td>
</tr>
<tr>
<td>---------------</td>
<td>-------------</td>
</tr>
<tr>
<td>Are members impacted by this change?</td>
<td>Select a Yes, No or N/A value and enter the number of members would this business or technical failure impact?</td>
</tr>
</tbody>
</table>
| What number of members would this business or technical failure impact? | Select the expected impact value:  
  - Very High impact (>500K)  
  - High impact (100K to 500K)  
  - Medium impact (50K to 99,999K)  
  - Low impact (50 to 49,999K)  
  - No impact (<50) |
| Are providers impacted by this change? | Select a Yes, No or N/A value. If yes, select all that apply:  
  - FFS – Fee-for-Service  
  - MCO – Managed Care Organization  
  - Both – Both FFS and MCO |
| What number of providers would this business or technical failure impact? | Select the expected impact value:  
  - Very High impact (>100K)  
  - High impact (10K to 100K)  
  - Medium impact (1K to 9,999)  
  - Low impact (10 to 999)  
  - No impact (<10) |
| Is there a documented communication procedure where the affected users are notified of the change and delivery plan for this change? | Select a Yes, No or N/A value. If Yes, attach the communication procedure to this ACCESS Request for Change Form. |
| Have the change’s interdependencies been identified and documented? | Select a Yes, No or N/A value. If Yes, attach the interdependencies to this ACCESS Request for Change Form. |
| Is there a policy or procedure affected by this ACCESS CHANGE REQUEST FORM? | Select a Yes, No or N/A value. If Yes, list the policy or procedure name and attach the current policy or procedure. |
| Has a Change Implementation Plan been identified? | Select a Yes, No or N/A value. If Yes, attach detailed Change Implementation Plan document or enter details in this free-form text field. |
| Does this change affect any data that has PHI? | Select a Yes, No or N/A value. If Yes, provide an explanation. |
| Attachment | Click the button to include an attachment(s). |

Table 2: Member Management Request for Change Request (RFC)
5.2.2 Risk Likelihood Values

Based on values contained in the ACCESS Request for Change Form, the below table with values and descriptions are as follows:

<table>
<thead>
<tr>
<th>Value</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Very High</td>
<td>Change is expected to have a very high project impact. Very high change impacts typically include items impacting: large quantities of members or providers, legal or regulatory, federal or state funding, security or emergency responses, etc.</td>
</tr>
<tr>
<td>High</td>
<td>Change is expected to have a high impact on the project. High change typically include items impacting: policy or procedure, vendors, other projects, overall project success, business requirements.</td>
</tr>
<tr>
<td>Medium</td>
<td>Change is expected to have a medium impact on the project.</td>
</tr>
<tr>
<td>Low</td>
<td>Change is expected to have a low impact on the project.</td>
</tr>
<tr>
<td>None</td>
<td>Change is expected to have very limited to no impact on the project.</td>
</tr>
</tbody>
</table>

Table 3: ACCESS Change Request Form Values

5.3 Change Identification, Management and Escalation Process Summary

Additional information on change identification, management escalation is available below.

5.3.1 Change Identification

Any MMRP project team member or SCDHSS staff member may identify a change during any phase of the project’s life cycle. The CM is responsible for entering and updating the change information within the RFC. Change information entered populates the Microsoft® SharePoint Request for Change library.

The PM coordinates the technical and business aspects of a change including the level of efforts required for the implementation of the proposed change and draft project schedule based on the total level of effort provided.

5.3.2 Change Escalation

Once reviewed by the QPM and the PM, the RFC is escalated to the DDI Manager for further review. The DDI Manager determines if the RFC is ready to be forwarded to the MMCCB for acceptance or rejection. The DDI Manager may also return the RFC to the CM for resubmission or closure.

If the change is accepted by the DDI Manager and it is a Very High, High or Medium risk, it will be escalated to the MMCCB for approval or rejection. The MMCCB also manages Low risk changes including scheduling and prioritizing the implementation. If the MMCCB rejects the change, the RFC is returned to the CM for resubmission or closure.
Once a Very High, High and Medium change is approved by the MMCCB, the group could determine that the RFC needs to be escalated to the external PMO’s Change Management process to eventually be submitted to the IRB for approval or rejection.

5.3.3 Change Approvals

Approvals for RFCs may be obtained in one or more of the following ways:

- Telecommunication
- Electronic workflow voting documented in Microsoft® SharePoint
- In person meetings
6.0 Tools

A series of tools are in place for tracking and communicating changes. This ensures that changes are identified, managed, implemented and reported on.

These tools include:
- Change Management Plan
- JIRA for Research Items and Tracking Adopted Changes
- Microsoft® SharePoint Request for Change Form
- Request for Change Supporting Documentation (Presentation Guides; Business Cases)
- EEMMS MMCCB RFC Decisions Tracker (documents meeting notes and decisions)
- EEMMS Monthly and Quarterly Statistics
- Change Management Identification, Management and Escalation Process Flow
7.0 Appendices

7.1 Change Management Identification and Management and Escalation Process Flow

The Change Management Identification, Management and Escalation Process Flow is located on Microsoft® SharePoint. To access this document, click the following link: Change Management Process Flow Link.