MINISTRY OF BUSINESS, INNOVATION & EMPLOYMENT
HIKINA WHAKATUTUKI

IMMIGRATION NEW ZEALAND

Vision 2015 Programme
Change Control Process

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Date:	15/12/2015
Version:	2
Status:	Final

Document Information

Document ID	Vision 2015 Programme
Document Owner	Kate Rawstron
Document Author(s)	Julie Smith, Vanessa Matthews
Issue Date	25/11/2015
Last Saved Date	03/09/2015, 02/10/2015
File Name	http://mako/otcsdav/nodes/17908364/Vision_2015_Change_Control_Process_V1.5.docx

Document History

Version	Issue Date	Changes
V0.1		IGMS Process updated for Vision 2015
V0.2		Updated to reflect agreed Change protocols and Programme Re-planning.
V0.3		Updated to reflect BSD Model
V1.0	27/11/2014	Updated to reflect attendance changes
V1.1	27/01/2015	Updated to reflect attendance changes and financial authorisation
V1.2	28/01/2015	Updated to reflect Datacom processes
V1.3	07/04/2015	Updated to reflect financial delegation authority and attendees
V1.4	03/09/2015	Updated to reflect new Change Matrix, updated Change Authority Charter, and Updated Change Process Diagram.
V1.5	25/09/2015	Update to include Self-Assessment and CR Process workflow
V1.6	25/11/2015	Update to reflect flow of process and change in CR process workflow
V2	15/12/2015	Updated to reflect DFA approval in section 2.1.3.

Document Sign-off

The following signatures indicate approval and acceptance of this document, subject to any caveats below:

Name	Role
Vision 2015 Change Authority	As per Charter
Kate Rawstron	Programme Integration Manager
Caveats:	

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1 Purpose

The purpose of the Vision 2015 Programme Change Control Process[1] (see Appendix 3) is to set out the path a request for change must follow within the parameters of a clear set of standards and tools. The aim of the change process is to ensure that every change is accurately assessed and agreed by the relevant approvers before it takes place.
The process ensures identification and visibility of the impacts and implications, to the programmes agreed baselines, of any request for change to the Vision 2015 Programme and its dependencies.

The Process achieves this by:

a. Assessing the level of change via the Change Request Self-Assessment[1] (see Appendix 1)
b. Channelling Change Requests through appropriate groups for analysis or decision making.
c. Timely engagement with stakeholders to provide appropriate assessment of impact and risk to support informed decision making.
d. Escalation of all change decisions where appropriate.
e. Maintaining a change register accessible to all programme team members.

The process can be triggered at any point in the Programme lifecycle. This may be as a result of external or internal factors such as a response being required to resolve an issue, or new demand upon the project led by the business. Note-this list is not exhaustive.

2 Change Process

2.1 Raising a request for change

Whenever there is a change to baseline, time/schedule, cost, scope, quality or benefits, consideration must be given to whether a change request is required to go to the Change Authority. Any team member (Work stream leads, project manager, project team member, or Vendor) can identify a need for a change request. In order to submit the request for change, approval must be given by the Project Manager in consultation with the Business Owner. All change requests should be submitted to the PMO by a Project Manager.

The Change Control steps are as set out below:

2.1.1 Change Request Self-Assessment

Use the Change Request Self-Assessment[1] (see Appendix 1) to determine whether you need to complete a change request.
If the result of the assessment is ‘Green’ or ‘Amber’:

a. a change request will not be required; but
b. the completed self-assessment must be reviewed and signed off as indicated on the form.

The Project Manager will retain a record of the form in the Project folder on MAKO and send a copy to the Programme PMO mailbox IGMS.PMO@mbie.govt.nz for traceability purposes.
If the result of the Self-assessment is ‘Red’, a change request is required.

