

ODOT Change Management Request

A formal Change Management Request (CMR) serves as the vehicle to modify the approved scope, schedule, budget, and delivery method for STIP projects. The CMR will provide input and support for subsequent STIP amendments. **A CMR is required to be entered in the CMR database to make changes to a project after the project is programmed in the STIP until a project goes to bid.**

Pre-Project Initiation Phase

When changes are made to projects prior to Project Initiation phase start such as moving funds from a project that has not started yet, a CMR is needed to capture the change. Since this is a CMR prior to Project Initiation phase start, the numbering of the CMR in the CMR database begins with a P starting at P1 (CMR - KN P1). For example; 12345-P1 and 12345-P2.

During and at the Completion of Project Initiation Phase

A CMR 0 (zero) will be required for every state delivered STIP project on the state system with a Project Charter. The CMR 0 (zero) will document changes needed to reconcile any differences between the final Business Case, what was programmed in the STIP or any CMR prior to Project Initiation completion and the Project Charter in order to provide a clear start into project development. If there are no changes, the CMR 0 (zero) will document that the scope, schedule, budget or delivery approach for the project has not changed. The CMR 0 (zero) and the Project Charter are developed simultaneously. If there are requested changes, the CMR 0 (zero) should be approved prior to signing the Project Charter. Changes made in the CMR 0 (zero) are updated in the CMR database and incorporated into the Project Charter. The CMR 0 (zero) must be attached to the final approved Project Charter. The numbering for a CMR 0 (zero) is KN-00. For example; 12345-00.

Post Project Initiation

Changes to a Project after Project Initiation phase will continue to be captured using the CMR database and stop at Bid Letting (once construction contract is in place). The numbering will continue in sequence to KN-01. For example; 12345-01.

The Project Lead (Transportation Project Manager or Resident Engineer-Consultant) is responsible for initiating and completing a CMR. The project development team (PDT) will review and analyze the requested change(s) and provide information to document the impacts. The STIP Coordinator will identify additional actions that may be required. These include STIP Amendments, MPO amendments, approval authority and funding obligation year changes.

Note: If a change to one project causes a change to another project such as moving funds between projects, two different CMRs will be required to address changes to both projects.

The Project Sponsor (Optional) will be responsible to confirm that the proposed change still meets the project intent and goals.

ODOT Change Management Request for ADA Curb Ramp only Projects

A formal Change Management Request (CMR) serves as the vehicle to modify the approved scope, schedule, budget, and delivery method for STIP projects. The CMR will provide input and support for subsequent STIP amendments. **A CMR is required to be entered in the CMR database to make changes to an ADA curb ramp only project when the project reaches DAP until a project goes to bid.**

Pre-Project Initiation Phase / Project Initiation Phase

A CMR is not required during pre-project initiation phase, or during and at the completion of project initiation phase for ADA curb ramp projects.

Design Acceptance Phase (DAP)

A CMR 0 (zero) will be required for every state delivered ADA curb ramp only STIP project on the state system with a Program Charter at DAP. The CMR 0 (zero) will document in the CMR database changes needed to reconcile any differences between what was programmed in the STIP, the Program Charter and the project scope, schedule or budget at DAP in order to provide a clear start into project development. The numbering for a CMR 0 (zero) is KN-00. For example; 12345-00.

Post DAP

Changes to an ADA curb ramp only Project after DAP phase will continue to be captured using the CMR database and stop at Bid Letting (once construction contract is in place). The numbering will continue in sequence to KN-01. For example; 12345-01.

Accessing and Opening the Database

Located at [Change Management Request \(CMR\) Database](#)

- The application will open to the main menu with active CMRs displayed by default.
- Search for specific CMRs by using the Search By instructions outlined below. Search results are displayed below search options.

