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## 1.6 VoteCal System Change Control Plan

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**VoteCal Statewide Voter Registration System Project**

**State of California, Secretary of State (SOS)**



November 2, 2009  
Version: 2.1

## Work Product Acceptance

Catalyst Consulting Group is pleased to present the following VoteCal Project work product/deliverable. This work product is now complete and is ready for the Secretary of State to review and approve.

**Work Product:** Deliverable Expectation Document 1.6 VoteCal System Change Control Plan

**SOW Reference #:** Attachment 1 Statement of Work  
Exhibit 2: VoteCal System Tasks and Deliverables

**Delivery Date:**

### Secretary of State

By: Mary Winkley

Date: 11/2/09

Name: Mary Winkley (SOS Project Director)

## Authors

This document was prepared by:

Contributors		
Don Westfall Catalyst Consulting Group 211 West Wacker Drive Suite 450 Chicago, IL 60606	Kurt Schwartz Catalyst Consulting Group 211 West Wacker Drive Suite 450 Chicago, IL 60606	Matthew Benton Catalyst Consulting Group 211 West Wacker Drive Suite 450 Chicago, IL 60606

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## 1. Introduction

This document is Deliverable 1.6, the VoteCal System Change Control Plan. It has been developed to the specifications presented in Deliverable Expectation Document (DED) 1.6, VoteCal System Change Control Plan and as reviewed by the Secretary of State (SOS).

For the purposes of this document, the VoteCal System Change Control Plan (Deliverable 1.6) will be referenced as the Change Control Plan maintaining consistency with the Project Management Body of Knowledge (PMBOK) methodology and naming conventions.

A list of commonly used terms and acronyms are found in the VoteCal Project Glossary. The Glossary is maintained on the VoteCal SharePoint repository maintained by SOS.

This Change Control Plan presents the integrated VoteCal Project change control activities, processes, and tools applied by Catalyst and SOS on the VoteCal project.

### 1.1 Purpose and Objectives

The processes described in the Change Control Plan are the actual change control processes that will be implemented by Catalyst and SOS and will be enforced throughout the VoteCal Project. The Change Control Plan is based on two guiding principles:

- The Project Managers (SOS and Catalyst) have an earnest commitment to executing sound project management processes as the foundation for achieving the VoteCal Project objectives.
- The Project Managers recognize the responsibility to streamline the processes and procedures, making them as simple as possible for the project team and stakeholders to execute while continuing to work toward a positive outcome.

The purpose of the Change Control Plan is to document how changes will be managed throughout the VoteCal Project life cycle. The Change Control Plan standardizes the change control process and presents the tools used to track change requests to completion. This plan also presents the criterion that defines the configuration items subjected to the change control process.

### 1.2 Scope

This Change Control Plan defines the activities and processes related to managing change for the VoteCal Project. Specifically, the plan defines an integrated change control management process that will be applied by Catalyst and SOS. From the Catalyst perspective, this plan defines the activities and processes related to managing the changes pertaining to the Catalyst VoteCal system implementation effort. From the SOS perspective, this plan defines the activities and processes related to managing the changes for the entire VoteCal Project.

### 1.3 Standards

The change control processes described in this Change Control Plan and implemented throughout the VoteCal project are based on the Project Management Body of Knowledge (PMBOK), 4th Edition, published by the Project Management Institute. This plan specifically references PMBOK: Perform Integrated Change Control (Section 4.5), Project Integration Management Knowledge Area (Chapter 4).

The SOS has adopted the state's (previously Department of Finance's) Project Management Methodology as its standard, as was described in Section 200 of the Statewide Information Management Manual in March 2006 when the project was approved. The methodology also reflects industry-standard processes described in the PMBOK.

## 1.4 Assumptions, Dependencies, and Constraints

This Change Control Plan was developed on the basis of the following assumptions:

- At the request of SOS, Catalyst developed this Change Control Plan as the single plan that documents the change control process applied by both Catalyst and SOS on the VoteCal Project.
- Catalyst and SOS understand that change control requires compliance with change control processes by all members of the VoteCal Project team.

## 1.5 Document Control

Change control is a dynamic process that occurs throughout a project's life cycle. Accordingly, at a minimum, the change control process will be reviewed at the end of each project phase, and the Change Control Plan will be updated as required.

This document contains a revision history log. When changes occur, the version number will be incremented and the date, name of the person authoring the change, and a description of the change will be recorded in the revision history log of the document.

