

Change Management Plan (Sample)

Project Change Requests (PCRs) are defined as new or changed requirements, which affect the system baseline, as represented by the Project Scope of Work. Approved project artifacts (project deliverables) are considered the project baseline. PCRs are unique from requests made to support operations, such as ad-hoc reporting, analysis requests, and ongoing maintenance. The Change Management Process is intended to address more substantial changes that warrant more rigorous management practices. In general, these changes will result in enhancements or adjustments to the baseline scope of work performed by the Optum Rx Team.

Change management is directly related to scope management and effective configuration management, which is needed to support the scope of work in a complex and time-sensitive implementation project.

Objectives

The purpose of the Change Management Plan is to:

- Document the process for requesting changes to the approved project baseline
- Document how the impact of those requested changes will be evaluated
- Employ a systematic approval process
- Coordinate the approved changes
- Communicate those decisions

The designated account manager is responsible for leading all on-going operations. This individual coordinates with the product, project management, and quality assurance teams to ensure the process is successful. This individual serves as the trusted advisor and liaison between the State and Optum Rx for all functions, including conflict resolution should the need arise.

The Optum Rx Account Manager, the Optum Rx Implementation Manager, and the State have authority to approve changes and make decisions regarding the disposition of PCRs.

All change requests must be submitted to the PMO/Project Sponsor/Client in the form of a Change Request Form. The PMO/ Project Sponsor/Client will then review the suggested change to the scope of the project, and if the requested change(s) are approved, they will formally accept the change by signing the Change Request Form. Once the scope change has been accepted, the Project Manager will update all project documents and communicate the scope change to all project team members.

Pharmacy Benefit Administrator Services (PBA) Change Management Plan

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State of Georgia

Prepared by OptumRx

Revision history

Revision level	Effective date	Description	Change summary

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1 Introduction

Software development projects are dynamic processes that change frequently over time. Change will occur constantly during the Planning Phase of the project while planning documents are being developed. However, once these documents are finalized, and the baseline scope of work has been established, further changes can present problems if expectations are not clearly established.

Project Change Requests (PCRs) are defined as new or changed requirements which affect the system baseline, as represented by the Project Scope of Work. Approved project artifacts (project deliverables) are considered the project baseline. PCRs are unique from requests made to support operations, such as ad-hoc reporting, analysis requests, and ongoing maintenance. The Change Management Process is intended to address more substantial changes that warrant more rigorous management practices. In general, these changes will result in enhancements or adjustments to the baseline scope of work performed by the Optum Rx Team.

Change management is directly related to scope management and to effective configuration management, which is needed to support the scope of work in a complex and time-sensitive implementation project.

The Change Management Plan supports the Design, Development, Implementation (DDI) and operation of the systems outlined in the State of Georgia, Pharmacy Benefit Administrator Services contract.

The Project Team will work with the Optum Rx Account Manager, and Project Manager as well as the State of Georgia Contract Manager when determining whether an issue should trigger a PCR, which is part of the overarching documentation and control for scope management.

1.1 Objectives

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2 Roles and responsibilities

Table 1: Roles and responsibilities below identifies the roles and responsibilities for Change Management within the Project Team.

Table 1: Roles and responsibilities

Role	Responsibilities
Optum Rx team members	- Responsible for detailing requirements and documenting impact/gap analyses in coordination with Subject Matter Experts and the Project and/or Account Manager - Reviews the nature of changes and change reporting - Communicates decisions - Implements solutions
Implementation manager	- Responsible for monitoring contract compliance, helping define scope and identifying functional requirements - Reviews PCR request for applicability and escalate as needed to block or modify the PCR process - Coordinates activities related to the PCR process and ensure that communication is occurring between parties as needed - Updates required documentation/process steps to complete and close out the PCR process
Account manager	- Responsible for monitoring contract compliance, helping define scope and identifying functional requirements - Responsible for identifying necessary re-training and procedure documentation updates - Provides Optum Rx's sign off on PCRs
State of Georgia	- Responsible for helping to define scope and identifying functional requirements - Reviews and signs off on all PCRs
Development team lead	- Responsible for developing and implementing the change - Works with the analysts and technical staff to ensure that all impacts are considered and documented - Determines the change's effect upon functionality that has been designed or is being designed - Determines how the functionality change should be implemented - Assesses what other functionality may potentially be affected - Provides a description of the changes/work that will result from approving the PCR - Provides estimates regarding the change's effect upon the design schedule - Estimates the hours to perform the necessary analysis, design the changes, and update the design documentation
Testing team lead	- Responsible for testing the change after development and prior to implementation - Determines the change's effect upon overall architecture and technical specification - Assesses what other code or structures may potentially be affected - Assists in documenting changes/work that will result from approving the PCR - Provides estimates regarding the change's effect upon the design/coding schedule - Estimates the time to perform the necessary analysis, update any technical specs, code and unit/integration test the code, and update any maintenance documentation if it exists - Decides whether test cases would appear to be affected by the change - Determines whether any testing will need to be redone or whether additional testing is required - Assesses whether regression testing of other functionality is called for in response to the change - Provides estimates regarding the change's effect upon the testing schedule - Estimates the hours needed to perform more in-depth analysis, revise test cases, and test