Note: Section A #7 - If there is a change to an existing contractual agreement, the Change Request must be reviewed by the Controls & Commercial Manager before you proceed. (see Appendix 2)[1]

[1]Appendix 3 – Change Process Diagram
Appendix 1 – Change Request Self-Assessment

2.1.2 Completing a Change Request

It is the responsibility of the Project Manager to ensure that the Change Request form is completed and endorsed by the business owner prior to submitting it to the PMO for the Change Authority's consideration. If the Change Request is not complete or does not have the necessary endorsement, the PMO Analyst will assist/advise the Project Manger to ensure the change request meets the required standard so that the change request can be submitted to the Change Authority.

Follow the Change Request Completion Process[2] flow diagram to assist you with this part of the process and to complete the Change Request template sections as required following the instructions on the Change Request form and as outlined below:

a. Complete Section A – refer to *Note* above re Section A #7.
b. If you answer "No" to Questions 8 **and** 9 on the change request form you can by-pass Section B and go straight to Section C. (Refer to Section 2.1.4)
c. Complete Section C, and submit to the PMO for review along with signed Change Request Self-Assessment form.
d. All Change Request forms (along with the associated Self-Assessment form) must be submitted to the PMO by 10am on a Tuesday in order that it can be added to the weekly Change Authority Agenda for Thursday's meeting.
e. The change request can now be submitted to the Change Authority where it will either be endorsed, declined, or more information may be requested.

f. If the Change Authority:
    i. ***Endorses*** the Change the PMO will send the Change Request to the Senior Responsible Owner (SRO) for approval. Once the Change Request has been approved by the SRO an email notification from the PMO Analyst will be sent to the requester of the change.

    ii. ***Declines*** the Change or requests further information the PMO Analyst will send an email notification providing relevant details to the requester of the change.

2.1.3 Impact Assessment Funding and/or Timeline Approval

If your change request requires funding to develop an Impact Assessment or the proposed change impacts critical path, or milestones, then Section B must be completed to provide estimated costs and impact to timelines.

The process is as follows:

a. If you answer "Yes" to Questions 8 **or** 9 on the change request form, you will be required to complete Section B. Once completed, submit your change request, (with Sections A and B complete), and completed Self-Assessment form to The Programme Controls & Commercial Manager and Programme Integration Manager. They will assess the change request which could result in one of two outcomes:

    i. Funding to develop an Impact Assessment and/or impact to timelines will be approved, in which case you can proceed to complete Section C, once completed submit the change request to the PMO for review along with signed Change Request Self-Assessment form.

    ii. If it is decided that the funding required exceeds acceptable levels and/or impact to timelines will materially affect the delivery/outcomes of the project, the Impact Assessment of the

[2] Appendix 2 – Change Request Completion Process[3]Appendix 4 – Change Control Matrix

change request will be submitted to the Change Authority who will endorse or reject the change. If endorsed, the funding may be approved by the manager with sufficient Delegated Financial Authority for the cost and give approval to develop an Impact Assessment. The Change Authority may approve impact to timelines at this stage.

Then Follow section 2.1.2 (f) above.

2.1.4 Impact assessment

The Change Authority is responsible for ensuring that a change is valid, able to be done, and that adequate and appropriate recommendations are given to enable a higher authority to make an informed decision based on 'good information.'

When considering a change, a thorough assessment must be completed to identify tangible impacts upon cost, benefit, schedule, scope and the programme risk profile. If an Impact Assessment is required the project will need to seek funding approval from either the Programme Controls & Commercial Manager and the Programme Integration Manager OR the Change Authority (refer para 2.1.3 a.) to fund the analysis and impacted timelines. (Section B of the Change Request Form)

The Impact Assessment requires in-depth analysis and a high level of detail in terms of the impacts to the project/programme which in turn enables informed decision making. Upon completion of the Impact Assessment Section C of the change request can be completed and submitted to the Change Authority.

Note - It is the responsibility of the submitting Project Manager to facilitate discussion and ensure all impacted parties have the opportunity to input into the Impact Assessment.