As with other work products of the VoteCal project, the approved Change Control Plan will be placed under configuration management in accordance with the Document Management Plan, a subsidiary plan to the Project Management Plan. Also, in accordance with the Document Management Plan, the Change Control Plan will be stored on the SharePoint server and available to the project team, the Independent Project Oversight Consultant (IPOC), Independent Verification and Validation (IV&V) vendor, and SOS senior management.

The change control process is closely related to the processes defined in the Document Management Plan, a subsidiary plan to the Project Management Plan; the Configuration Management Plan; and the Requirements Management Plan. Changes to the change control process may necessitate changes in these other plans.

## 2. Roles and Responsibilities

The following sections present the roles and responsibilities identified for this Change Control Plan.

### 2.1 Requestor

The requestor is the person that has requested a change to the VoteCal Project. The requestor submits the change request form and initiates the change control process for the request. The requestor can only be a member of one of the following four entities:

- SOS
- Catalyst
- Counties
- EMS Vendors

## 2.2 SOS Project Manager

The SOS Project Manager is the person primarily responsible for managing the change control process. The SOS Project Manager will receive the submitted change request, log it into JIRA, and distribute the change request to the Change Control Board for review. Throughout the change control process, the SOS Project Manager is responsible for keeping the relevant tracking information in JIRA current. The SOS Project Manager is responsible for coordinating the analysis of change requests. The SOS Project Manager is responsible for coordinating efforts required of the SOS Team required to support the CCB in the review or analysis of change requests. The SOS Project Manager is responsible for communicating the status of change requests to all stakeholders.

## 2.3 Change Control Board

The Change Control Board (CCB) is comprised of the two SOS Elections Division Leads and the two Information Technology Division (ITD) Leads participating on the VoteCal Project Management Team. The CCB has several key responsibilities in the change control process:

- Making the decision to reject or accept submitted change requests for further consideration
- Determining who will be responsible for conducting the analysis for the submitted change request
- Assessing whether or not the submitted change request reflects an anticipated significant impact to the project or whether it is highly political in nature.
- Reviewing the output of the change request analysis, meeting to discuss the analysis, and coming to the determination of whether the analysis is adequate for making a decision.
- Presenting the recommendation of the change request to the SOS Project Director.

## 2.4 Catalyst Project Manager

The Catalyst Project Manager is responsible for supporting the CCB in determination of whether to reject or accept submitted change requests for further consideration. The Catalyst Project Manager is also responsible for supporting the CCB in determining who will be responsible for conducting the analysis for the submitted change request. The Catalyst Project Manager is responsible for coordinating efforts required of the Catalyst Team required to support the CCB in the review or analysis of change requests.

## 2.5 Persons Responsible for Analysis

The persons responsible for analysis can change for each individual change request. When the CCB determines a change request is worthy of further analysis, they will determine who will be involved in the task of analyzing the change request. The identified parties will be the persons responsible for conducting the analysis. For any given change request, the following are potential entities that can be requested to participate in the change request analysis process:

- SOS
- Catalyst
- EMS Vendors
- Counties
- State Departments

## 2.6 SOS Project Director

The SOS Project Director is responsible for receiving change requests from the CCB with recommendations on whether or not the change request should be implemented. The SOS Project Director will also receive change requests that have been escalated by the CCB as a result of the change request reflecting an anticipated significant impact to the project or being highly political in nature. Once in receipt of a change request, the SOS Project Director will evaluate the change request to assess whether there is sufficient information to make a decision. The SOS Project Director will also assess whether he or she has the appropriate level of authority to make a decision. If the SOS Project Director has both sufficient information and the appropriate level of authority, the SOS Project Director will make a decision for the change request. Decisions and requests for further information will be communicated to the SOS Project Manager. In the event the SOS Project Director does not have the appropriate level of authority to make a decision, the SOS Project Director will escalate the change request to the SOS Project Sponsor. When escalating to the SOS Project Sponsor, the SOS Project Director will have the opportunity to incorporate his or her recommendations on whether or not the change request should be implemented.

## 2.7 SOS Project Sponsor

The SOS Project Sponsor is responsible for receiving change requests that have been escalated by the SOS Project Director. Once in receipt of a change request, the SOS Project Sponsor will evaluate the change request to assess whether there is sufficient information to make a decision. The SOS Project Sponsor will also assess whether he or she has the appropriate level of authority to make a decision. If the SOS Project Sponsor has both sufficient information and the appropriate level of authority, the SOS Project Sponsor will make a decision for the change request. Decisions and requests for further information will be communicated to the SOS Project Manager through the SOS Project Director. In the event the SOS Project Sponsor does not have the appropriate level of authority to make a decision, they will escalate the change request to the Executive Steering Committee. When escalating to the Executive Steering Committee, the SOS Project Sponsor will have the opportunity to incorporate their recommendations on whether or not the change request should be implemented.