Role	Responsibilities
Training team lead	- Determines whether the change may potentially require changes to training plans and design materials - Provides estimates regarding the change's effect upon the training schedule - Provides an estimate of the hours it will take to modify existing documentation and presentations
Subject matter experts (Optum Rx and Georgia)	- Responsible for representing their business function knowledge and experience - Assist in identifying and documenting both functional and technical requirements
Technical staff	Responsible for assessing the impact to database, network, and systems platforms
Executive management team	Responsible for approving PCRs that result in changes to budget.

3 Change management tools

Optum Rx employs a third-party application to track and manage the work associated with change requests. Atlassian JIRA® allows project team members to prioritize and document changes across the organization. Using JIRA project information can be configured to enable multiple, customized workflows for each customer and/or functional team.

The Project Log is also an important tool within the Change Management Process. The Project Log is an Excel spreadsheet used to track:

- PCR status
- Cross-reference the PCR to multiple JIRA numbers representing the work associated with the change request
- Assist in customer prioritization
- Change management reporting

4 Change management process

There are many events that may trigger a Project Change Request (PCR). Most changes generally arise because of one or more of the following:

- Changes to State or Federal policy
- Change in industry standards
- Changes to data sets or systems maintained by Optum Rx's business partners
- Additional functionality is identified as necessary
- A key requirement is incorrect or incomplete and must be modified or deleted
- Information was incorrectly recorded in a project plan or design document and not caught until after the document was approved and has a significant impact on key dates or deliverables
- Circumstances changes and activities in an approved project plan are no longer possible

Optum Rx uses a formal Change Management Process that is aligned with the Project Management Body of Knowledge (PMBOK[®]) Guide. The Change Management Process documents the activities and processes to:

- Request a change
- Assess the impact of change to the scope, budget, and timeline
- Approve, deny, or defer a change
- Act to implement an approved change
- Record and retain necessary PCR documentation
- Communicate with stakeholders throughout the process

The change Management process can be seen below in **Figure 1: Change management flow process**.