KN	CMR#	Project Name	Project Lead (TPM/RE-CP)	Request Date	Region	Area	Approved or Denied	Active/Inactive
13933	13933-02	Powers-Agness Hwy: Burma Slide Sec (MP4.4-8.4)	Bentea, Stephanie	9/18/2020	3	Southwe		A
18733	18733-07	US101 Ave A - Ave K (Seaside)	Jablonski, William	4/5/2021	2	1		A
18746	18746-04	OR47: Main Street (Carlton)	Hildebrant, Christine		2	4		A
18794	18794-06	OR8: SW Short Ave - SW 110th Ave	Scott, Nate	8/10/2020	1	Metro W		A
18794	18794-07	OR8: SW Short Ave - SW 110th Ave	Scott, Nate	8/10/2020	1	Metro W		A
19261	19261-03	OR39: Crest Street - Madison Street.	Nash, Bill	7/30/2020	4	South Ce		A
20133	20133-P1	I-5: Ashland-Gold Hill	Roberts, Dan	10/21/2020	3	Rogue Vi		A
20166	20166-00	I-5 & OR138E: Variable Message & Curve Warning Signs	Bentea, Stephanie	3/4/2021	3	Southwe		A
20362	20362-02	US26: SE Kelso Rd - Frog Lake Sno Park	Martin, Kelly	1/22/2021	1	Metro Ea		A
20363	20363-02	I-84: Corbett interchange - East Hood River Interchange	Martin, Kelly	12/2/2020	1	Metro Ea		A
20413	20413-07	US30BY (Lombard): N Fiske Ave - N Boston Ave	Bachman, Jennifer	1/6/2021	1	Metro Ce		A
20435	20435-05	OR99W: I-5 to McDonald	Turner, Stephanie	9/22/2020	1	Metro W		A

Navigating the CMR Database

Section	Description
Select CMR Status	<p>By default, active CMRs are displayed in search. The list automatically refreshes after selection.</p> <ul style="list-style-type: none"> • Active – includes CMRs that are in progress (not complete) • Inactive – includes CMRs that have been approved or denied (complete) • All - includes both active and inactive CMRs <p>Note: Inactive CMRs are read-only</p>
Sort By	<p>Select one of the following options to sort by. CMR list automatically re-sorts after sort criteria is selected.</p> <ul style="list-style-type: none"> • Key Number • CMR Number • Project Name • Project Lead • Request Date • Region
Search By	<p>Multiple search parameters can be used at one time. Search is dynamic, therefore drop list values change depending upon CMR Status (Active, Inactive, All) selected and depending upon preceding search criteria.</p> <p>For example, if Inactive CMRs are selected, the (Search By) Key Number drop list will include only Key Numbers for inactive CMRs. If a specific Key Number is selected, then all other drop list values are limited to those pertaining to the selected Key Number.</p>

Search By (cont.)

Search for a CMR:

- Select (radio) button at left of specific search criteria
- Select from drop list(s) or enter search parameter
- Click Refresh
- Search results are listed below search options, along with the total number of CMRs displayed at lower right

Select CMR Status: Active Inactive All

Sort By: Key Number Project Lead CMR Number Request Date Project Name Region

Search By: Clear Search Criteria Project Lead (TPM/RE-CP) Key Number 20461 Request Date thru CMR Number Region Project Name STIP Amendment Approval Authority Change Category

KN	CMR#	Project Name	Project Lead (TPM/RE-CP)	Request Date	Region	Area	Approved or Denied	Active/Inactive
20461	20461-01	US395: SE 4th - I-84 (Hermiston)	Strasser, Bryan	5/1/2020	5	Northeast		A
20461	20461-00	US395: SE 4th - I-84 (Hermiston)	Strasser, Bryan	5/1/2020	5	Northeast		A

Export to Excel Number in List: 2

Clear search:

- Select (radio) button at left of Clear Search Criteria

Search Options:

- Clear Search Criteria – select to clear search criteria
- Key Number – select Key Number from drop list or start typing and list will jump to record
- CMR Number – select CMR Number from drop list or start typing and list will jump to record
- Project Name – enter all or part of project name (i.e. “OR99” will return all CMRs containing “OR99” in project name)
- STIP Amendment – select Full (CMRs requiring full amendment), Admin (CMRs requiring administrative amendment), or No.
- Change Category – select from Avoidable, Elective, No Change, and Unanticipated to return CMRs pertaining to specific change types
- Project Lead (TPM/RE-CP) – select name from drop list (Contact CMR Database [System Admin](#) to add a user to drop list)
- Request Date – enter desired date range or double click in date fields to populate today's date. (Date is required in both fields).
- Region – select region 1, 2, 3, 4, or 5
- Approval Authority – select from Delivery & Operations Administrator, ODOT Director, OTC, and None to return CMRs requiring a specific approval

Export to Excel

CMR data can be exported to Excel for reporting. Below search results window, click **Export to Excel**. Note that only CMRs in search results are exported. To export all CMRs, select 'All' CMR Status and clear all other search criteria. Export includes all CMR related data (not limited to columns displayed in results window).

Excel file will open automatically to allow for saving the file to a local folder.