## 2.8 Executive Steering Committee

The Executive Steering Committee (ESC) is responsible for receiving change requests that have been escalated by the SOS Project Sponsor. Once in receipt of a change request, the ESC will evaluate the change request to assess whether there is sufficient information to make a decision. If the ESC has sufficient information, they will make a decision for the change request. Decisions and requests for further information will be communicated to the SOS Project Manager through the SOS Project Director.

## 3. Change Control Approach

This plan presents the VoteCal Project integrated change control approach by describing the specific processes used to implement change control for the VoteCal Project. The Change Control activities are:

- Change Control Planning
- Change Control Process

- Change Control Reporting

### 3.1 Change Control Planning

Change control planning is the process of identifying the change control processes and documenting how the project will demonstrate compliance. Change control planning includes identifying the criteria that defines the configuration items subjected to the change control process.

### 3.2 Change Control Process

This section documents the change control process responsible for managing a change request through the complete lifecycle. The process is primarily presented as a cross functional flowchart (otherwise known as a swim-lane diagram) and a detailed description of the processes depicted in the diagram. (Refer to the process diagram presented in sections 3.2.4.1 – Process Diagram and Appendix A – Process Flow: VoteCal Project Integrated Change Control Process of this plan.)

#### 3.2.1 What is Subject to the Change Control Process?

Change requests are a request to expand or reduce project scope; modify VoteCal operational policies, processes, plans or procedures; revise schedules; or modify approved configuration items.

To minimize risks to the VoteCal Project, during the development and implementation phases of the Project the Secretary of State will only consider and approve change requests that are considered essential for the Project’s success. However, the Secretary of State will reject change requests where:

- the proposed change violates existing law;
- the request lacks sufficient justification; or
- there is a reasonable and adequate workaround for the problem addressed by the proposed change.

#### 3.2.2 Approval Authority Limits

This section details the approval authority limits of the SOS Project Director, SOS Project Sponsor, and Executive Steering Committee. These authority limits apply to several steps in the change control process, dictating when it is necessary to escalate the change request to a higher level for review and approval. The following table details the approval authority limits:

**Table 3-1 Approval Authority Limits**

Role	Approval Authority Limit
SOS Project Director	0 - 4.99% Change
SOS Project Sponsor	5.0 - 9.99% Change
Executive Steering Committee	10.0+% Change

Note: Percentage of change refers to budget, scope, or schedule

There may be other management or executive level considerations which may cause the request to be approved by other than the quantitative factors or defined role based approval authority described here.

### 3.2.3 Change Control Board Meeting and Voting

This section details the Change Control Board (CCB) meeting and voting process that applies to several steps in the change control process. The CCB is comprised of four SOS personnel: two SOS Elections Division Leads and two Information Technology Division (ITD) Leads. Convening a meeting of the CCB requires a minimum of any three CCB members, either in person or on the phone. Voting on the outcome of a change request is only conducted during CCB meetings.

When conducting a vote, the default decision is a negative position – do not recommend approval of the change request. The process of conducting a vote and coming to a positive position requires one of the following situations:

