For instructions on using this template, please see Notes to Author/Template Instructions on page 25. Notes on accessibility: This template has been tested and is best accessible with JAWS 11.0 or higher. For questions about using this template and To request changes to the template, please contact [CMS IT Governance](mailto:IT_Governance@cms.hhs.gov) ([IT\_Governance@cms.hhs.gov](mailto:IT_Governance@cms.hhs.gov)).

|  | Centers for Medicare & Medicaid Services |
| --- | --- |

<Project Name / Acronym>

Change Management Plan

Version X.X

MM/DD/YYYY

**Document Number:** <document’s configuration item control number>

**Contract Number:** <current contract number of company maintaining document>

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# Purpose of the Change Management Plan

Instructions: Provide the purpose of the Change Management Plan. This document should be tailored to fit the particular project needs.

The Change Management Plan documents and tracks the necessary information required to effectively manage project change from project inception to delivery.

The Change Management Plan is created during the Planning Phase of the project. Its intended audience is the project manager, project team, project sponsor and any senior leaders whose support is needed to carry out the plan.

# Change Management Approach

## Change Management Process

The Change Management process establishes an orderly and effective procedure for tracking the submission, coordination, review, evaluation, categorization, and approval for release of all changes to the project’s baselines.

## Change Request Process Flow Requirements

Instructions: Outline the project team’s agreed upon change request (CR) process flow. The following outlines a generic change request process flow.

Table 1: Change Request Process Flow Requirements

| Step | Description |
| --- | --- |
| Generate CR | A submitter completes a CR Form and sends the completed form to the Change Manager |
| Log CR Status | The Change Manager enters the CR into the CR Log. The CR’s status is updated throughout the CR process as needed. |
| Evaluate CR | Project personnel review the CR and provide an estimated level of effort to process, and develop a proposed solution for the suggested change |
| Authorize | Approval to move forward with incorporating the suggested change into the project/product |
| Implement | If approved, make the necessary adjustments to carry out the requested change and communicate CR status to the submitter and other stakeholders |

Change Request (CR) workflow is to generate, evaluate, authorize, and implement a CR. Status is logged and reported throughout these activities.

Figure 1: CR Process Flow

## Change Request Form and Change Management Log

Instructions: List and define the data elements the project team needs to include on the Change Request Form and in the Change Management Log. At a minimum, the following data should be included on the project’s Change Request Form and Change Management Log.

Table 2: Data Elements of Change Request Form and Change Management Log

| Element | Description |
| --- | --- |
| Date | The date the CR was created |
| CR# | Assigned by the Change Manager |
| Title | A brief description of the change request |
| Description | Description of the desired change, the impact, or benefits of a change should also be described |
| Submitter | Name of the person completing the CR Form and who can answer questions regarding the suggested change |
| Phone | Phone number of the submitter |
| E-Mail | Email of the submitter |
| Product | The product that the suggested change is for |
| Version | The product version that the suggested change is for |
| Priority | A code that provides a recommended categorization of the urgency of the requested change (High, Medium, Low) |

## Evaluating and Authorizing Change Requests

Instructions: In order to evaluate and prioritize a change request, the “priority” and “type” of the change are taken into consideration. Use the first and second tables below to list and define the “priority” and “type” data elements that are applicable for the project. The third table provides examples of commonly used project status types. The list of elements is at the discretion of the project manager.

Change requests are evaluated using the following priority criteria:

Table 3: Priority and Description of Change Requests

| Priority | Description |
| --- | --- |
| High | Insert here the definition the project assigns to a high priority CR |
| Medium | Insert here the definition the project assigns to a medium priority CR |
| Low | Insert here the definition the project assigns to a low priority CR |
|  |  |

Change requests are evaluated and assigned one or more of the following change types:

Table 4: Impact of Change Requests

| Type | Description |
| --- | --- |
| Scope | Change affecting scope |
| Time | Change affecting time |
| Duration | Change affecting duration |
| Cost | Change affecting cost |
| Resources | Change affecting resources |
| Deliverables | Change affecting deliverables |
| Product | Change affecting product |
| Processes | Change affecting process |
| Quality | Change affecting quality |
|  |  |