Add a CMR

Add a new CMR from a blank record:

- Click New CMR located at right of CMR search results list

KN	CMR#	Project Name	(TPM/RE-CP)	Date	Region	Area	or Denied	Inactive
20461	20461-01	US395: SE 4th - I-84 (Hermiston)	Strasser, Bryan	5/1/2020	5	Northea		A
20461	20461-00	US395: SE 4th - I-84 (Hermiston)	Strasser, Bryan	5/1/2020	5	Northea		A

Refresh

Duplicate Highlighted CMR

New CMR

Open

Exit Application

- A blank CMR Transaction form will open. Enter information pertaining to the new CMR.
- To save CMR, click Save & Close
- To cancel and not save CMR, click Cancel

CMR Transaction [CMR Guidance](#)

Request Date: 6/23/2020 CMR Number: 2345-00 Project Lead (TPM/RE-CP):

Project Name:

KN: 12345 Region: Area: Project Delivery Phase:

Funding Program 1: Funding Program 2: Funding Program 3:

Funding Program 4: Funding Program 5: Funding Program 6:

STIP Amendment¹: Approval Authority¹: MPO Amendment¹: Yes No

IGA Amendment²: Yes No A & E Contract Amendment²: Yes No Reset Baseline Project²: Yes No

¹ Completed by STIP Coordinator ² Completed by Project Lead Supporting Documents (double click on box->)

Change 1: Reason 1:

Change 2: Reason 2:

Change 3: Reason 3:

Current Scope:

Describe Scope Change:

Justification for Scope Change:

Describe the Risk of not Approving the Scope Change:

Since most changes to one area of a project (*scope, schedule, or budget*) will impact other areas, please fill out ALL three areas of a project (scope, schedule and budget) in the CMR form regardless of the topic of concern for your CMR. Note that mandatory fields must be completed prior to CMR approval/denial however, a CMR can be saved at any point.

For example; if your CMR concerns a change of schedule, please fill out all budget and scope fields in addition to the schedule fields by describing current budget and scope, and also including any possible change as a result of schedule change.

Duplicate a CMR

An existing CMR may be used as a template to create a new CMR. Data from the existing CMR will be copied into the new CMR, except for CMR suffix (i.e. 12345-XX), and approver/signature dates.

Duplicate a CMR:

- Follow *Search for a CMR* instructions
- From search results list, click once on desired CMR to select it, and then click Duplicate Highlighted CMR at right.

KN	CMR#	Project Name	(TPM/RE-CP)	Date	Region	Area	or Denied	Inactive
20461	20461-01	US395: SE 4th - I-84 (Hermiston)	Strasser, Bryan	5/1/2020	5	Northeast		A
20461	20461-00	US395: SE 4th - I-84 (Hermiston)	Strasser, Bryan	5/1/2020	5	Northeast		A

Refresh
 Duplicate Highlighted CMR
 New CMR
 Open
 Exit Application

- Select OK to confirm (or Cancel to cancel action)
- CMR Transaction form will open, along with data populated from selected CMR
- Enter CMR Request Date and CMR Number suffix (12345-XX), then update information pertaining to the new CMR

CMR Transaction [CMR Guidance](#)

Create PDF E-Mail CMR
Save & Close Cancel

Request Date: 6/18/2020 CMR Number: 20461- Request Lead (TPM/RE-CP): Strasser, Bryan Maximize Window

Project Name: US395: SE 4th - I-84 (Hermiston)

KN: 20461 Region: 5 Area: Northeast Project Delivery Phase:

- If budget and/or schedule section information was populated in the existing CMR, information is copied into the new CMR as follows:
 - Requested Budget amounts from template CMR are copied into Phase Total Estimated Cost amounts of new CMR.
 - Proposed milestone dates from template CMR are copied into Current milestone dates of new CMR. Where Proposed milestone dates are blank in template CMR, Current milestone dates from template are copied into Current milestone dates of new CMR.
- To save CMR, click Save & Close
- To cancel and not save CMR, click Cancel

Open a CMR

Open a CMR:

- Follow *Search for a CMR* instructions
- From search results list, double-click the desired CMR or click once on CMR to select it, and then click Open

KN	CMR#	Project Name	(TPM/RE-CP)	Date	Region	Area	or Denied	Inactive
20461	20461-01	US395: SE 4th - I-84 (Hermiston)	Strasser, Bryan	5/1/2020	5	Northeast		A
20461	20461-00	US395: SE 4th - I-84 (Hermiston)	Strasser, Bryan	5/1/2020	5	Northeast		A

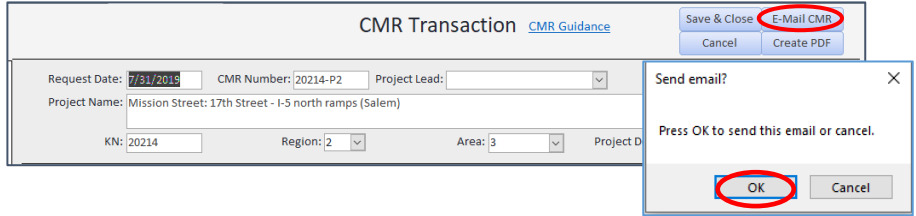
Refresh
 Duplicate Highlighted CMR
 New CMR
 Open
 Exit Application

Email a CMR

Create an email with an attachment of the CMR to send to stakeholders or signatories for communication about the CMR. In addition to the CMR attachment, this option also provides a link to the CMR database where the CMR can be found.