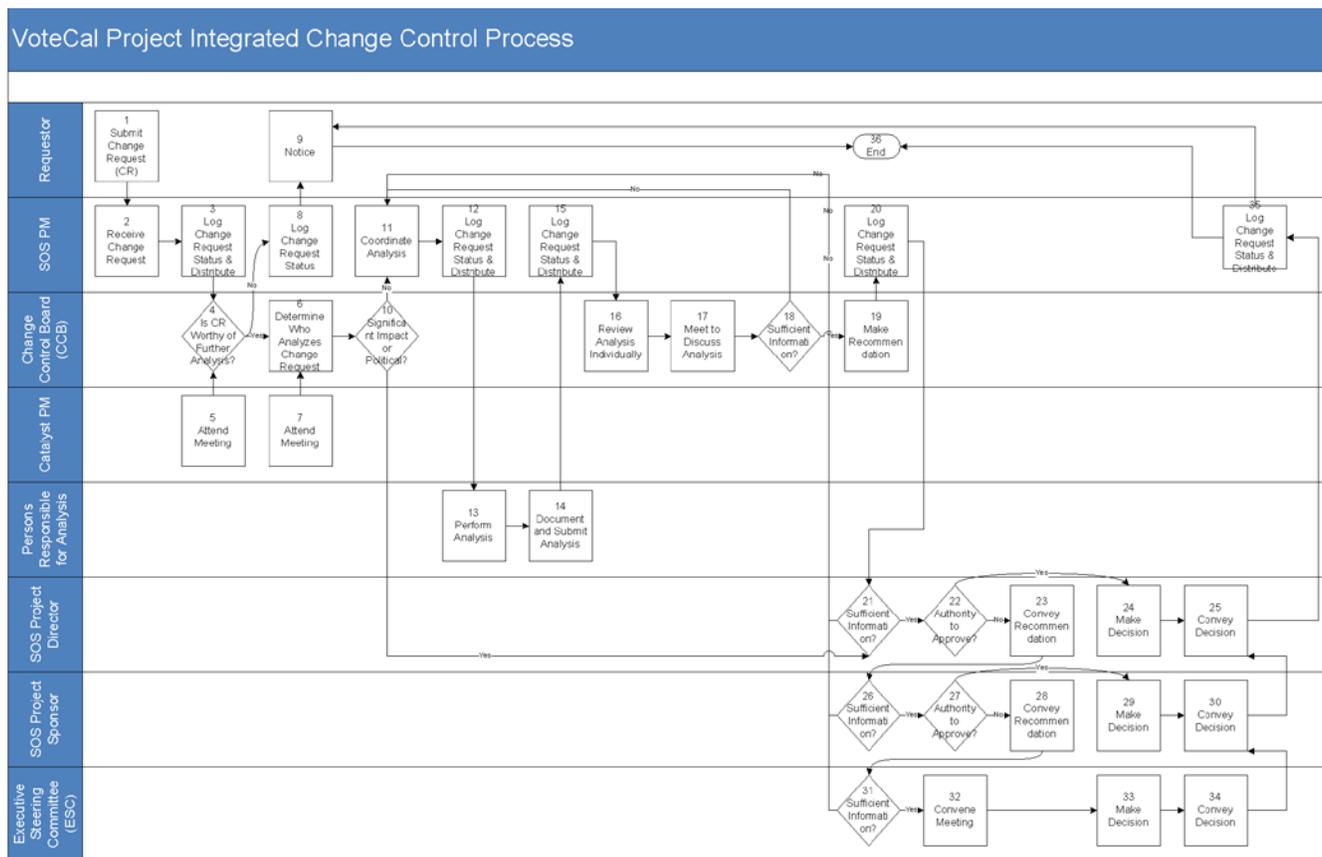
- If three (3) CCB members are present, a unanimous decision of all three (3) votes is required
- If four (4) CCB members are present, a majority decision of three (3) or more votes is required

### 3.2.4 Change Control Process Flow

#### 3.2.4.1 Process Diagram

This section presents the process diagram that depicts the cross functional representation of the VoteCal Project integrated change control process.

Figure 3-1 Process Flow: VoteCal Project Integrated Change Control Process



Note: Please refer to Appendix A – Process Flow: VoteCal Project Integrated Change Control Process for a larger representation of this process flow.

### 3.2.4.2 Process Step Descriptions

This section presents the process step descriptions for the process diagram, depicting the cross functional representation of the VoteCal Project integrated change control process, from the previous section.

### 3.2.4.2.1 Submit Change Request (CR)

Element	Detail
Process ID	1
Step	Submit Change Request (CR)
Type	Process
Description	This step is the beginning of the change control process flow. A change request is submitted to SOS via hardcopy form or electronically via e-mail. In all circumstances, a completed change request form must document the request. An e-mail inbox will be configured to capture electronic submissions and route them to the SOS Project Manager.
Inputs	Completed (electronic or hardcopy) change request form
Outputs	Completed change request form
Responsible Parties	Requestor

### 3.2.4.2.2 Receive Change Request

Element	Detail
Process ID	2
Step	Receive Change Request
Type	Process
Description	The SOS Project Manager receives the completed change request and verifies the change request, whether electronic or hardcopy, has been completed.
Inputs	Completed change request form
Outputs	N/A
Responsible Parties	SOS Project Manager

### 3.2.4.2.3 Log Change Request Status and Distribute

Element	Detail
Process ID	3
Step	Log Change Request Status and Distribute
Type	Process
Description	<p>The SOS Project Manager reviews JIRA to determine whether the submitted change request reflects a new and unique request. If a new and unique request, the SOS Project Manager logs the change request into JIRA as a new change request record. If not a new and unique request, the SOS Project Manager notes the submission of the change request to the existing change request record.</p> <p>The SOS Project Manager produces and distributes (electronic or hardcopy) the change request for review to the CCB and Catalyst, if appropriate.</p>
Inputs	Completed change request form
Outputs	Change request log (JIRA) updates, completed change request form
Responsible Parties	SOS Project Manager

