



# **CHANGE MANAGEMENT PLAN**

---

## **OKLAHOMA DEPARTMENT OF HUMAN SERVICES ENTERPRISE SYSTEM (MOSAIC PROJECT)**



<b>CHANGE MANAGEMENT PLAN VERSION CONTROL</b>		
<b>Version</b>	<b>Date</b>	<b>Change Description</b>
v02.05	12/16/08	Draft version
v02.06	02/06/09	Team Lead Review Draft version
v02.07	02/17/09	Final Draft version
v02.08	04/03/09	Draft updates version
v02.09	07/03/09	Edits tracked version
v02.10	07/13/09	Edits reviewed and accepted or rejected version
v02.11	07/28/09	Edits from QA review
v03.00	07/13/10	Accessibility updates
v03.01	08/26/10	Edit updates

<b>CHANGE MANAGEMENT PLAN APPROVALS</b>	
<b>Prepared by:</b>	Interim Change Management Team Lead
<b>Approved by:</b>	Program Quality Manager
	Quality Team Lead
	Program Manager
	MOSAIC Project Sponsor

## TABLE OF CONTENTS

<b>1.0</b>	<b>OVERVIEW</b>	<b>3</b>
1.1	Background	3
1.2	Purpose	3
1.3	Scope	4
1.4	Objectives	4
<b>2.0</b>	<b>ROLES AND RESPONSIBILITIES</b>	<b>5</b>
2.1	Change Management Team	5
2.2	Program Quality Team Lead	5
2.3	Change Management Team Lead	5
2.4	Change Management Coordinator	6
2.5	Change Management Specialist	6
2.6	Change Management Implementer	7
2.7	Change Owner	7
2.8	Change Owner's Approver	7
2.9	Change Management Review Board	8
2.10	Stakeholder	8
<b>3.0</b>	<b>CHANGE MANAGEMENT PROCESS</b>	<b>9</b>
3.1	Change Identification	9
3.2	Change Control	9
3.3	Change Request	10
3.4	Change Request Procedures	10
<b>4.0</b>	<b>CHANGE MANAGEMENT DEFINITIONS</b>	<b>11</b>
<b>APPENDIX A – ENTERPRISE CHANGE MANAGEMENT ORGANIZATION CHART</b>		<b>12</b>

## **1.0 OVERVIEW**

### **1.1 Background**

- 1.1.1 Change management practices and principles will be adopted for the Oklahoma Department of Human Services (OKDHS) Enterprise System MOSAIC Project to oversee and manage the processes, requirements, and systems developed within OKDHS. Industry recommendations from standard best practices will be strongly recommended and implemented throughout the Change Management Plan and the implementation of this process within OKDHS.
- 1.1.2 The Change Management Plan outlines the continual dialog among key Project staff, Decision Team members, Sponsors, OKDHS divisional managers and directors, contractors and subcontractors, process owners, systems developers, and other partners with the State of Oklahoma. A Change Management Team will ensure that input from all entities and stakeholders is heard and soundly managed.
- 1.1.3 Adherence to the processes and procedures outlined in the Change Management Plan will ensure sound, structured management of Project requirements and infrastructure relating to implementation of the OKDHS Enterprise System.

**1.2 Purpose.** The purpose of the Change Management Plan is to provide a framework for Enterprise Projects and the overall OKDHS project management methodology to provide clear definition and consistent execution of the change management process to be used for the Project; define responsibilities of key entities; and outline the scope of the change management process.

- 1.2.1 Change Management Plan will define and document change management:
  - 1.2.1.1 Objectives
  - 1.2.1.2 Scope
  - 1.2.1.3 Key roles and responsibilities
  - 1.2.1.4 Process
  - 1.2.1.5 Approach
  - 1.2.1.6 Benefits
  - 1.2.1.7 Methodology
  - 1.2.1.8 Definitions and glossary
- 1.2.2 Change management sub-processes are defined in the Change Management Standards and Procedures Guide.