2.1.5 Change Register

Vortex

The PMO will create a new item in the Programme Change Register in Vortex (Sharepoint) and this will generate the change request unique number. The Vortex Change Register is updated to reflect any new changes, and the status of that change.
Only Datacom related change requests will be uploaded to the programme change and decision register in Vortex once submitted.

Note: The project team are not to update the Vortex Programme Change Register as this is a formal record to be maintained by PMO*. The PMO extract the Change Register data from Vortex and maintain a Major Change Register to consolidate all the change requests in Mako.*

Mako

All Change Request documentation will be held in MAKO (knowledge management system). The PMO will upload the change request form into the MAKO change directory and communicate the unique change request number to the submitter.

The Change Request will be given a status as per the following table:

Status	**Description**
Draft	The change request is being developed and a number is allocated to allow the requester to make reference to that number for administrative/tracking purposes.
Submitted	The change request has been submitted to the PMO and formally logged as a change but has not yet been tabled at Change Authority Forum meeting.
Withdrawn	The change request will not go ahead and has been withdrawn.
Impact Assessment	The costs to proceed with the Impact Assessment have been approved as per the (Change Authority Forum financial delegation authority). If the Impact Assessment is at no cost the request for Impact Assessment Change Authority Forum approval is not required.
Further Information Required	The Change Request was sent back to the owner with a request for further information.
Approval pending	The change has been endorsed for approval by the Change Authority Forum and is with the SRO for signoff.
On hold	Change request is on hold.
Approved	The Change Request has been approved by SRO
Declined	The Change Request has been declined by SRO.

3 Vision 2015 Change Authority

The Change Authority exists as a body to consider, recommend, agree and escalate requests for change as appropriate. [3] (see Appendix 5) The Change Authority can agree changes within the tolerances outlined in the Change Control Matrix[3]. (see Appendix 4)

Depending on the nature of the Change Request, the process will either be a one or two step process.

a. Upon completion of Section B (if required – Refer to Section 2.1.3)
b. Upon completion of the Impact Assessment and Section C (refer to Section 2.1.4)

3.1.1 Quorum

Quorum: To achieve a quorum a representative of each area identified below must be in attendance or prior to the meeting they will be asked to provide either their support of any decision made at the meeting or provide a delegate to attend on their behalf.

- Programme Integration Manager (Chair)
- Vision 2015 Director
- Process Specialist – BAT Representative
- System Owner Representative
- SD&P Business Representative
- CRIS Business Representative
- Visa Services Business Representative
- Technology Workstream Representative

3.1.2 Secretariat

Frequency of Change Authority Meetings: Weekly on a Thursday
Timeframes: If you have submitted a Change Request to the PMO before 10am on a Tuesday it will go to the Change Authority on the Thursday of that week (assuming the change request meets the required standard).

Approvals: Upon endorsement of a change request by the Change Authority, a memo will be sent to the SRO from the PMO to approve the change. Depending on the urgency of the change request and availability of the SRO the timeframe of SRO approval is 36-72 hours.

Minutes/Agenda: Minutes from the previous meeting and an Agenda for the upcoming meeting are sent to members and attendees by noon on a Wednesday.

Communication: All meeting decisions and outputs will be communicated to the appropriate stakeholders by the PMO in a timely and appropriate manner.

Cancellation of Meetings: If no change requests are received by 10am on a Tuesday the Thursday meeting will be cancelled by the PMO and all members and attendees will be notified.