### 3.2.4.2.4 Is CR Worthy or Further Analysis?

Element	Detail
Process ID	4
Step	Is CR Worthy or Further Analysis?
Type	Decision
Description	<p>The Change Control Board is responsible for making the decision on whether the change request is worthy of further analysis. This decision will incorporate any information from the SOS Project Manager with respect to whether the submitted change request is related to an existing change request. The decision results in progressing to step 6: Determine Who Analyzes Change Request (Yes) or progressing to step 8: Log Change Request Status (No).</p> <p>The criteria for this decision making process will be maintained in a separate control list.</p> <p>This decision is the result of a vote by the Change Control Board, with input from the Catalyst and SOS Project Managers.</p>
Inputs	Change request, existing related change requests
Outputs	Decision
Responsible Parties	Change Control Board

3.2.4.2.5 Attend Meeting

Element	Detail
Process ID	5
Step	Attend Meeting
Type	Process
Description	This process represents the involvement of Catalyst in the preliminary review of the change request and input into the determination of whether the change request is worthy of further analysis.
Inputs	Change Request
Outputs	N/A
Responsible Parties	Catalyst Project Manager

3.2.4.2.6 Determine Who Analyzes Change Request

Element	Detail
Process ID	6
Step	Determine Who Analyzes Change Request
Type	Process
Description	The Change Control Board, with assistance from the Catalyst and SOS Project Managers, determines who should participate in the analysis of the change request.
Inputs	Change request
Outputs	Determination of the parties responsible in the analysis of the change request
Responsible Parties	Change Control Board

3.2.4.2.7 Attend Meeting

Element	Detail
Process ID	7
Step	Attend Meeting
Type	Process
Description	This process represents the involvement of Catalyst in the preliminary review of the change request and input into the determination of the parties responsible for conducting the analysis of the change request.
Inputs	Change Request
Outputs	N/A
Responsible Parties	Catalyst Project Manager

### 3.2.4.2.8 Log Change Request Status and Distribute

Element	Detail
Process ID	8
Step	Log Change Request Status and Distribute
Type	Process
Description	The SOS Project Manager updates the status of the change request to the existing JIRA change request record. The change request is distributed to the parties responsible for conducting the change request analysis.
Inputs	Change request status
Outputs	Change request log (JIRA) updates, change request
Responsible Parties	SOS Project Manager

### 3.2.4.2.9 Notice

Element	Detail
Process ID	9
Step	Notice
Type	Process
Description	The SOS Project Manager notifies the requestor of the status of the change request they submitted
Inputs	Change request status
Outputs	N/A
Responsible Parties	SOS Project Manager / Requestor

3.2.4.2.10 Significant Impact or Political?

Element	Detail
Process ID	10
Step	Significant Impact or Political?
Type	Decision
Description	This step reflects the decision of whether the change request reflects a significant impact to the project and/or whether it is highly political. The decision results in skipping to step 21: Sufficient Information? (Yes) or progressing to step 11: Coordinate Analysis (No). The criteria for this decision process will be maintained in a separate control list.
Inputs	Change request
Outputs	Determination of whether the change request reflects a significant impact to the project and/or whether it is highly political.
Responsible Parties	Change Control Board

3.2.4.2.11 Coordinate Analysis

Element	Detail
Process ID	11
Step	Coordinate Analysis
Type	Process
Description	The SOS Project Manager coordinates the change request analysis among the various responsible parties.
Inputs	Change request
Outputs	N/A
Responsible Parties	SOS Project Manager

3.2.4.2.12 Log Change Request Status and Distribute

Element	Detail
Process ID	12
Step	Log Change Request Status and Distribute
Type	Process
Description	The SOS Project Manager receives the analysis from the parties responsible for conducting the change request analysis. The SOS Project Manager updates the status of the change request to the existing JIRA change request record. The SOS Project Manager distributes the results of the analysis to the CCB.
Inputs	Change request analysis, change request status
Outputs	Change request log (JIRA) updates, change request analysis
Responsible Parties	SOS Project Manager