**1.3 Scope.** The Change Management Plan will:

- 1.3.1 Outline the methodology to be used to manage change within the MOSAIC Project and the OKDHS Enterprise Projects.
- 1.3.2 Provide a basis for planning, coordinating, monitoring, communicating, and approving change while achieving expected results, in an expected time frame, by minimizing risks and coordinating events.
- 1.3.3 Describe the activities that comprise the formal change management program for the Project. As proposed changes to current processes, requirements, applications, or regulations occur, they will be managed as outlined in the Change Management Plan.
- 1.3.4 Outline the methodology, processes, and procedures for reviewing change requests submitted for review to ensure appropriate management of change by Change Management Team.
- 1.3.5 Provide for the establishment of the Change Management Review Board (CMRB) by Change Management Team to ensure successful management of change. CMRB will be comprised of key cross-functional OKDHS representatives or their equivalents, including:
  - 1.3.5.1 Enterprise Program Management Office (EPMO)
  - 1.3.5.2 Children and Family Services Division (CFSD)
  - 1.3.5.3 Family Support Services Division (FSSD)
  - 1.3.5.4 Oklahoma Child Support Services (OCSS)
  - 1.3.5.5 Data Services Division (DSD)
  - 1.3.5.6 DSD Project Management Office (PMO)
  - 1.3.5.7 Field Operations Division (FOD)
  - 1.3.5.8 Finance Division

**1.4 Objectives.** The objectives of the change management process include:

- 1.4.1 Centralize and collect all change data in one tracking system.
- 1.4.2 Implement the process that supports efficient and prompt handling of changes.
- 1.4.3 Create the audit process to ensure definition and implementation of standardized processes and procedures for all changes.
- 1.4.4 Implement the process to coordinate change management risk review with appropriate Risk Management to understand risk associated with changes, and to mitigate risks in conjunction with Risk Management Team.
- 1.4.5 Create the process to manage the proper balance between the need for change and the potential detrimental impact of changes.

- 1.4.6 Coordinate communication concerning change management to provide accurate and timely information.
- 1.4.7 Establish the process of documenting and reporting to ensure assessment of change effectiveness.
- 1.4.8 Reduce or eliminate confusion or lack of productivity on the Project due to unanticipated or undocumented changes.
- 1.4.9 Reduce or eliminate disruptions in the availability of the identified systems and services - Development, QA/QC, User Acceptance, Training, and Production - due to changes.
- 1.4.10 Identify and define, in conjunction with management, the process by which obsolete components will be archived out of the production environment.
- 1.4.11 Establish a plan to transition the change management process to maintenance mode at the end of the Project.

## **2.0 ROLES AND RESPONSIBILITIES**

**2.1 Change Management Team.** Key roles and responsibilities to be performed by Change Management Team refer to functional roles and do not represent a one-to-one mapping to existing staff or positions. In many cases, one person will fill more than one role and more than one person may have the same role. Roles are graphically represented in Appendix A, Change Management Organization Chart.

**2.2 Program Quality Team Lead.** Responsibilities include:

- 2.2.1 Act as the final escalation point for change management process issues.
- 2.2.2 Approve standards associated with the change management process.
- 2.2.3 Approve new process definitions, requirements, and requests for improvements.
- 2.2.4 Verify quality of the change management process.
- 2.2.5 Act as final authority, in conjunction with Program Manager, Change Management Team Lead, and Risk Management Team Lead, in determining risk categories associated with change.

**2.3 Change Management Team Lead.** Change Management Team Lead is a designated member of the Project Change Management Team, with responsibility and authority for the results of the change management process. Change Management Team Lead will ensure that the business objectives of the Project and the Enterprise System are properly managed and supported by the process. Responsibilities include:

- 2.3.1 In conjunction with Program Quality Team Lead, approve standards associated with the change management process.
- 2.3.2 Communicate new and revised change management standards.

- 2.3.3 In conjunction with Program Quality Team Lead, approve new process definitions, requirements, and requests for improvements.
  - 2.3.4 Enforce the change management process throughout OKDHS.
  - 2.3.5 Ensure consistency with other processes.
  - 2.3.6 Define process measurements and associated targets.
  - 2.3.7 Assign roles within the change management process.
  - 2.3.8 Chair CMRB meetings to address business assessment, technical assessment, scheduling, and approval activities.
  - 2.3.9 Approve or reject change requests based on CMRB meeting discussion results.
  - 2.3.10 Act as final authority, in conjunction with Program Manager, Program Quality Team Lead, and Risk Management Team Lead, in determining risk categories associated with change.
- 2.4 Change Management Coordinator.** Change Management Coordinator is responsible for the effective management of the standards, procedures, and tools that support the change management process; and is the focal point for issues related to the change management process. Responsibilities include:
- 2.4.1 Maintain the common repository of change information.
  - 2.4.2 Ensure proper change routing and notification.
  - 2.4.3 Ensure change management policies and procedures are followed.
  - 2.4.4 Maintain the consolidated change schedule.
  - 2.4.5 Invoke escalation when there is a conflict over a change.
  - 2.4.6 Receive change requests to be implemented; Approve or reject change requests; and document status of change requests.
  - 2.4.7 Ensure Quality Assurance and Quality Control approval.
  - 2.4.8 Provide Training of change management process and tools.
  - 2.4.9 Ensure accuracy of the change management database.
  - 2.4.10 Provide change management reports to management.
  - 2.4.11 Assist in making the final decision as to whether the implemented change fully meets the change requirements.
  - 2.4.12 Communicate unusual events to Change Owner and Process Owner.
  - 2.4.13 Determine and prepare change management standards.
  - 2.4.14 Investigate unapproved changes.
  - 2.4.15 Assist with and provide information for compliance audits.
- 2.5 Change Management Specialist.** Change Management Specialist (CMS) is responsible for the effective management of documentation, and hands-on