Email a CMR (cont.)

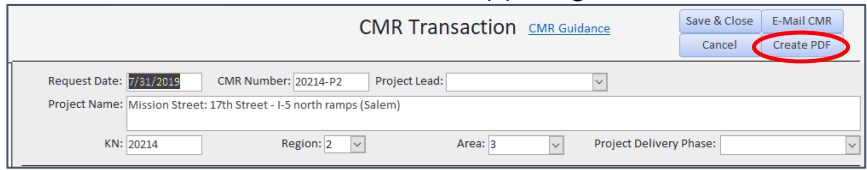
- Follow *Open a CMR* instructions above
- Select E-Mail CMR located at upper right of CMR transaction
- Click OK to generate email



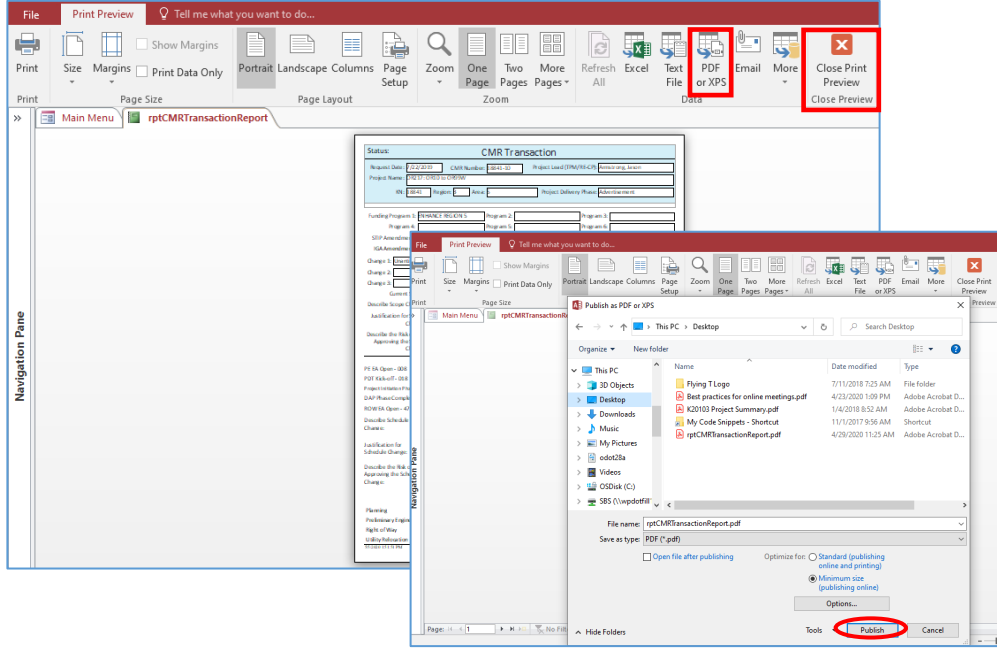
Create PDF

Generate a PDF preview to save in ProjectWise after receiving all signatures needed to complete a CMR.

- Follow *Open a CMR* instructions
- Click Create PDF located at upper right of CMR transaction



- The CMR opens in Print Preview with various options for saving the CMR
- Select PDF or XPS to publish to PDF
- Navigate to desired file location, enter file name, and click Publish.
- After file is saved, a confirmation will be displayed "Finished exporting report to file (location) successfully." Click Close.
- Select Close Print Preview to return to CMR



Delete a CMR

To delete a CMR, please email the CMR Database [System Administrator](#) and include CMR Number in request. System Admin will notify requester when record has been deleted.