3.2.4.2.13 Perform Analysis

Element	Detail
Process ID	13
Step	Perform Analysis
Type	Process
Description	<p>This process represents the analysis of the change request. The change request is analyzed for a variety of elements including:</p> <ul style="list-style-type: none"> <li>▪ Impact to work plan (budget/ schedule/ other)</li> <li>▪ Evaluation of risk items associated with the change request proposal</li> <li>▪ Impact on customers and users</li> <li>▪ Dependencies and/or conflicts</li> <li>▪ Aggregate effect of the change</li> <li>▪ Impact on other pending and scheduled changes</li> <li>▪ Impact on other pending and scheduled change requests</li> <li>▪ Impact on system capacity and performance</li> <li>▪ Training requirements</li> <li>▪ Impact if change cannot be completed within schedule</li> <li>▪ Recommendation for disposition</li> <li>▪ Alternatives to the suggested change</li> <li>▪ The proposed revised schedule to implement the change</li> </ul>
Inputs	Change request
Outputs	Change request analysis
Responsible Parties	Responsible Parties (can include Catalyst, SOS, Counties, and EMS Vendors)

#### 3.2.4.2.14 Document and Submit Analysis

Element	Detail
Process ID	14
Step	Document and Submit Analysis
Type	Process
Description	This process represents the formal documentation and submission of the change request analysis.
Inputs	Change request analysis
Outputs	Change request analysis documentation
Responsible Parties	Responsible Parties

#### 3.2.4.2.15 Log Change Request Status

Element	Detail
Process ID	15
Step	Log Change Request Status
Type	Process
Description	The SOS Project Manager updates the status of the change request to the existing JIRA change request record.
Inputs	Change request status
Outputs	Change request log (JIRA) updates
Responsible Parties	SOS Project Manager

#### 3.2.4.2.16 Review Analysis Individually

Element	Detail
Process ID	16
Step	Review Analysis Individually
Type	Process
Description	This process represents the preliminary review of the completed analysis by the Change Control Board, providing familiarity with the content and preparing the CCB members for detailed discussion of the analysis.
Inputs	Change request analysis
Outputs	Familiarity with the change request analysis
Responsible Parties	Change Control Board

3.2.4.2.17 Meet to Discuss Analysis

Element	Detail
Process ID	17
Step	Meet to Discuss Analysis
Type	Process
Description	This process represents the Change Control Board members meeting to discuss the results of the change request analysis. The CCB may include other parties as necessary.
Inputs	Change request analysis
Outputs	N/A
Responsible Parties	Change Control Board

3.2.4.2.18 Sufficient Information?

Element	Detail
Process ID	18
Step	Sufficient Information?
Type	Decision
Description	This step reflects the decision of whether the change request analysis is sufficient for the Change Control Board to make a recommendation. The decision results in progressing to step 19: Make Recommendation (Yes) or reverting back to step 11: Coordinate Analysis (No) if more information is needed.
Inputs	Change request analysis
Outputs	Determination of whether the change request analysis is sufficient to make a recommendation
Responsible Parties	Change Control Board

3.2.4.2.19 Make Recommendation

Element	Detail
Process ID	19
Step	Make Recommendation
Type	Process
Description	This process represents the Change Control Board members making the recommendation of whether or not the change request should be considered for implementation. If the recommendation is to implement the change, a proposed revised schedule will be included with the recommendation. The recommendation is the result of a vote by the Change Control Board.
Inputs	Change request, change request analysis
Outputs	Change request recommendation
Responsible Parties	Change Control Board

3.2.4.2.20 Log Change Request Status and Distribute

Element	Detail
Process ID	20
Step	Log Change Request Status and Distribute
Type	Process
Description	The SOS Project Manager receives the change request recommendation from the CCB. The SOS Project Manager updates the status of the change request to the existing JIRA change request record. The SOS Project Manager distributes the change request, including all analysis and recommendation documentation, to the SOS Project Director.
Inputs	Change request recommendation
Outputs	Change request log (JIRA) updates, change request, change request analysis, change request recommendation
Responsible Parties	SOS Project Manager

3.2.4.2.21 Sufficient Information?

Element	Detail
Process ID	21
Step	Sufficient Information?
Type	Decision
Description	This step reflects the decision of whether the information provided (the change request, completed analysis, and/or recommendation) is sufficient to make a decision. The decision results in progressing to step 22: Authority to Approve? (Yes) or reverting back to step 11: Coordinate Analysis (No) if more information is needed.
Inputs	Change request, completed analysis (optional), recommendation (optional)
Outputs	Decision
Responsible Parties	SOS Project Director