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[3]Appendix 4 – Change Control Matrix
Appendix 5 – Change Authority Charter

4 Roles and Responsibilities

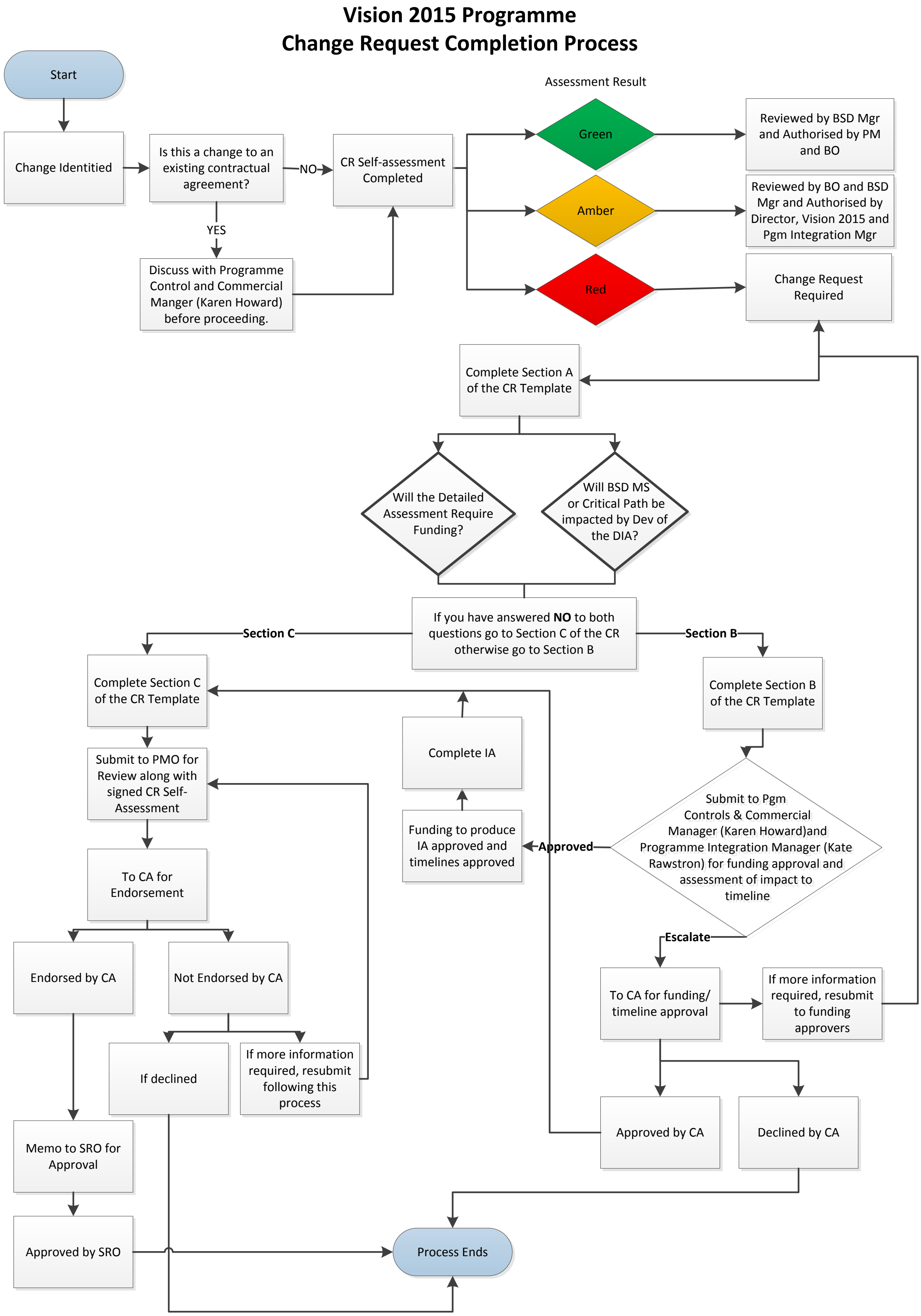
Role	Responsibilities
Senior Responsible Owner	Has overall responsibility to approve Change Requests once endorsed by the Change Authority.
Change Authority (also refer to CA Charter[3] for responsibilities of CA members)	• Provide oversight for all requests for change and ensure that the Vision 2015 Programme Strategy is represented and considered. • Initial triage of change to determine validity/and or progression pathway. • Consider, endorse, approve, decline change requests in line with the V2015 Change Matrix. • Approve funding for Detailed Assessment analysis. • Request further information. Escalate endorsed Change Requests to SRO for approval where required.
Control & Commercial Manager and Programme Integration Manager	Will review any Change Requests that require funding or that impact timelines to develop an impact assessment and assess: • the level of funding required to develop an Impact Assessment • the impact to timeframes to develop the Impact Assessment; • Decide to either agree the funding and impact to timelines or to direct the Change Request to go to the Change Authority for endorsement and subsequent approval.
Programme Management Office	Support Change Submitter with preparation of Change Request form such as; • Quality check received forms for completeness and correctness. • Upload change request form and create an item record in the Programme Change Register. • Collate Change Requests returned and completed • Facilitate end to end Change Process. • Check completeness of change request form, request further information. • Facilitate Progression to Change Authority • Schedule Weekly Change Authority Meetings and provide secretariat services. • Change meeting documents including agendas and minutes. • Act as a single point of contact and communicate all decisions and actions to the programme team and change owner. Prepare a Memo for endorsed Change Requests for signoff with SRO.
Project Manager	• Complete Change Self-Assessment process • Approve Change Request for submission (if required). • Ensure Change process has considered all relevant (effected) parties. • Attend the Change Authority Forum, provide insight and overview to changes sourced within their area. • Input to the Change Authority Forum decision making process. • Seek endorsement from the Business Owner. • Ensure Change Self-Assessment and/or Change Request Form is completed as required. • Discuss proposed change with impacted parties to provide the opportunity to input into the impact and ensure change is complete. • Circulate the change to stakeholders for Impact Assessment and collate all completed Impact Assessment data in the change request. • 'Own' the change for the end to end process. • Attend the change authority meeting to advise/answer any questions.