Project Information	<p>Enter project information:</p> <ul style="list-style-type: none"> • Request Date • CMR number consists of the project five-digit Key Number (KN) followed by a sequential number of the CMR for each project starting with 00 for the first CMR at the completion of the Project Initiation phase. Required format is 12345-xx. <ul style="list-style-type: none"> ○ For a project that hasn't reached Project Initiation phase start, use CMR Number 12345-P1. ○ CMR zero for a project that is at Project Initiation phase completion by May 15, 2019. Use CMR Number 12345-00. ○ For a project that has passed Project Initiation phase completion, use CMR Number 12345-01. • Project Lead – Transportation Project Manager (TPM) or Region Engineer – Consultant Projects (RE-CP) • Project Name • Key number is read-only and is automatically populated based on CMR Number • Region – Select the Region where the project is located • Area – Select the Area corresponding to the Area Manager responsible for delivering the project • Project Delivery Phase – Corresponds to the statewide milestone deliverables. Select the phase in which the CMR occurs; Project Initiation, DAP, Preliminary, Advance, or Final Plans, PS&E, Advertisement, or Bid Opening • Funding Program (Funding responsibility) - Up to six funding programs can be selected
Additional Actions	<p>Select the applicable additional actions that will be required based on the proposed changes.</p> <p>The STIP Coordinator will identify if the following items are required based on the requested changes:</p> <ul style="list-style-type: none"> • Type of STIP Amendment • Approval Authority <ul style="list-style-type: none"> ○ Delivery & Operations Administrator ○ ODOT Director ○ Oregon Transportation Commission (OTC) ○ None • Metropolitan Planning Organization (MPO) Amendment <p>The Project Lead (TPM/RE-CP) will identify if the following items are required based on the requested changes:</p> <ul style="list-style-type: none"> • IGA Amendment • A&E Contract Amendment • Re-baseline project recommendation <p>Re-baselining the project will effectively reset the scope, schedule, and budget that performance will be measured against. For example, a Local agency has funding they want to contribute to add scope to a project, which also affects the delivery schedule. When completing the CMR, a request to re-baseline the project is included so the addition of scope, schedule, and budget is recognized as positive changes. Re-baselining will be considered for Elective and Unanticipated changes.</p>
Supporting Documents	<p>Use this field to add any desired attachments that support the change request, such as cost estimates, MS Project schedules, or lengthy justifications. Double click in the box and follow the instructions.</p>

<p>Change Type/ Reason Code</p>	<p>Select category for change.</p> <ul style="list-style-type: none"> • Elective changes are positive or good changes to projects such as combining projects for efficiencies, leveraging, practical design and value engineering solutions. • Unanticipated changes are project changes beyond what was reasonably anticipated. Some examples are field conditions, market conditions, regulatory agency requirements, and local agency actions. • Avoidable changes are project changes that were preventable such as an error in cost estimating, inadequate scoping, missed items, failure to identify and manage risk. • No Change for CMR 0 (zero), to memorialize completion of Project Initiation where no change has occurred <p>Select reason code for the requested change. The selected reason code should identify the primary driver for the change and not necessarily the resulting impacts. For example, if resource availability results in a schedule delay that affects the funding obligation year, the primary driver is the resource availability. The requested changes would be to both the project schedule and budget. See Appendix A for additional information on change categories scenarios and reason code descriptions.</p> <p>A single CMR can accommodate up to three distinct changes. Each change will require a change category and reason code. Multiple CMRs will be required for more than three changes at one time.</p> <p>In the event that not all of the submitted changes are approved, clear documentation of what change(s) is approved and what change(s) is not approved is necessary.</p>
<p>Scope</p>	<p>Scope changes (adding or removing work) that require a STIP amendment or have impacts that require changes to the project schedule or budget require a CMR. Major scope changes include:</p> <ul style="list-style-type: none"> • Change in project termini - greater than 0.25 mile in any direction • Changes to the approved environmental footprint • Impacts to air quality(AQ) conformity • Adding capacity per FHWA Standards • Adding or deleting work type <p>Describe the current approved project scope (from Business Case for CMR 0 or last CMR).</p> <p>Describe in detail the change in scope. What is being changed?</p> <p>Describe in detail the justification for the scope change. Why is the change being requested? Since information from these CMRs will be used in reports that are to be shared with OTC, please clearly explain the reasons for change as you would when responding to OTC.</p> <p>Describe how the project will proceed if the change is not approved. What is the risk?</p>
<p>Schedule</p>	<p>Changes to statewide required project milestone dates shown on the Project Charter through Bid Opening require a CMR.</p> <p>Describe in detail the schedule change. What is being changed?</p>