management, of the tools that support the change management process. CMS is the focal point for data collection to ensure the change management process flows smoothly through the accept or reject process. Responsibilities include:

- 2.5.1 Coordinate repository of change information.
- 2.5.2 Ensure change routing and notification is completed.
- 2.5.3 Coordinate collection and documentation of change information.
- 2.5.4 Publish the consolidated change schedule.
- 2.5.5 Notify stakeholders of change management information, as required.

**2.6 Change Management Implementer.** Change Management Implementer is responsible for the effective implementation of change. Responsibilities include:

- 2.6.1 Ensure timely implementation of the change.
- 2.6.2 Ensure adherence to schedule.
- 2.6.3 Ensure that communication and coordination is completed prior to and after change implementation.
- 2.6.4 Perform or oversee implementation of the change.
- 2.6.5 Execute back-out or recovery plan, as required.
- 2.6.6 Assist in making the final decision as to whether the implemented change fully meets change requirements.

**2.7 Change Owner.** Change Owner completes and opens the Change Request (CR) and is ultimately responsible for the success or failure of the change. Change Owner monitors the approved change. Responsibilities include:

- 2.7.1 Complete the CR with required information.
- 2.7.2 Complete or compile required documentation for the change, such as implementation, communication, and back-out plans.
- 2.7.3 Complete business and technical assessments.
- 2.7.4 Categorize the change by Risk Category.
- 2.7.5 Ensure the change has been tested and meets stakeholder requirements.
- 2.7.6 Schedule the target implementation date and time for the change.
- 2.7.7 Ensure stakeholder has accepted the change, implementation, and Project plans and target schedule.
- 2.7.8 Submit CR.

**2.8 Change Owner's Approver.** Change Owner's Approver, who is Change Owner's manager or director, evaluates the CR to ensure it meets requirements before approving it. Responsibilities include:

- 2.8.1 Ensure CR and supporting documents are completed.
  - 2.8.2 Assist in creating implementation, communication, and back-out plans.
  - 2.8.3 Determine whether CR will be sent to CMRB or expedited.
  - 2.8.4 Validate the Risk Category.
  - 2.8.5 Ask Change Owner appropriate questions to ensure understanding of the change.
  - 2.8.6 Ensure the communication plan for the change is defined.
  - 2.8.7 Ensure affected documentation is identified and will be updated.
  - 2.8.8 Review and complete the technical assessment.
  - 2.8.9 Make the final decision as to whether the implemented change meets the change requirements.
- 2.9 Change Management Review Board.** CMRB is the group comprised of representatives for each functional area who participate in the cross-functional change review process. CMRB reviews and approves changes from all identified functional areas. Responsibilities include:
- 2.9.1 Understand the change management process and comply with its purpose.
  - 2.9.2 Review the proposed change, associated documentation, and proposed implementation schedules.
  - 2.9.3 Review Change Risk Analysis to understand the impact of the change to the Project, Enterprise System, and specific functional area.
  - 2.9.4 Decide whether to accept or reject the proposed change, or request additional information.
- 2.10 Stakeholder.** Stakeholder is a manager or designated representative with responsibility for ensuring understanding of technical and business-related change within the stakeholder's environment, and authority to request services and changes. Areas include, but are not limited to, project management, business requirements, technical configuration, technical support, application support, and business functionality. Stakeholder may be a member of CMRB. Responsibilities include:
- 2.10.1 Provide input to the change management process by interfacing with Change Owner and Change Coordinator.
  - 2.10.2 Participate in risk analysis, approval, and verification processes for all changes. Participants in the change process will be notified as the change moves through the process and will be notified of all changes to scheduling.
  - 2.10.3 Maintain a stable environment while optimizing service availability, reliability, and quality.

