Change Control, Contract, and deliverable management

Attachment 04a - 988 Nevada’s Behavioral Health Crisis Care Hub (NBHCCH) RFP

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# Change Control Management

Project Change Control Management establishes how changes to this project under the Office of Information Technology (OIT) Project Management Office (PMO) and the Vendor will be proposed, accepted, monitored, and controlled. The change control procedures identified in this section will govern changes to the baseline project scope including changes to the work plan and requirements from project inception through to completion. Once a project transitions to the Maintenance and Operations phase, this document may be utilized but the roles and responsibility will need to be revised.

A Change Request form will be used for all changes (Appendix A). They will be tracked using the Change Control Log (Appendix B). The process is represented in the Change Request Process (Appendix C). In addition, the change control procedures will govern changes to the baseline schedule and cost. This section addresses the following activities:

* Identification and inventory of change requests
* Analysis and documentation of the impact to the overall project of requested changes
* Approval or rejection of change requests
* Tracking changes and updating of project documentation to account for approved changes

## Roles and Responsibilities

### Project Team Members / Vendor Team Members / Stakeholders

* Reviews proposed Project Change with OIT Project Manager/Vendor Project Manager.
* Participates in analysis of impacts based on requests.

### OIT Project Manager

* Completes documenting the proposed change request, including the Level and submits for review and approval.
* Records and assigns change request numbers to all change requests in the Change Request Log.
* Assigns project team members, including vendor team members, to complete analysis and document results of analysis.
* Determines the feasibility of change request by the Project Director, Project Sponsors and/or Steering Committee.
* If change request impacts IT (including security), reviews with OIT Management and DPBH ISO.
* Facilitates approvals for Level 3 change requests with Project Director and/or Project Sponsor.
* Facilitates approvals for Level 2 change requests with Project Director and/or Project Sponsor.
* Facilitates approvals for Level 1 change requests with Steering Committee/Governance, Project Director, and Project Sponsor.
* Tracks and updates status of change request in Change Request Log.
* Updates impacted project documentation for approved change requests.

### OIT PMO (Project Management Office)

* Owns and maintains the OIT PMO Project Change Management Plan processes.
* Provides direction and guidance to OIT Project Managers on process and organizational roles.
* Serves as escalation point for OIT Project Managers.
* Performs audits to validate quality and contract compliance in the Change Management process.
* Reviews and approves all levels of change requests.

### OIT Management

* Reviews change requests for information technology concerns.
* Reviews and approves all levels of change requests.
* Project Director (or other program staff with budgetary authority)
* Reviews change requests for budgetary support or concerns.
* Reviews and approves all levels of change requests.

### Project Sponsors

* Reviews and approves Levels 2 and 3 change requests.
* Approves Level 1 change requests and promotes to Steering Committee for acceptance or rejection.

### Steering Committee

* Accepts or rejects Project Sponsor recommendations for Level 1 change requests.
* Information Security Officers (ISO)
* Reviews all change requests to identify any security impacts.

### Change Control Board (CCB)

* Reviews Level 1 and 2 change requests that would impact statewide stakeholders and provides recommendations to designated person in the Program or OIT Project Manager

### Project Core Team

* Identified at the beginning of the project and will include some or all of the listed roles in this section.

## Change Identification (Section 1)

Any project team member (Requestor) can submit a change request to the OIT Project Manager. When the need for a change to the approved baseline is identified, the change will be clearly defined using the Change Request Form (See Appendix A).

* The Requestor locates Change Request link in Project Team site in Microsoft Teams
* The Requestor completes Section 1 of the Change Request Form and submits it to the OIT Project Manager for review
* The OIT Project Manager records the request in the Change Request Log and assigns a change request number to the request.
* OIT Project Manager will assign and/or validate the Type of Change as described below:
  + Type of Change is defined in the following table:

|  |  |
| --- | --- |
| Type of Change | Description\* |
| Level 1 | Major change and will impact scope, schedule and/or budget |
| Level 2 | Minor change and will impact scope, schedule and/or budget |
| Level 3 | Minor change and will not impact scope, schedule and/or budget or is a clarification of requirements |
| \*Major and minor changes will be determined by the Project Team and is dependent upon project impacts. | |

Table Type of Change

* The OIT Project Manager includes the Change Request as an agenda item for discussion at the next Change Control Board (CCB) meeting or at the next Status meeting.
* If the Change Request is deemed to move forward in the process, it will be assigned for change analysis. (Section 1.3 Change Analysis)
* If the Change Request is deemed to not move forward, it is closed on the Change Request Log.