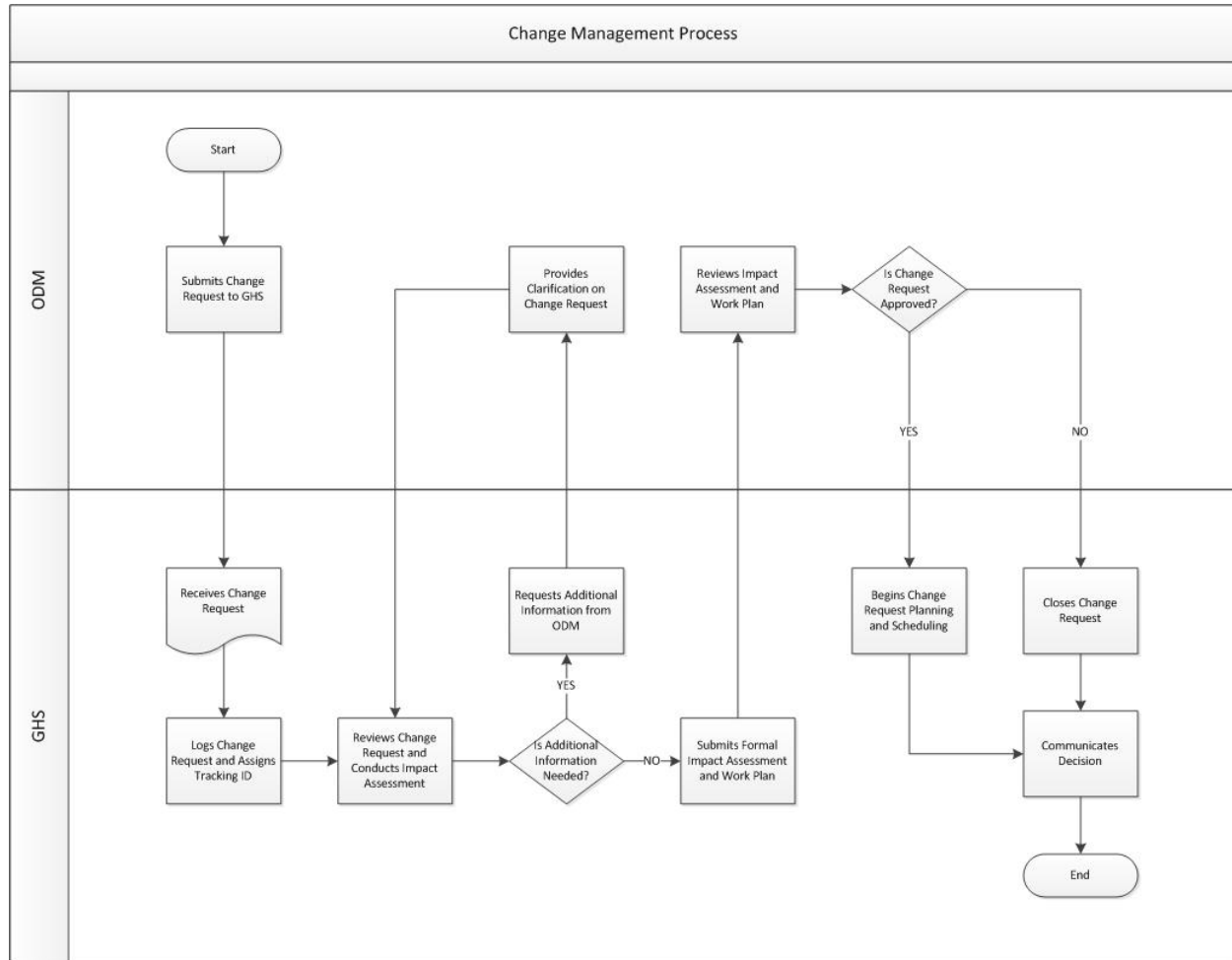


Figure 1: Change management flow process

4.1 Requesting changes

Any Project Team member or stakeholder may request a change. Not every requested change may be desirable or align with the Georgia PBM product vision. Prior to initiating any change request, the Optum Rx Implementation Manager, or their designee, will review the request for applicability and may escalate the issue to the Account Manager or the Georgia Contract Manager to avoid any unnecessary work and planning.

If a desired change means additional requirements, revised requirements or deleted requirements after the project baseline has been approved, a formal PCR is necessary. However, not every desired change means a change to the project scope baseline. The type of change, size of change, and stage of software development, or other pertinent activity, determine whether a formal PCR is necessary. If, at any time, the person desiring the change is unsure whether it requires submission of a formal PCR, that person may discuss the change with the Implementation Manager.

After a formal PCR is received by Optum Rx, the request will be logged in the Project Log and assigned a tracking identification (ID) number in JIRA. The documentation will include a full description of the

requested change, classifications, and an assessment of priority level (high, medium or low). In general, the following guidelines apply for each of these priority levels:

- **High** - The system cannot or should not be deployed without the change because either major functionality will not perform correctly, or the majority of users will be unreasonably inconvenienced
- **Medium** - The system will operate correctly, but a significant number of users will be inconvenienced if the change is not made and/or significant efficiencies can be achieved by making the change
- **Low** - The change is of a superficial nature (e.g., making an error message sound politer), and making the change results in neither improved functionality nor greater efficiency

4.2 Impact assessment

After a PCR has been logged, it is then circulated among the Project Team members to collect questions and identify any needed clarification. Depending on the priority level of the PCR, the Implementation Manager may need to seek and gain approval from the Optum Rx Executive Management Team prior to moving forward with the change request. The Implementation Manager, or their designee, then involves members of the technical team to complete a high-level impact analysis to estimate the level of effort required to implement the proposed change according to the following guidelines:

- Minimal: 1-5 hours
- Small: 6-40 hours
- Medium: 41-200 hours
- Large: 201-500 hours
- Extra Large: >500 hours

After the project team has resolved any open questions or concerns, the high-level estimate is then attached to the PCR in JIRA. The PCR is then reviewed for further analysis, used in scheduling the change and adjusting the project work plan, if necessary.