3.2.4.2.22 Authority to Approve?

Element	Detail
Process ID	22
Step	Authority to Approve?
Type	Decision
Description	This step reflects the decision of whether the SOS Project Director has the authority to approve the change request. In the event the SOS Project Director does not have the authority to approve the change request, the SOS Project Director escalates the change request to the SOS Project Sponsor. The decision results in progressing to step 24: Make Decision (Yes) or to step 23: Convey Recommendation (No).
Inputs	Change request, completed analysis (optional), recommendation (optional)
Outputs	Decision
Responsible Parties	SOS Project Director

3.2.4.2.23 Convey Recommendation

Element	Detail
Process ID	23
Step	Convey Recommendation
Type	Process
Description	This step reflects the process by which the SOS Project Director escalates the change request to the SOS Project Sponsor in step 26: Sufficient Information. The SOS Project Director has the opportunity to document their position on the proposed change request and provide that as input to the SOS Project Sponsor.
Inputs	Change request, completed analysis (optional), recommendation (optional)
Outputs	Decision
Responsible Parties	SOS Project Director

3.2.4.2.24 Make Decision

Element	Detail
Process ID	24
Step	Make Decision
Type	Process
Description	This step reflects the decision, by the SOS Project Director, of whether or not to go forward with the change request.
Inputs	Change request, completed analysis (optional), recommendation (optional)
Outputs	Decision
Responsible Parties	SOS Project Director

3.2.4.2.25 Convey Decision

Element	Detail
Process ID	25
Step	Convey Decision
Type	Process
Description	This reflects the communication of the decision back to the SOS Project Manager via the SOS Project Director. The decision being communicated can come directly from the SOS Project Director, or from the SOS Project Sponsor (step 30) or Executive Steering Committee (step 34).
Inputs	Decision
Outputs	Decision
Responsible Parties	SOS Project Director

3.2.4.2.26 Sufficient Information?

Element	Detail
Process ID	26
Step	Sufficient Information?
Type	Decision
Description	This step reflects the decision of whether the information provided (the change request, completed analysis, and/or recommendation) is sufficient to make a decision. The decision results in progressing to step 27: Authority to Approve? (Yes) or reverting to back to step 11: Coordinate Analysis (No) if more information is needed.
Inputs	Change request, completed analysis (optional), recommendation (optional)
Outputs	Decision
Responsible Parties	SOS Project Sponsor

3.2.4.2.27 Authority to Approve?

Element	Detail
Process ID	27
Step	Authority to Approve?
Type	Decision
Description	This step reflects the decision of whether the SOS Project Sponsor has the authority to approve the change request. In the event the SOS Project Sponsor does not have the authority to approve the change request, the SOS Project Sponsor escalates the change request to the Executive Steering Committee. The decision results in progressing to step 29: Make Decision (Yes) or to step 28: Convey Recommendation (No).
Inputs	Change request, completed analysis (optional), recommendation (optional)
Outputs	Decision
Responsible Parties	SOS Project Sponsor

3.2.4.2.28 Convey Recommendation

Element	Detail
Process ID	28
Step	Convey Recommendation
Type	Process
Description	This step reflects the process by which the SOS Project Sponsor escalates the change request to the Executive Steering Committee in step 31: Sufficient Information. The SOS Project Sponsor has the opportunity to document their position on the proposed change request and provide that as input to the Executive Steering Committee.
Inputs	Change request, completed analysis (optional), recommendation (optional)
Outputs	Decision
Responsible Parties	SOS Project Sponsor

3.2.4.2.29 Make Decision

Element	Detail
Process ID	29
Step	Make Decision
Type	Process
Description	This step reflects the decision, by the SOS Project Sponsor, of whether or not to go forward with the change request.
Inputs	Change request, completed analysis (optional), recommendation (optional)
Outputs	Decision
Responsible Parties	SOS Project Sponsor

3.2.4.2.30 Convey Decision

Element	Detail
Process ID	30
Step	Convey Decision
Type	Process
Description	This reflects the communication of the decision back to the SOS Project Director.
Inputs	Decision
Outputs	Decision
Responsible Parties	SOS Project Sponsor

3.2.4.2.31 Sufficient Information?

Element	Detail
Process ID	31
Step	Sufficient Information?
Type	Decision
Description	This step reflects the decision of whether the information provided (the change request, completed analysis, and/or recommendation) is sufficient to make a decision. The decision results in progressing to step 32: Convene Meeting (Yes) or reverting back to step 11: Coordinate Analysis (No) if more information is needed.
Inputs	Change request, completed analysis (optional), recommendation (optional)
Outputs	Decision
Responsible Parties	Executive Steering Committee