<p>Schedule (cont.)</p>	<p>Describe in detail the justification for the schedule change. Why is the change being requested? Since information from these CMRs will be used in reports that are to be shared with OTC, please clearly explain the reasons for change as you would when responding to OTC.</p> <p>Describe how the project will proceed if the change is not approved. What is the risk?</p> <p>Enter the current approved schedule dates from the last approved CMR. Enter the proposed milestone dates. Note that only the dates associated with funding obligations will be entered. Enter proposed dates from MS Project for all milestones. When selecting the proposed dates make sure to include enough time for the CMR approval process as well as any additional action items.</p> <p>Note: Changes to the Forecasted 1st, 2nd and 3rd Note dates do not require a CMR. These dates should be updated in the next sequential CMR.</p>
<p>Budget</p>	<p>All budget changes require a CMR.</p> <p>Describe in detail the budget change. What is being changed?</p> <p>Describe in detail the justification for the budget change. Why is the change being requested? Since information from these CMRs will be used in reports that are to be shared with OTC, please clearly explain the reasons for change as you would when responding to OTC.</p> <p>Describe how the project will proceed if the change is not approved. What is the risk? If there are budget changes to multiple funding programs, describe the details of the breakdown as well.</p> <p>Enter the current approved budget from the STIP-FP Phase Total Estimate Cost field (Note: this should match the approved budget amount from the last CMR). Enter the requested budget. The database will automatically calculate the budget change. Enter \$0 if a phase does not apply.</p>
<p>Ready for Signatures</p>	<p>CMR Initiator – Select “Ready for Signatures” checkbox (located in Approvals section) to verify that mandatory fields have been completed. See Appendix B for a list of fields required to complete a CMR.</p> <div data-bbox="386 1304 1192 1541" data-label="Form"> </div> <p>Incomplete fields are highlighted in yellow. Complete required information, save CMR and then notify signatories that CMR is ready for approval.</p> <div data-bbox="386 1644 1068 1906" data-label="Form"> </div>

Signatures / Approvals

CMR Approver – Open CMR record in the database and sign and date the form by selecting your name from the Signatures drop list and enter date (double-click in date field to populate today's date or select date from calendar icon). If your name is not available in the appropriate drop list, please contact CMR Database [System Administrator](#).

Approver drop lists are based on assigned roles in the CMR Database. Users can be assigned to multiple roles.

Ready for Signatures: <input checked="" type="checkbox"/>		Signatures	Dates	Signatures	Dates
Funding Program Manager:	Barrett, Mark	6/23/2020	Additional Signator:		
STIP Coordinator:	Birch, Naomi	6/24/2020	Additional Signator:		
Area Manager:	Anderson, Art	6/26/2020	Additional Signator:		
Project Sponsor:			Additional Signator:		
Tech Center Manager:	Thompson, Mark	6/27/2020	Additional Signator:		
Region Manager:			Additional Signator:		
Additional Signator:			Additional Signator:		

Approvals

Do not send out PDFs for electronic signatures or scanned physical signatures.

Funding Program Manager(s) - responsible to ensure the project scope conforms to the program requirements, the project schedule meets their needs for funding obligation and construction years, and the project budget is adequate and within the program budget. The Funding Program Manager has the **authority** to approve or reject the CMR. [Click here to see a list of Funding Program Managers and their associated Funding Programs.](#)

Project Lead (TPM/RE-CP) - responsible for effective planning, collaboration, execution, monitoring, and delivery of assigned projects in accordance with objectives and specifications outlined in the Business Case, Project Charter, and Funding IGA (if needed). Applies Change Management process, and makes recommendations/decisions with or on behalf of the Project Development Team. Responsible for originating the CMR and ensuring all appropriate signatures are obtained. The Project Lead works with resource providers to identify and secure project team members to support delivery of the project e.g., Transportation Project Manager, and Resident Engineer – Consultant.

STIP Coordinator – responsible to identify additional actions required and complete any necessary STIP amendments after the CMR is approved. Conduct quality control of the data, information and justification.

Area Manager- responsible for ensuring projects are delivered on scope, schedule, and budget as programmed. The Area Manager has **authority** to approve or reject the Project Charter and subsequent CMRs.

Project Sponsor (optional) - works with the Project Lead to gain endorsement of Project Charter in accordance with the project's purpose and need. The Project Sponsor is a project advocate/champion who is primarily invested in seeing the project's intent is met. They have **input and influence** throughout the project lifecycle. (e.g., Area Manager, Region Local Program Manager, District Manager, Region Project Delivery Manager)

Tech Center Manager- reviews Charter and provides **input**. The Tech Center Manager is responsible for providing and overseeing the technical resources assigned to complete quality project designs, plans, and specifications according to the approved scope, schedule and budget.

Signatures / Approvals (cont.)

Region Manager (optional) – The Region Manager is the appointing authority and may be a signatory to the CMR at the Region's discretion. It is recommended that the Region Manager sign any CMRs that require STIP amendments or additional approval authority.

Additional Signatory: Space for up to eight additional signatures is provided for use as needed.