Appendix 1 – Change Request Self-Assessment

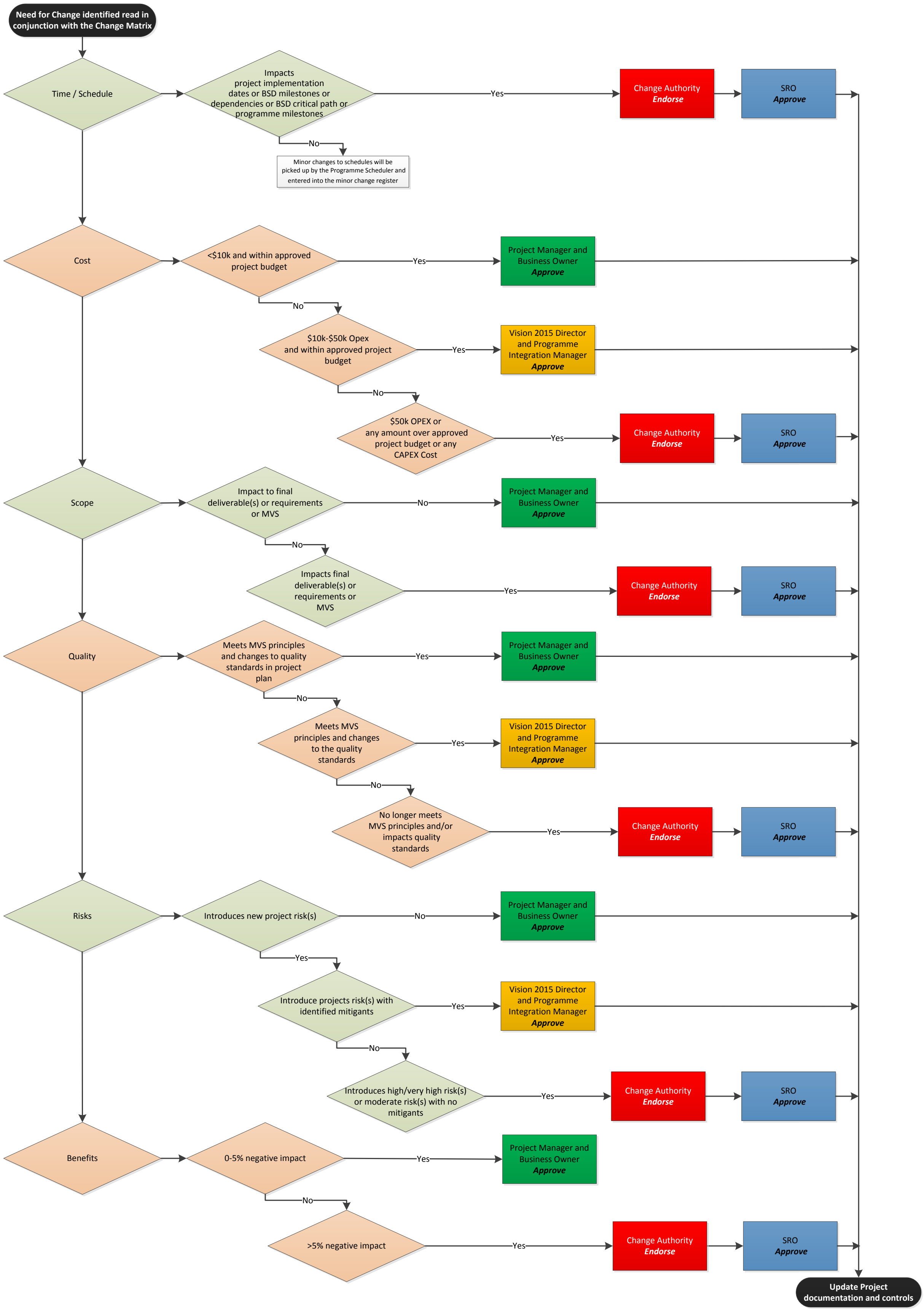
<table>
<tr><td colspan="5">CHANGE REQUEST SELF ASSESSMENT
This form is used to help you to assess whether you need to complete a Change Request to go up to the Change Authority</td></tr>
<tr><td colspan="2">Date of Assessment:</td><td colspan="3"></td></tr>
<tr><td colspan="2">Name of Assessor:</td><td colspan="3"></td></tr>
<tr><td colspan="2">Title of the Change:</td><td colspan="3"></td></tr>
<tr><td colspan="2">Project:</td><td colspan="3"></td></tr>
<tr><td colspan="2">Description of the Change</td><td colspan="3"></td></tr>
<tr><td colspan="5">Is this a change to an existing contractual agreement? If yes, please refer to Programme Control and Commerical Manager (Karen Howard) before proceeding with this CR self-assessment.</td></tr>
<tr><td colspan="5">To assess whether you are required to complete a Change Request, please consider each of the categories below as follows:
If applicable to the change being assessed 'tick' the box
If not applicable to the change being assessed 'cross' box.</td></tr>
<tr><td rowspan="7">Change Category</td><td>Consequence</td><td>No/Low Impact</td><td>Moderate Impact</td><td>High Impact</td></tr>
<tr><td>Time/Schedule</td><td>Does not impact project implementation date, BSD milestones, or dependencies ☐</td><td colspan="2">Impacts:
• project implementation dates; or
• BSD milestones or critical path; or
• Dependencies; or
• Programme Milestones. ☐</td></tr>
<tr><td>Cost</td><td><$10k Opex and within approved project budget ☐</td><td>$10k-$50k Opex and within approved project budget ☐</td><td>>$50k Opex or any amount over approved project budget or any Capex cost ☐</td></tr>