3.2.4.2.32 Convene Meeting

Element	Detail
Process ID	32
Step	Convene Meeting
Type	Process
Description	This step reflects the meeting, convened by the Executive Steering Committee, to discuss and determine whether or not to go forward with the change request
Inputs	Change request, completed analysis (optional), recommendation (optional)
Outputs	Decision
Responsible Parties	Executive Steering Committee

3.2.4.2.33 Make Decision

Element	Detail
Process ID	33
Step	Make Decision
Type	Process
Description	This step reflects the decision, by the Executive Steering Committee, of whether or not to go forward with the change request
Inputs	Change request, completed analysis (optional), recommendation (optional)
Outputs	Decision
Responsible Parties	Executive Steering Committee

3.2.4.2.34 Convey Decision

Element	Detail
Process ID	34
Step	Convey Decision
Type	Process
Description	This reflects the communication of the decision back to the SOS Project Sponsor.
Inputs	Decision
Outputs	Decision
Responsible Parties	Executive Steering Committee

3.2.4.2.35 Log Change Request Status and Distribute

Element	Detail
Process ID	35
Step	Log Change Request Status and Distribute
Type	Process
Description	The SOS Project Manager receives the change request decision from the SOS Project Director. The SOS Project Manager updates the status of the change request to the existing JIRA change request record. The SOS Project Manager distributes the change request decision to all interested parties.
Inputs	Change request decision
Outputs	Change request log (JIRA) updates, change request decision
Responsible Parties	SOS Project Manager

3.2.4.2.36 End

Element	Detail
Process ID	36
Step	End
Type	Terminator
Description	This step depicts the process endpoint(s)
Inputs	N/A
Outputs	N/A
Responsible Parties	N/A

### 3.3 Change Control Reporting

The change control process is dependent upon information sharing. To support information sharing, appropriate parties will be given access to the change control tools so that information can be viewed electronically. Most parties will have read-only access to the tool, providing the capability to review change requests and their status. The SOS Project Manager will possess the capability to create and update change requests.

Change control reports will be developed as required to support project activities. Catalyst will work with SOS to define and create the reports required to support the weekly change control status meetings.

## 4. Change Control Tools

The VoteCal Project will utilize two primary tools to manage the change control process. First, a form will be used for the VoteCal Team to document the change request in a systematic manner. Second, a change control log will be used to track the change requests. The Catalyst and SOS Project Managers will work together to define the required change control fields/data elements.

Atlassian JIRA will be used to track change requests throughout their complete lifecycle. JIRA is a web-based configurable tracking tool that combines tracking, project management, customizable workflow, and a pluggable integration framework. The JIRA tool includes standard data entry fields and has the capability to be customized. JIRA will be configured to support capture of fields on the change request form in addition to attributes required for reflecting the current status of a change request.

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# Appendices

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**VOTECAL SYSTEM PROJECT CHANGE REQUEST**  
*Project Guiding Change Principal: "Only Changes Essential for Project Success"*

(Page 2 to be completed by Change Control Board only)

EFFORT REQUIRED TO ASSESS IMPACT OF CHANGE REQUEST (RECOMMENDED FURTHER ANALYSIS)		
Change Request Number#	Time:	Responsible Analysis Team
	Resources:	
	Cost:	Change Control Board Request Disposition
	Recommended Start Date:	<input type="checkbox"/> Recommend Further Analysis <input type="checkbox"/> Denied—Return to Requestor
Estimated Date of Completion:		
EFFORT REQUIRED TO MAKE REQUESTED CHANGE		
	Time:	Responsible Analysis Team
	Resources:	
	Cost:	Change Control Board Request Disposition
	Recommended Start Date:	<input type="checkbox"/> Recommend Further Analysis <input type="checkbox"/> Recommend Denial
Estimated Date of Completion:		
AUTHORIZATIONS (ESCALATE BEYOND VOTECAL PROJECT DIRECTOR AS NEEDED)		
Title	Name	Date
VoteCal Project Director  Recommend: <input type="checkbox"/> Yes <input type="checkbox"/> No Approve: <input type="checkbox"/> Yes <input type="checkbox"/> No		
VoteCal Project Sponsor  Recommend: <input type="checkbox"/> Yes <input type="checkbox"/> No Approve: <input type="checkbox"/> Yes <input type="checkbox"/> No		
VoteCal Executive Steering Committee  Recommend: <input type="checkbox"/> Yes <input type="checkbox"/> No Approve: <input type="checkbox"/> Yes <input type="checkbox"/> No		