Change requests are evaluated and assigned one of the following status types:

Table 5: Status of Change Requests

| Status | Description |
| --- | --- |
| Open | Entered/Open but not yet approved or assigned |
| Work in Progress | CR approved, assigned, and work is progressing |
| In Review | CR work is completed and in final review prior to testing |
| Testing | CR work has been reviewed and is being tested |
| Closed | CR work is complete, has passed all tests, and updates have been released. |
|  |  |

## Change Control Board

Instructions: A Change Control Board (CCB) is a formally constituted group of stakeholders responsible for approving or rejecting changes to the project baselines. This group may meet on a predefined schedule or on an as needed basis. The table below provides a brief description of personnel acting as the Change Control Board (CCB) and their role/level of authority within that group.

Table 6: Change Control Board Roles and Responsibilities

| Role | Name | Contact | Description |
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# Roles and Responsibilities

Instructions: Provide a brief description of persons responsible for each step of the change management process for the project.

Table 7: Change Management Roles and Responsibilities

| Role | Name | Contact | Description |
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# Change Management Administration

## Documenting CRs

Instructions: Describe the process for documenting and submitting CRs. Also define the information to be collected in a CR. Describe the conduits through which CRs may be received and how they will be logged and tracked. As appropriate, also describe how a Problem Report (PR) may be transitioned into a CR.

## Evaluating and Adjudicating CRs

Instructions: Describe the analysis process by which submitted CRs will be evaluated and adjudicated (approved/disapproved). Describe how CRs will be scheduled for review by project stakeholders and how the disposition of the CRs will be documented and communicated. Describe how CRs will be prioritized, who is involved in setting priorities, and how priorities will be communicated. For urgent and/or complex CRs, it may be appropriate to develop a schedule with defined roles and durations showing the timeline for moving the CRs through the process.

## Tracking and Monitoring CRs

Instructions: Describe the process for tracking and monitoring submitted CRs through their closure. Describe how change management activities will be monitored to ensure timely response to outstanding CRs, and how status will be reported (e.g., Change Management Log). Describe the interaction with configuration management activities for approved CRs, referring as appropriate to the project’s Configuration Management Plan.

## Emergency Changes

Instructions: As appropriate, describe the process for identifying and handling emergency changes.

1. Change Management Log (Example)

Table 8: Change Management Log

| CR# | Current  Status | Priority | CR Description | Assigned to Owner | Expected  Resolution Date | Escalation Required (Y/N)? | Action  Steps | Impact Summary | CR Type | Date Identified | Associated  Milestone I.D | Identified  By | Actual Resolution Date | Final Resolution and Rationale |
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1. Record of Changes

*Instructions: Provide information on how the development and distribution of the Change Management Plan will be controlled and tracked. Use the table below to provide the version number, the date of the version, the author/owner of the version, and a brief description of the reason for creating the revised version.*

Table 9: Record of Changes

| Version  Number | Date | Author/Owner | Description of Change |
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1. Acronyms

Instructions: Provide a list of acronyms and associated literal translations used within the document. List the acronyms in alphabetical order using a tabular format as depicted below.

Table 10: Acronyms

| Acronym | Literal Translation |
| --- | --- |
| **CCB** | Configuration (or Change) Control Board |
| **CI** | Configuration Item |
| **CM** | Configuration Management |
| **CMS** | Centers for Medicare & Medicaid Services |
| **CR** | Change Request |
| **PMP** | Project Management Plan |
| **PPA** | Project Process Agreement |
| **PR** | Problem Report |
| **SDMP** | System Development Management Plan |
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1. Glossary

Instructions: Provide clear and concise definitions for terms used in this document that may be unfamiliar to readers of the document. Terms are to be listed in alphabetical order.