<tr><td>Scope (VPOM*)</td><td>No impact to final delverables(s) or requirements or MVS ☐</td><td colspan="2">Impacts final deliverables(s) or requirements or MVS ☐</td></tr>
<tr><td>Quality</td><td>Meets MVS** principles and meets quality standards set out in the project plan ☐</td><td>Meets MVS** principles and changes to the quality standards accepted by the Business Owner ☐</td><td>No longer meets MVS** principles and/or impacts quality standards ☐</td></tr>
<tr><td>Risk</td><td>Does not introduce any new project risk(s) ☐</td><td>Introduces project risk(s) with mitigants identified ☐</td><td>Introduces new high/very high risk(s) or moderate risk(s) with no clear mitigants ☐</td></tr>
<tr><td>Benefits
(Paul Madlung)</td><td>0%-5% negative impact ☐</td><td colspan="2">>5% negative impact ☐</td></tr>
<tr><td colspan="2">(Green)</td><td colspan="3">If all ticks are in the "Green" boxes – The BSD Manager will review, and The Project Manager and Business Owner can authorise this Change Assessment.</td></tr>
<tr><td colspan="2">(Amber)</td><td colspan="3">If one or more "Amber" boxes and no "Red" boxes are ticked – The Business Owner and BSD Manager will review and the Director, Vision 2015 and the Programme Integration Manager must authorise the Change Assessment.</td></tr>
<tr><td colspan="2">(Red)</td><td colspan="3">If one or more "Red" boxes are ticked, then you are required to complete a Change Request.</td></tr>
<tr><td colspan="3">Reviewers Name</td><td colspan="2">Reviewers Signature</td></tr>
<tr><td colspan="3"></td><td colspan="2"></td></tr>
<tr><td colspan="3"></td><td colspan="2"></td></tr>
<tr><td colspan="3">Authorisers Name</td><td colspan="2">Authorisers Signature</td></tr>
<tr><td colspan="3"></td><td colspan="2"></td></tr>
<tr><td colspan="3"></td><td colspan="2"></td></tr>
</table>