Note that for the purpose of the CMR Access database, signatures consist of the signatory selecting their name and entering approval date. Once all signatures are collected and a decision has been made in the Region, the Project Lead (TPM/RE-CP) will:

- 1) Complete the CMR process by checking the appropriate "CMR APPROVED" or "CMR DENIED" box at the bottom of the form. This action will automatically notify approvers (via email) of CMR completion and remove the CMR from active transactions and it will become read-only.
- 2) Create a PDF of the CMR (refer to *Create PDF* instructions) and save file to the ProjectWise Project Management folder using the standard naming convention.

Email Confirmation

When Project Lead (TPM/RE-CP) completes the CMR by selecting CMR APPROVED or CMR DENIED, an automated email is sent to all approvers notifying them of CMR completion. Email recipient, along with sent date and time is captured and displayed in budget section of CMR form.

	Phase Total		Change	Emails Sent			
	Estimated Cost	Requested Budget		Number	Recipient	Date	Time
Planning	\$0	\$0	\$0				
Preliminary Engineering	\$700,000	\$0	(\$700,000)				
Right of Way	\$165,000	\$0	(\$165,000)				
Utility Relocation	\$15,000	\$0	(\$15,000)				
Construction	\$6,568,600	\$0	(\$6,568,600)				
Other	\$0	\$0	\$0				
Total:	\$7,448,600	\$0	(\$7,448,600)				Number in List: 4

If email is modified and sent to additional recipients, the user may add them to the email log manually by selecting 'Add' at right of Emails Sent box.

Appendix A

Change Management Request Scenarios: Guidance for Categorizing Changes

To categorize any particular CMR into elective, unanticipated, or avoidable categories, requires us to ask why at least two or three times to get to an underlying cause of the CMR, beyond a proximate, surface-level cause.

For example, consider a hypothetical, but not uncommon, situation of a delay in DOJ review of our A&E contract, resulting in delay of our project delivery schedule. Milestones need to be rescheduled and a CMR is required. Is it an avoidable or unanticipated change? It depends on the facts of the situation, for which one must ask why more than once.

The following is an example of how to categorize a CMR with correct underlying reason depending on the situation.

Why is our schedule needing to be extended?

Because DOJ review results in delays to project milestones (CMR reason code #205 – DOJ Review)

Why is there a delay due to DOJ review?

- Because we didn't plan for the typical DOJ review duration (or we didn't know) → on us and avoidable
- Because DOJ's review is beyond their typical review duration

Why is DOJ's review beyond their typical review duration?

- Because our package was incomplete and had errors requiring rework by us and DOJ → on us and avoidable
- Because of DOJ staff turnover and lack of review coverage (and we submitted a complete package on time and planned for typical DOJ review duration) → on DOJ and unanticipated
- We do not know why DOJ is late, they just are (but we submitted a complete package on time and planned for the typical DOJ review duration) → it's on DOJ and unanticipated

Additional Major Change Scenarios

Change Scenario	Considerations for CMR Categorization	Specific Examples
New standards are required, not accounted for in current project plan. Requires changes in scope, schedule, or budget.	<ul style="list-style-type: none"> • If the standards were in place (by legal requirement or by policy) prior to recognizing the need for them, <i>then</i> it's an avoidable change. • If the standards are actually new relative to the existing plan, and it would not be reasonable to expect that we should have known they were coming, <i>then</i> it's an unanticipated change. 	<p><u>ADA</u>: Federal ADA requirements have been in place before 2018-2021 STIP. ODOT missed an opportunity to adhere to those standards on time. Hence, meeting ADA requirements for the projects in the 2018-2021 STIP, for which projects were not scoped with this requirement in mind, are now avoidable changes to scope, schedule, and budget.</p>
Projects (e.g. Roadway assets) were scoped at conditions present during scoping; conditions have	If changes are made to a project due to deteriorating conditions of an asset that was supposed to be considered/forecasted during	If changes are made to a bridge project due to deteriorating conditions of the bridge that were supposed to

deteriorated by the time of project development.	scoping, then it is an avoidable change . If changes are made to a project due to unexpected deteriorating conditions of an asset that couldn't have been captured during scoping, then it is an unanticipated change .	be considered/forecasted during scoping, then it is an avoidable change . If changes are made to a bridge project due to unexpected deteriorating conditions due to extreme weather condition that couldn't have been captured during scoping, then it is an unanticipated change .
Canceling a lower priority project to fund another project	For a project that is canceled, the change should be categorized as Elective . For a project that is receiving funds, the change should be categorized based on the reason for cost (budget) increase.	If a project of any type is canceled to fund another project, this change should be categorized as Elective . If a project of any type receives funds from a canceled project due to missed standards or something that could have been prevented, this change should be categorized as Avoidable .