- 2.10.4 Understand the impact of changes that affect stakeholder's functional area, including Business Agreements, Service Level requirements, and business objectives.
- 2.10.5 Ensure that the business assessment is completed.
- 2.10.6 Ensure there is adequate justification for the resources required to implement the requested change.
- 2.10.7 Use established procedures to report issues related to the delivery of services.
- 2.10.8 Assist in making the final decision as to whether the implemented change fully meets change requirements.

### **3.0 CHANGE MANAGEMENT PROCESS**

**3.1 Change Identification.** Change identification is the process of classifying, documenting, and maintaining the baseline of a requirement. Changes may be categorized by regulatory or non-regulatory documentation, processes, or technology, such as software or systems. Change identification is required for managing change throughout the lifecycle of the requirement. The change identification process includes:

- 3.1.1 Establish the requirements baseline, per the pre-defined requirements.
- 3.1.2 Identify the change and, where applicable, all supporting references and documentation.
- 3.1.3 Determine the types of documentation required for each change, if applicable.
- 3.1.4 Issue identifiers affixed to the change and to the technical documentation that define the change, including internal and external interfaces when relating to technology.
- 3.1.5 Implement the functional requirements and associated documentation.
- 3.1.6 Identify the result of the impact study to determine continued application.

**3.2 Change Control.** The purpose of change control is to manage change in all environments, including identifying the requirements and implementing the approved changes. The change control process includes:

- 3.2.1 Identify the need for the change.
- 3.2.2 Obtain agreement among the divisions that the change is needed before the enterprise-wide change will be approved and implemented.
- 3.2.3 Evaluate the CR.
- 3.2.4 Conduct CMRB meeting activities.
- 3.2.5 Perform post-CMRB meeting activities.
- 3.2.6 Track implementation of the change.

3.2.7 Review impact studies for validity and economics.

**3.3 Change Request.** When a change is proposed, the submitter will enter the request into the change management system and forward the request to the CMRB representative for review and validation. After review and validation is conducted by the CMRB representative, other changes relating to policy, artifacts, programs, and business processes will be reviewed by the appropriate divisional CMRB representative for substance and validity.

3.3.1 Each proposed change will be submitted via the CR. A sample CR with field descriptions is provided in the Change Management Standards and Procedures Guide.

3.3.2 The requester will determine the need for change, complete the CR, compile the required documentation, and notify Change Management Team.

3.3.3 CR will be assigned to CMS for action. CMS will conduct the initial review of the proposed change for determination of the complexity of the issue presented, and determine whether CMRB review is required.

3.3.4 CR submitter and author will receive electronic acknowledgement from Change Management Team that the CR is received and in review status.

**3.4 Change Request Procedures.** Before submitting the CR to the Change Management Coordinator, the requester determines the need for the change, completes the CR, and compiles required documentation. CR procedures involve six steps: request, evaluate, approve/reject, implement, verify, and close.

3.4.1 Request.

3.4.1.1 Receive notification of CR.

3.4.1.2 Confirm information submitted in CR and documents.

3.4.1.3 Ensure viable back-out plan exists.

3.4.2 Evaluate.

3.4.2.1 Establish target date.

3.4.2.2 Define and conduct analysis.

3.4.2.3 Coordinate and/or confirm – Risk Management.

3.4.2.4 Coordinate and/or confirm – QA/QC.

3.4.2.5 Evaluate impact to scope, schedule, cost, and quality.

3.4.2.6 Evaluate alternatives.

3.4.2.7 Determine priority.

3.4.2.8 Determine impact and coordinate with other changes.

3.4.2.9 Schedule the change

3.4.2.10 Coordinate stakeholder communications

3.4.3 Approve/Reject.

3.4.3.1 Change Management Team decides whether to implement or reject the change.

3.4.3.2 Document the change path (approve or reject) created.

3.4.3.3 Communicate approval or rejection to change requester and communicate date of implementation to affected parties.

3.4.3.4 Document and implement the approved change.

3.4.4 Implement.

3.4.4.1 Change Management Team implements the change.

3.4.4.2 Track and log change progress.

3.4.4.3 Document results.

3.4.4.4 Confirm stakeholder communication.

3.4.5 Verify.

3.4.5.1 Validate results of change.

3.4.5.2 Communicate implementation results.

3.4.5.3 Confirm documentation is completed.

3.4.5.4 Conduct debrief, if needed.

3.4.6 Close Request.

3.4.6.1 Communicate to stakeholder that CR is closed.

#### **4.0 CHANGE MANAGEMENT DEFINITIONS**

- 4.1 Glossary and Definitions are provided in the Change Management Standards and Procedures Guide.

## APPENDIX A – ENTERPRISE CHANGE MANAGEMENT ORGANIZATION CHART