The project team will provide the Account and Contract Managers with a formal Project Work Plan for medium, large, and extra-large changes, documenting the outcome of all reviews and discussions. This will include the specifications of the change, impacts and risks, estimated levels of effort, and (if already determined) scheduling for developing and implementing the change. A similar scaled-down process will be used for minimal and small requests to minimize related overhead and facilitate a timely response.

4.3 Impact assessment

The Optum Rx Account Manager, the Optum Rx Implementation Manager, and the State of Georgia Contract Manager have authority to approve changes and make decisions regarding the disposition of PCRs.

Once a PCR is approved, the Implementation Manager will update the Project Work Plan to reflect any impacts to the project schedule that may result from the new tasks and activities. If the change is

significant enough, the Implementation Manager will work with the State of Georgia Project Manager to set a new project baseline and seek Georgia's approval of the revised schedule. In addition, the Resource Plan will be updated to include additional staffing needs, training needs, and any new schedule milestones, as needed. The Implementation Manager, or their designee, will communicate the status of the approved PCR via e-mail and will include the location of the PCR in the Project Library, as well as the time frame for implementation. Optum Rx will complete all changes to formal documentation (e.g., training materials, system requirements, design documents, test cases, or software) prior to moving the change to the appropriate project phase. The PCR will remain open until all associated activities and tasks are complete. At that point, the Implementation Manager will close the PCR.

If the PCR is denied or deferred, the responsible party must document the reason and justification for not approving the change. The Implementation Manager, or the designee, will communicate the status of the denied or deferred PCR via e-mail and will include the location of the PCR in the Project Library. At that point, the decision is also documented in the Project Log, and the PCR is closed.

4.4 Change implementation and version releases

After the approval of a PCR, the Implementation Manager will begin scheduling work to implement the change. When scheduling the change, other activities may need to be considered and prioritized accordingly. The Account Manager, Contract Manager and the State of Georgia Project Manager(s) will be involved in this scheduling and prioritization process. It is the responsibility of the Implementation Manager to direct the work that must occur in response to an approved PCR and to ensure that the work is accomplished. A project plan and schedule (as well as other documentation as needed) will be provided to all stakeholders so there is a unified understanding of the task that will be completed, and the timeframe for completion.

Optum Rx follows a release-driven configuration management process that can control all system changes through the iterative levels of the POS system development methodology. The POS Configuration Management processes, with distinct development libraries and system instances, ensure that each component of the system is strictly controlled so that the integrated system components are matched and remain in sync while in development. The POS Team applies this form of version control to the system technical components, business rules and data stores to ensure that the environment is sound and harmonized with system development, user acceptance testing, and production activities. For additional detail, please see the State of Georgia PBM Configuration Management Plan.

A PCR remains open until it is denied, deferred or has been implemented. The definition of implementation will vary with the Software Development Phase and the size and type of the change. The following provides guidelines for suggested use:

- Some changes will only require documentation updates to be declared implemented
 - Example: The PCR was made during functional design to add a small-to-medium additional requirement. The change is implemented when the requirements document has been updated with the additional requirement and the designer has addressed the new requirement in the functional design.

- Other changes may be declared implemented upon the project schedule being updated with a new task or tasks
 - Example: The PCR requires that a whole new module be added due to recent policy changes and that work may be undertaken separately from other design and construction. Upon the requirements document being updated and the project schedule being updated to reflect the tasks and resources, the change order can be considered implemented.
- Changes requested late in the project may require documentation updates and coding before being declared implemented
 - Example: A PCR is made during system testing. The change order is implemented when all underlying documentation (requirements, functional and technical designs, test cases, and training materials) is updated and the change has been coded and submitted for testing.
- Some change orders may require that testing be successfully completed before being declared implemented
 - Example: A PCR is made during post-implementation support. The change order is implemented when all underlying documentation (requirements, functional and technical designs, test cases and training materials) is updated, the change has been coded, and it has been successfully tested.

Some change orders may be marked as “emergency” change orders which means that they will be handled outside the standard release management, prioritization and scheduling process and may be implemented, VP approval, without going through the standard code promotion Change Advisory Board process.