Please submit the completed and signed Change Assessment form to the PMO for traceability purposes.

Appendix 2 - Change Request Completion Process



Appendix 3 – Change Process Diagram



Appendix 4 - Change Matrix

Principles of change control:

1. All projects will operate inside their agreed plan. Any changes to the agreed plan will be escalated as per the table below outlining change delegations.
2. The Programme will seek to maintain operational momentum and effectiveness when evaluating the need for change.
3. Changes occurring in a project schedule with a “Low Impact” consequence will be detected during weekly schedule analysis and will be entered into the Vision 2015 Minor Change Register by the Programme Scheduler. The reason for change will be ascertained from the relevant Project Manager and any impacts to milestones and/or other projects will be captured within the register. This register is distributed weekly to an agreed audience. Link to Vision 2015 Minor Change Register http://mako/otcs/llisapi.dll/properties/23624566
4. The matrix below applies to changes once requirements, scope, schedule, and budget have been baselined.

Vision 2015 Change Matrix

(for changes once requirements have been baselined.)

	Consequence	No/Low impact	Moderate impact	High impact
Change Category	**Time / Schedule**	**does not** impact project implementation date, BSD milestones, **or** dependencies	impacts project implementation dates **or** BSD milestones **or** dependencies **or** BSD critical path **or** programme milestones	
	Cost* **	<$10k OPEX and **within** approved project budget	$10k-$50k OPEX and **within** approved project budget	> $50k OPEX **or** any amount over approved project budget **or** any CAPEX cost
	Scope (VPOM*)	**no impact** to final deliverable(s) **or** requirements **or** MVS	**impacts** final deliverable(s) **or** requirements **or** MVS	
	Quality	**meets** MVS** principles **and meets** quality standards set out in the project plan	**meets** MVS** principles **and changes** to the quality standards **accepted** by the business owner	**no** longer meets MVS** principles **and/or** impacts quality standards
	Risk	**does not** introduce any new project risk(s)	**introduces** project risk(s) with mitigants identified	**introduces** new high/ very high risk(s) **or** moderate risk(s) with no clear mitigants
	Benefits *(assessed by Paul Madlung)*	0%-5% negative impact	> 5% negative impact	