## Change Analysis (Section 2)

* For internal changes (DPBH), the OIT Project Manager will complete or assign a project team member to complete Section 2 of the Change Request Form, which details the work to complete the change and the impact of the change on the project and deliverables.
* For Vendor changes, the Vendor Project Manager will complete or assign a project team member to complete Section 2 of the Change Request Form, which details the work to complete the change and the impact of the change on the project and deliverables.
* Once change analysis is complete, the change needs to be reviewed for any security impacts by DPBH ISO. If there are security concerns, the change request will be routed to project management to address ISO concerns.
* Project cost increases will need to be validated with the project budget and source of funds (grants, etc.) to ensure funds are available. Contract could potentially be impacted and OIT Project Manager will need to work with the Project Director to determine contract/budget and timeline impacts.
* Once the change request has been determined viable and merits consideration, the OIT Project Manager will review the change request with Project Core Team via meeting. Once they have reviewed and there is an agreement to proceed, Change Request moves to DPBH Leadership for formal approvals.
* If the Change Request is deemed to not move forward, it is closed on the Change Request Log.

## Change Request Approval (Section 3)

* Once ISOs and Program(s) have signed off on the change request, the OIT Project Manager indicates recommendation and forwards the change request to the Project Management Office (PMO) for review and approval.
* For all Levels of change requests, OIT Management, Project Director, and Project Sponsor approves or rejects.
* For Level 1 change requests, the change request will be included on the agenda of the next Steering Committee meeting. At the Steering Committee meeting, the change request will be approved or rejected.
* Depending on Level 1 change, this may need to be escalated to a contract amendment. OIT Project Manager communicates this change to DPBH Contract Unit for next steps.
* Once approved, the OIT Project Manager will update the appropriate project documentation to reflect the change.
* During the approval process, if at any step there is a rejection of the change request, the OIT Project Manager will update the Change Control Log with rejection reason and update all stakeholders.

## Expected Time for Change Request Cycle

* Upon submission of change request to the OIT Project Manager, the following time guidelines will be followed:
  + Within 1 week, the OIT Project Manager includes as an agenda item during next Change Control Board (CCB) meeting, or the Weekly Project Status Meeting may also be used for Change Management updates.
  + If there is consensus to move forward, the Change Request is assigned to Project Team members to complete the Change analysis (Section 2)
  + Change analysis will occur according to the level of change identified on the Change Request form:
    - Level 1 – 2 weeks
    - Level 2 – 2 weeks
    - Level 3 - 1 week
  + Appropriate approvals will be within 2 – 4 weeks depending on if a Steering Committee approval is warranted. If so, it will be placed on the next meeting agenda for discussion.
  + For expedited Change Request approvals, an email will be circulated to Project Director, Project Sponsor(s) and/or Steering Committee for expedited approval/rejection.

## Change Tracking

* The OIT Project Manager will maintain a master log of all change requests and the status of each request.  All requests will be tracked using the Change Control Log.
* Change Control Log and all change requests whether approved or rejected, will be stored in the project repository with all other project artifacts.

## Automated Change Request

* Change Request information (Sections 1, 2 and 3) will be documented using DocuSign.

# Contract and Deliverable Management

Contract and Deliverable Management is critical for project success. Contractual obligations need to be validated as fulfilled by the project team and the vendor. The Contract and Deliverable Management processes include the following activities:

* Validate all requirements listed in the Scope of Work and Requirement Traceability Matrix (RTM) that are included as attachments in the contract.
* All deliverables required to be delivered and approved by DPBH will be tracked on the Contract Budget and Deliverable Tracking (CBDT) Matrix (Appendix D). Each milestone and associated deliverable(s) will be tracked and then completed once an invoice has been submitted for that milestone and/or deliverable. In some cases, a deliverable may be completed on its own without the entire milestone being completed.
* Subject Matter Experts (SMEs) reviews for deliverables will be tracked using the Deliverable Review and Submission History section of the Deliverable Acceptance Document (DAD)
* (Appendix E).
* Invoices for payments need to be accompanied by a Deliverable Acceptance Document (DAD) (Appendix E).
* All deliverables submitted for payment will follow the Deliverable Review and Acceptance process for payment (Appendix F).