Descriptions of Reason Codes

Scope Reasons (100)

Number	Scope Reason (100)	Description
101	Adding scope	Adding scope to a project. It can be adding new features to a project. Example: sidewalk infill added to preservation project, ADA ramps added, ROW phase added, Local Agency contributes funding for certain design elements, etc.
102	Combined projects	Adding a new project to the scope of another project to form a new project. This may include canceling another project that gets added to an existing project. Example: two projects in close or overlapping proximity on the same delivery schedule are combined into one to avoid work conflicts.
103	Delivery method changed	Changing the approach used to deliver a project. This includes changing from In-house delivery to outsourced or A&E contracting methods such as multi perimeter.
104	Engineering reveal issues not apparent during scoping	Advanced investigations or preliminary design uncovers need for additional work. Example: chloride test on bridge deck reveals that overlay is not adequate and a deck replacement/bridge replacement is necessary, geotechnical investigation reveals poor/unstable soils requiring soil stabilization.
105	External stakeholder issues	Changing project scope to address public needs or requirements. This may be due to something that was missed during scoping or new project feature needed to address public needs.
106	Unresolved environmental issues	Impacts to natural or historic resources which require mitigation. Example: Wetland restoration, storm water treatment, or historic interpretation elements.
107	Reduced Scope	Scope being removed. Example: Costs have increased resulting in project being over budget while no additional funding is available. Scope needs to be reduced in order to remain within budget.

108	Splitting Projects	One project is split into two or more projects. Example: One item of work is delayed but remaining work is on time. Delayed work is split into second project in order to keep other essential work on time.
109	New Design Standards	Design standards changed during delivery process, requiring additional scope.
110	Railroad Crossing Requirements	Adding missed or new railroad requirements.
111	Scope COVID-19	Scope impacts due to COVID-19

Schedule Reasons (200)

Number	Schedule Reason (200)	Description
201	ROW acquisition delayed	ROW acquisition takes longer than anticipated resulting in delays to project deliverables.
202	Environmental permits delayed	Permit approval results in delays to project milestones.
203	Late plan revisions	Inadequate QC, deliverables not completed on time, design exceptions not approved.
204	Resource constraints	Unable to adequately resource project or deliverables not completed on time.
205	DOJ review	Required DOJ review results in delays to project milestones.
206	IGA delayed	IGA agreement execution results in delays to project milestones.
207	A/E contract development	A&E Contract execution results in delays to project milestones.
208	Unresolved utility conflicts	Conflicts not identified accurately, deliverables not completed on time.
209	Local permits delayed	Permit approval results in delays to project milestones.
210	Maintenance Concerns	Necessary maintenance items not included resulting in redesign. Example: access approaches or pads.
211	Haz-Mat issues	Mitigation of hazardous materials results in delays to project milestones.
212	Schedule COVID-19	Schedule impacts due to COVID-19

Budget Reasons (300)

Number	Budget Reason (300)	Description
301	Project estimate exceeds project budget	Added scope elements or schedule delays resulting in increased project costs.
302	Additional budget added	Completion of funding obligation. Example: PE programmed in advance of remaining phases which follow later.
303	Reallocation of budget authorization between work types	Strategically moving funds to a different project work type to cover the cost.
304	Leveraged funds	Additional funding available to add new or increased work items.
305	Budget removed	Splitting projects or prioritizing work on other projects.
306	Budget COVID-19	Budget impacts due to COVID-19
307	Reallocation of budget authorization between project work phases	Strategically moving funds between work phases of the same project.

Other Reasons

Number	Other Reason	Description
000	000 CMR-0	No change. Purpose of CMR is to memorialize completion of Project Initiation Phase.

Appendix B

Change Management Request Mandatory Fields

Prior to CMR approval or denial, the following information must be completed:

- Project Information
 - CMR Number, (KN is automatically populated based on CMR#), Project Lead (TPM/RE-CP), Project Name, Region, Area, Project Delivery Phase, Funding Program #1, STIP Amendment and Approval Authority
- Scope
 - Change #1, Reason #1, Current Scope, Scope Change Description, Justification and Risk of Not Approving Scope Change
- Schedule
 - Schedule Change Description, Justification and Risk of Not Approving Schedule Change
- Budget
 - Phase Total Estimated Cost for all phases and Requested Budget for all phases (enter \$0 for phases that do not apply to project), Budget Change Description, Justification and Risk of Not Approving Budget Change
- Signatures
 - Funding Program Manager, STIP Coordinator, Area Manager and Tech Center Manager