Approval Key:

Project Manager **AND** Business Owner	** Visa Process Operation Model (VPOM) http://mako/otcs/llisapi.dll/?func=ll&objaction=overview&objid=26503021*
Director, Vision 2015 **AND** Programme Integration Manager	*** Minimum Viable Solution (MVS) http://mako/otcs/llisapi.dll?func=ll&objaction=overview&objid=26507844*
Change Authority	**** Cost is in respect to approved Project budget managed via MBIE & Programme governance and controls*

Project Managers will complete a ***Change Request Assessment*** to assess whether a Change Request is required to go to the Change Authority. The key to this assessment using the above matrix is as follows:

(Green)	All Green – The BSD Manager will review, and The Project Manager and Business Owner can authorise this Change Assessment.
(Amber)	If one or more “Amber” boxes and no “Red” boxes apply– The Business Owner and BSD Manager will review and the Director, Vision 2015 and the Programme Integration Manager must authorise the Change
(Red)	If one or more “Red” boxes apply, then **a Change Request is required.**

Appendix 5 – Change Authority Charter

Purpose

The Vision 2015 Change Authority exists to as a body to consider, recommend, agree and escalate requests for change as appropriate to deliver the best VPOM within MVS. It can agree changes within the tolerances outlined in the Vision 2015 change matrix.

Change Authority Members

Quorum: To achieve a quorum the members identified below must be in attendance or prior to the meeting they will be asked to provide either their support of any decision made at the meeting or provide a delegate to attend on their behalf.

- Programme Integration Manager (Chair)
- Vision 2015 Director
- Process Specialist – BAT Representative
- System Owner Representative
- SD&P Business Representative
- CRIS Business Representative
- Visa Services Business Representative
- Technology Workstream Representative

Operations

Frequency of Meetings

- The Change Authority will meet weekly and on an 'as required' basis for expediting of change requests. If there are no Change Requests for the agenda then the meeting will be cancelled.

Meeting Minutes

- Key decisions and actions will be recorded via formal meeting minutes and distributed to members for dissemination to team members.

Change Authority Responsibilities

The Change Authority are responsible for ensuring that;

- Change Requests are either endorsed, accepted or declined or further information requested to make a decision.
- The change aligns to VPOM, MVS, and Scope.
- Ongoing sustainability.

Change Authority Members and Attendees Responsibilities

Members

Programme Integration Manager: Provide oversight for all requests for change and ensure that the Vision 2015 Programme Strategy is represented and considered.

Vison 2015 Director: Ensure that the change is considered in relation to organisational alignment to the VPOM/MVS and that the business change impacts are considered and aligned with the capability delivered.

Process Specialist – BAT: Ensure that the change is considered for alignment and traceability to the final signed off business requirements and compliance with L4 process and MVS.

System Owner Representative: Ensure that the change is considered in relation to the overall architectural direction and operational support model of MBIE and the end to end architectural model for INZ.

SD&P, CRIS and Visa Services Business Representatives: Ensure that the business impacts have been considered and that the change is aligned with business rules and process.

Technology Workstream Representative: Ensure that the change is considered in relation to the end to end integrated technology solution and it's delivery.

Attendees

BSD Managers: Ensure that the change is considered in relation to the overall BSD Cycle and timelines.

Programme Control and Commercial Manager: Provide quality assurance and confirmation that the financials are accurate, the treatment is appropriate, and confirm both meet senior management requirements.

Vision 2015 Programme Management Office: Ensure the quality of the information being provided, support escalation and compile, distribute and maintain all change tools and records, secretariat.

Attendees as requested: Change submitters and SME's may be requested to attend the meeting in order to support the proposed change by means of clarifying any matters or questions which arise.