## Validation of Solution Meeting Scope of Work

To validate all contractual obligations that have been met, a Requirement Traceability Matrix (RTM) will be used during the contract duration. The RTM was included as an attachment in the contract. The matrix tracks all requirements in the Scope of Work, the vendor response to those requirements and then will track when each is validated by either testing or documentation. Contract completion/fulfillment is when the Requirement Traceability Matrix is completed. Any exclusions or exceptions noted in the matrix will be substantiated by an approved change request.

## Deliverable Review and Acceptance Process

### Notification of Deliverable Complete

* The Vendor Project Manager notifies completion of deliverable to the OIT Project Manager.
* The OIT Project Manager tracks receipt and updates Review and Submission History (DAD Log) section of the DAD.
* The OIT Project Manager engages project stakeholders (Reviewers) to either validate or review the deliverable (i.e. a document is reviewed or an action is validated).
* Review cycles are generally 5-business days, but in some cases may be different and any variance to the 5-day guideline will be in the approved project schedule.

### Stakeholder Validation for Actions

* Each stakeholder (Reviewer) validates that an action has been executed.
* By the end of the 5th business day review cycle (or according to the approved project schedule), each Reviewer will have completed their validation.
* Each reviewer will send an email to the OIT Project Manager once they have completed their validation.

### Stakeholder Review Process for Documents

* The OIT Project Manager posts the document to the project Teams site for collaboration with reviews. One version for reviews will be used.
* Each stakeholder (Reviewer) reviews the document using track changes. Lists any edits/additions/deletions either in the document or by using comments (comments are easier to resolve and are preferred).
* By the end of the 5th business day review cycle (or according to the approved project schedule), each Reviewer will have completed their review in the one version on Teams.
* Each reviewer will send an email to the OIT Project Manager once they have completed their review. All review actions are documented on the DAD Log.
* The OIT Project Manager will forward the edited version to the Vendor Project Manager.
* If no edits are needed, go to (A) in Section 2.2.5.

### Document Review Workshop

* A Review Workshop will be scheduled with all Reviewers and Vendor Project Manager and their assigned Subject Matter Experts (SMEs) (if required) to review the edited version to confirm there is an understanding of any requested change.
* After the Review Workshop, the track change document will be sent to the Vendor Project Manager with any unaddressed requested changes.

### Final Document Delivery Process

* After the Review Workshop, a 3-day period (or according to the approved project schedule) will be given to include comments into the final version by Vendor Project Manager.
* The Vendor Project Manager submits the final version to OIT Project Manager who validates that all changes have been made into this version.
* If there are any outstanding changes, the deliverable will be returned to the Vendor and the OIT Project Manager will update the Review and Submission History section on the DAD (DAD Log).
* If all changes have been made, the OIT Project Manager submits the final version to all Reviewers with track changes on for final review.
* The final review for Reviewers will be 2 days (this will have already been completed by the OIT Project Manager so it will be a secondary review). Their reviews and acceptance will be documented on the *In Process* Deliverable Acceptance Document (DAD) prepared by the OIT Project Manager.
* (A) Once the final version of the deliverable has been accepted by the Reviewers, their reviews and acceptance will be documented on the *In Process* DAD in the DAD Log prepared by the OIT Project Manager.
* The OIT Project Manager circulates the deliverable package (*In Process* DAD and final version of deliverable) for approvals by DPBH Leadership (listed in the Deliverable Approval and Acceptance section of the DAD). *In Process* DAD now becomes a *Fully Executed* DAD with all approvals.
* The *Fully Executed* DAD is then sent to the Vendor Project Manager.

### DPBH Process for Payment

* The OIT Project Manager sends completed *Fully Executed* (FE) DAD and final deliverable to Teams repository.
* The OIT Project Manager updates the date the FE DAD was sent on the Contract Budget and Deliverable Tracking (CBDT) Matrix (Appendix D).
* The Vendor Project Manager sends an invoice (invoice should include the FE DAD number) and signed Fully Executed DAD to the OIT Project Manager.
* The OIT Project Manager updates the Contract Budget and Deliverable Tracking (CBDT) Matrix (Appendix D) with the Vendor invoice, amount and date received and uploads invoice to FE DAD folder in Teams.
* The OIT Project Manager submits the invoice and associated FE DAD to the Fiscal department for processing.
* OIT Project Manager posts date invoice and associate FE DAD were sent to Fiscal department to Contract Budget and Deliverable Tracking (CBDT) Matrix.