Table 11: Glossary

| Term | Definition |
| --- | --- |
| **Baseline** | (1) A specification or product that has been formally reviewed and agreed upon, that thereafter serves as the basis for further development, and that can be changed only through formal change control procedures. (2) A document or a set of such documents formally designated and fixed at a specific time during the life cycle of a configuration item. (3) Any agreement or result designated and fixed at a given time, from which changes require justification and approval.  (IEEE Std. 610-12-1990) A baseline is a configuration identification formally designated and applicable at a specific point in the life cycle of a configuration item. |
| **Change Request (CR)** | A formal document used to request a modification to specified software components, hardware, or documents that is managed through an established change control process. A CR may be initiated anytime after a baseline has been established. |
| **Configuration (or Change) Control Board (CCB)** | A group of people responsible for evaluating and approving or disapproving proposed changes to configuration items, and for ensuring implementation of approved changes. (IEEE Std. 610-12-1990) |
| **Configuration Item (CI)** | An aggregation of hardware, software, or both, that is designated for configuration management and treated as a single entity in the configuration process. (IEEE Std. 610-12-1990) |
| **Problem Report (PR)** | A formal document used to record an unexpected result that occurs during formal testing, implementation, or operation of the specified software or hardware. A PR is managed through an established process that includes investigation, resolution, and verification. |
|  |  |

1. Referenced Documents

Instructions: Summarize the relationship of this document to other relevant documents. Provide identifying information for all documents used to arrive at and/or referenced within this document (e.g., related and/or companion documents, prerequisite documents, relevant technical documentation, etc.).

Table 12: Referenced Documents

| Document Name | Document Location and/or URL | Issuance Date |
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1. Approvals

The undersigned acknowledge that they have reviewed the ***Error! Unknown document property name.*** Change Management Plan and agree with the information presented within this document. Changes to this Change Management Planwill be coordinated with, and approved by, the undersigned, or their designated representatives.

*Instructions: List the individuals whose signatures are desired. Examples of such individuals are Business Owner, Project Manager (if identified), and any appropriate stakeholders. Add additional lines for signature as necessary.*

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| Signature: |  | Date: |  |
| Print Name: |  |  |  |
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| Role: |  |  |  |

1. Notes to the Author / Template Instructions

This document is a template for creating a Change Management Plan for a given investment or project. The final document should be delivered in an electronically searchable format. The Change Management Plan should stand on its own with all elements explained and acronyms spelled out for reader/reviewers, including reviewers outside CMS who may not be familiar with CMS projects and investments.

This template includes instructions, boilerplate text, and fields. The developer should note that:

* *Each section provides instructions or describes the intent, assumptions, and context for content included in that section. Instructional text appears in blue italicized font throughout this template.*
* *Instructional text in each section should be replaced with information specific to the particular investment.*
* *Some text and tables are provided as boilerplate examples of wording and formats that may be used or modified as appropriate.*

When using this template, follow these steps:

1. *Table captions and descriptions are to be placed centered, above the table.*
2. *Modify any boilerplate text, as appropriate, to your specific investment.*
3. *Do not delete any headings. If the heading is not applicable to the investment, enter “Not Applicable” under the heading.*
4. *All documents must be compliant with Section 508 requirements.*
5. *Figure captions and descriptions are to be placed centered, below the figure. All figures must have an associated tag providing appropriate alternative text for Section 508 compliance.*
6. *Delete this “Notes to the Author / Template Instructions” page and all instructions to the author before finalizing the initial draft of the document.*
7. Template Revision History

The following table records information regarding changes made to the template over time. To provide information about the controlling and tracking of the Change Management Plan artifact, please refer to page 8 (Record of Changes).

Table 13: Template Revision History

| Version  Number | Date | Author/Owner | Description of Change |
| --- | --- | --- | --- |
| 1.0 | 07/29/2020 | Alex Smith, CMS/OIT/ICPG/DIIMP | Baseline document |
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1. Additional Appendices

Instructions: Utilize additional appendices to facilitate ease of use and maintenance of the document.