# Change Control and Change Management

**What is a Change Control and why is it important?**

All Projects go through changes by nature. The issue that often occurs is that changes get made to projects without review which often creates conflicts across the project, sometimes resulting in additional spend, delay in completion or worst case, early project closure.

**Change control** is essential to ensure change on projects are tracked and managed successfully. As the project moves from stage gate to stage gate, the change control process usually becomes more vigorous to protect the project and avoid disruptive changes.

Change Control is the process which all requests for change to the agreed baseline of a project, programme or portfolio must go through. The agreed project baseline will be found in the business case documents, signed off drawings (implemented from RIBA 3) and approved programmes. Any proposed changes to the agreed baseline of a project **must** go through change control and change register process. Change control is intrinsically linked to a change register and any changes made to the project baseline needs to be fed back into the change register.

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| **IMPORTANT: All Change controls should be seen by the Project Board and a summary of change activity submitted with monthly reporting. All change made must be signed off by the Delegated Authority.** |

**Change management** allows for early warning of change and associated cost implications to be successfully managed. UCL recognises that to operate effectively, change control requires the University Project Office / Project Manager to ensure:

* Proactive and early recognition of potential variations to the project
* Timely RFC submissions to minimise disruption and additional costs
* A single source of approval for changes (see Designated Approvers list)
* Information input into the [Change Register](file:///C:\Users\uczbpml\AppData\Local\Microsoft\Windows\Temporary%20Internet%20Files\Content.Outlook\TLK6C70H\Configuration%20management%20-%20Change%20Register%20.xlsx) (open link to access on line version)
* Speedy production by the design team of full design information related to proposed variations
* Early warning systems procedures in place with contractual requirements on key parties
* Programme impact and associated costs to be evaluated on al change

It is important that **all** change requests go through the correct process to ensure accurate management of schedules, costs and stakeholders across the project, programme and/or portfolio.

**Requests for change (RFC)** to the agreed project baseline are to be captured using a [Request for Change form](file:///C:\Users\uczbpml\AppData\Local\Microsoft\Windows\Temporary%20Internet%20Files\Content.Outlook\TLK6C70H\Change%20Request%20Template.docx). This will be evaluated by the delegated authority and a decision to either approve, reject or defer the request for change will be made.

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| **A change requiring approval includes:**   * **Any change to the approved brief or scope (RIBA3), alongside notification to Estate Strategy Management** * **A change to a design assumptions made to date which generates a change to the estimated cost.** * **Inclusion of an item not previously included in the cost plan.** * **A change to a cost assumption ( either increase of decrease of costs)** |

**Note: Should the change control exceed the project budget and an immediate decision is required to avoid potential delays, the Chair of UCL Capital Programme Board can authorise, in line with the New Projects policy the lower of £250,000 or 10% of the Project Budget. Such changes to be highlighted in monthly reports by way of an exception report and ‘RAG’ status.**

**PROJECT CONTROL PROCESS**

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| \* Change requests to be submitted to the correct Delegated Authority. The Delegated Authority Can only appove within the parameters of the project budget. Any spend over the project budget MUST be authorised by the appropriate UCL committee  \*\* An Emergency change can only be made if service interruption is imminent and need to be addressed immediately. An emergency change can only be made by the authorised persons as specified in the Project Plan. An emergency change must retrospectively be detailed in the change register with all project records updated accordingly (Appendix B) |

**CHANGE CONTROL PROCESS**

Update records and plans to reflect decision of Delegated Authority

Determine type of change to project required

Decision on request for change made (approve/reject/defer) and requestor informed

Implement Change

Complete request for change form

Review/ evaluate options and advice on recommendations

UPO / PM to frequently review change. Additional amendments will require a new change requestform to be completed.

**Approved Request** – Update Records and Plans to reflect decision of Delegated Authority

Submit form to correct Delegated Authority

**Rejected Request** – Follow advice as per agreed process of Delegated Authority

**\* The Monetary or Programme impact determines at which tier of Delegated Authority decisions will be made**

**APPROVAL TIERS**

Five tiers of approvals have been identified:

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| **Delegated Authority** | **Financial Impact (exc. VAT)** |
| University Project Officer (UPO) | <£25k |
| Team Leader | <£50k |
| Head of Programme Delivery | <£75k |
| Director of Estates/ Project Board / Sponsor | <£250k |
| Capital Programme Board | >£250k |
| **Note: These approvals are only within the approved budget.** | | |

All Change Controls must be submitted to UPO (via Project Manager), the UPO will then ensure the change is signed off by the appropriate Delegated Authority.

The Contract Administrator will be responsible for issuing contract instructions to works contractors. Instructions shall only be made after the necessary change control approvals from UCL have been received.

The Change Control notice shall be completed in the standard UCL format and must include the following key pieces of information:

* Who is requesting the change (Stakeholder, Designer, Contractor, etc.)?
* Why is the change required?
* What is the nature of the Change
* What is the cost impact of the change (including life cycle cost implications)?
* Which Contingency allowance is the change to be funded from?
* What is the programme impact of the change?
* Date be when a decision is required?

**APPENDIX A**

**REQUEST FOR CHANGE FORM**

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| **REQUEST FOR CHANGE FORM** | | | |
| **Project Title:** | | | **Project Manager:** |
| **Change Request No:** | | | **Date of Submission:** |
| **PS0 Number:** | | | **Type of Change:** |
| **Requester:** | | | **Decision due by:** |
|  | | | |
| **Reason For Change (Legal, Market, Performance, Customer Request, Defect, Other):** | | | |
| **Description of Proposed Change:** | | | |
| **Attachments: Yes / No** | | **Type (quote, drawings, client requests etc.):** | |
| **Cost Implications: £** | | **Proposed Contingency Budget:** | |
| **Impact Assessment** | | | |
| **Schedule Impact** (Project delay, if any) |  | | |
| **Cost Impact** (if any) rental, (re)design fees, resource etc. |  | | |
| **Environmental Impact** (project environment, social and economic sustainability inc. BREEAM/SKA assessment where relevant) |  | | |
| **Other Impact** – include Health & Safety, Functionality, Quality, and Logistics / Decant |  | | |
| **Emergency Change:** | | | |
| **Detail Change Made and how this supports project objectives:** | | | |
| Project Manager Comment & Recommendation | | | |
| **Summary of Impacts and recommendation:** | | | |

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| **UCL Project Officer** | Approved Rejected Deferred | |
| **Reason for Decision:** |  | |
| **Costs from Contingency budget:** |  | |
| **Name:**  **Signature:** |  | **Date:** |

**APPENDIX B**

**What is an Emergency Change?**

An Emergency Change process exists to support the management of change. Rather than bypass process altogether, UCL use an emergency change to ensure that risks are properly managed. Situations will always arise wherein expediency is needed and the standard change management model(s) will require more time than what is realistic. Rather than wait for those situations and deal with them in an ad hoc manner, it is better to develop emergency change management procedures that allow for a high-priority change to flow through quickly yet still have a certain degree of review prior to implementation and a full review at a later point.

**EMERGENCY CHANGE PROCESS**

Seek sign-off from Delegated Authority

Assess Options

**Change Approved**: Update Records and Plans to reflect Emergency Change

Continue with Change implementation.

Determine type of change to project required

UPO / PM to frequently review change. Additional amendments will require a new change requestform to be completed.

Carry Out Emergency Change

Complete Change Request Form retrospectively & detail reason for Emergency Change

**\* An Emergency Change is a last resort and the action must be signed off retrospectively. All Change must be logged in the Change Register,**