## Automated Deliverable Acceptance Document

* DAD reviews and approvals will be documented using DocuSign.

APPENDIX A

**State of Nevada**

**Department of Health and Human Services**

**Division of Public and Behavioral Health**

Change Request Form

|  |  |
| --- | --- |
| Section 1 | |
| Project Name |  |
| Contract # |  |
| Change Number |  |
| Date of Request |  |
| Change Requested By |  |
| Change Request Name |  |

|  |  |  |
| --- | --- | --- |
| Change Type | Check | Description |
| Level 1 |  | Major change and will impact scope, schedule and/or budget |
| Level 2 |  | Minor change and will impact scope, schedule and/or budget |
| Level 3 |  | Minor change and will not impact scope, schedule and/or budget or is a clarification of requirements |

|  |
| --- |
| Description of Change |
|  |

|  |
| --- |
| Reason for Change |
|  |

|  |
| --- |
| **Section 2** |
| **Effect on Deliverables (including a list of an affected deliverables)** |
|  |

|  |
| --- |
| **Effect on Information Technology (Security) DPBH ISO Approval \_\_\_\_ Yes \_\_\_\_\_No** |
|  |

|  |
| --- |
| **Effect on Schedule (including Estimated Completion Date for this change)** |
|  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Effect on Project Cost** | | | | |
| Item Description | Hours | | Dollars | |
|  | Reduction | Increase | Reduction | Increase |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| **Total Net Change in Cost** |  | | | |

|  |
| --- |
| **Effect of NOT approving this change** |
|  |

|  |
| --- |
| **Reason for Rejection (if applicable)** |
|  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Section 3** | | | |
| **Change Request Approvals** | | | |
| Name | Title | Signature | Date |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

APPENDIX B

Change control log

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Project:** |  | **As of Date:** |  | **Project Manager:** |  | | |
| **Change Number** | **Description of Change** | **Priority** | **Date Requested** | **Requested By** | **Status Evaluating, Pending, Approved, Rejected** | **Date Resolved** | **Resolution / Comments** |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |

APPENDIX C

DPBH PMO Change Management Process

Diagram

Description automatically generated

Figure Change Management Process Flow Diagram

APPENDIX D

Contract Budget and Deliverable Tracking (CBDT) Matrix

Graphical user interface, table

Description automatically generated with medium confidence

Figure Contract Budget and Deliverables Tracking (CBDT) Matrix

APPENDIX E

**State of Nevada**

**Department of Health and Human Services**

**Division of Public and Behavioral Health**

Deliverable Acceptance Document (DAD)

|  |  |
| --- | --- |
| **Project Contract** | |
| **Contractor** |  |
| **Contract Number** |  |
| **Project Name** |  |
| **Project Implementation Due Date** |  |

|  |  |
| --- | --- |
| **Milestone** | |
| **Milestone Number and Description** |  |
| **Total Cost of Milestone** |  |
| **All Deliverables Included in this Milestone** |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Deliverable Completed** | | | | | | |
| **PMO Deliverable Number(s)** | | |  | | | |
| **Deliverable Title(s)** | | |  | | | |
| **Date Deliverable Completed** | | |  | | | |
| **Deliverable Funding Source** | | |  | | | |
| **Deliverable Cost** | | |  | | | |
| **Description of Deliverable** | | | | | | |
|  | | | | | | |
| **Deliverable Submission and Review History (DAD Log)** | | | | | |
| Contract Deliverable Number | Date Received from Vendor | | Date Returned to Vendor | Version | Notes and Comments |
|  |  | |  |  |  |
|  |  | |  |  |  |
|  |  | |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Contract Deliverable Number and Version** | **DPBH Program Acceptance or Rejection of Deliverable** | **Name** | **Reviewer Initials** | **Date** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Deliverable Approval and Acceptance** | | | |
| **Name** | **Title** | **Signature** | **Date** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

APPENDIX F

DPBH PMO Deliverable Management Process

Diagram

Description automatically generated

Figure Deliverable Management Process Flow Diagram