Stirling & Clackmannanshire's City Region Deal Change Control Process

Joint Committee 26th July 2022

City Region Deal Change Control Process 2022/23

1. Executive summary

This report updates Joint Committee members on the requirement for a City Regional Deal Change Control Process to be submitted to and agreed with Governments and then implemented for use within the City Region Deal. This report also takes into account feedback from Joint Committee on the previous version of this document.

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2. Recommendations

Joint Committee members are asked:

2.1. To consider the content of the Change Control Process and;

2.2. To approve the Change Control Process to be implemented for use within the Stirling and Clackmannanshire City Region Deal.

3. Background

As part of the Governance arrangements for the City Region Deal it is necessary to have a Change Control process for all aspects of Deal business. Change Control is the process through which all requests to change are captured, evaluated and then approved or rejected. Change Control is the process of managing, not preventing, change.

The Stirling and Clackmannanshire City Region Deal has been in operation since February 2020, underpinned by a suite of governance documents. The Governance Framework includes a number of policies and processes to support the Deal, including information on Change Control.

This proposed process includes updates to the current Change Control within the Governance Framework as well as incorporating guidance received from Scottish and UK Governments.

4. Considerations

A first version of the updated Change Control Process was presented to Joint Committee on 22nd March 2022, with points raised around the inclusion of Joint Committee members throughout the process instead of only as approving authority at the conclusion of the process. This feedback has now been incorporated with more detailed information included within the flowcharts for further clarity.

5. Financial Impact

The Change Control Process includes the capturing, evaluating and approval of any financial impacts across the deal.

6. Appendices

6.1 Appendix 1: SCCRD Change Control Process

Approved By: Ann Jacob-Chandler, Head of RPMO

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Document Management

Revision History		
Version	**Date**	**Summary of changes**
V1.01	09.03.22	Document created
V1.02	15.03.22	Updates from feedback at Chief Officers Group
V1.03	30.03.22	Updated from feedback at Joint Committee

Reviewers:
This document must be reviewed by the following people prior to issuing to Chief Officers' Group:

Reviewer name	Title / Responsibility	Date	Version
Ann Jacob Chandler	Head of RPMO	12.05.2022	V1.03
Paul Morris	RPMO Project Manager	12.05.2022	V1.03
Gerard Connelly	RPMO Finance Manager		
Nicole McIntosh	RPMO Project Analyst	12.05.2022	V1.03

Approved by:
This document must be reviewed by the following people prior to submitting to Government colleagues for approval.

Name	Title / Responsibility	Date	Version
Ann Jacob Chandler	**Head of RPMO**	**12.05.2022**	**V1.03**
CFO Group			
Chief Officer's Group			
Joint Committee			

Document control:
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Stirling and Clackmannanshire City Region Deal

Change Control Process

1. Introduction

Change Control is the process through which all requests to change are captured, evaluated and then approved or rejected. It is the process of managing, not preventing, change. Change is inevitable within most projects. It is rare for all aspects of a project to be completely known and certain at the start, and new information or implications for the project will come to light over time.

A change within Stirling and Clackmannanshire's City Region Deal (SCCRD) is determined as something that alters to any degree the terms of the agreements previously agreed between Governments and local partners. Such agreements are variously described within the terms of:

- The Heads of Terms
- The Full Deal
- Approved Business Cases
- Grant Offer

2. Change Categories

2.1 Change within Projects (See appendix A for Flowchart)

When a Project or Partner within SCCRD identifies a potential change within a project, Project Managers should establish the scale/impact of change and take the following appropriate actions:

Should the proposed change affect any of the above stated agreements and impact project's key milestone dates, costs, scope or benefits which have been approved, a Change Control Request Form (Appendix C) must be provided to the RPMO containing all relevant information and fully addressing the following 6 stages:

1. A **Review of the Project Risk Assessment** in order to demonstrate that the risk of not meeting original objectives has substantially changed (or alternatively, to demonstrate that the original objectives are now less relevant to supporting economic growth).
2. **Review of Strategic Alignment**, demonstrating deviation from the original ethos of the Deal
3. **Local Growth Contribution Analysis**, including inclusive growth assessment.
4. **Regional Growth Contribution Analysis**, including inclusive growth assessment.
5. **Economic Impact and Value for Money Assessment**.
6. **Funding Plan and Financial Profile** which will set out the cost of the new proposal, respective funding shares, and the time period over which the project will be delivered.

The RPMO will review these documents and then notify and escalate through the SCCRD Governance structure (detailed below in Figures 1 & 2). Once an informed proposal is agreed amongst all levels, an approval or rejection will be confirmed at Joint Committee. RPMO will also keep UK and Scottish Governments informed throughout the process.

If implementing the proposed change would not alter the terms of the above agreements, and it ensures effective day-to-day project delivery, this can be approved at a local level (Level 5 & 4) without need of escalation. However, a full record of any changes should be held within project's own Change Control Log and reported to the RPMO for recording and reporting.

2.2 Change to Projects (See Appendix B for Flowchart)

Where it is highlighted that a project is no longer considered viable or value for money (either by the Project itself, or by the Partnership), then this should be reported to the RPMO to initiate discussion between the partnership, SCCRD Governance and Governments. This would involve a discussion around the parameters of any replacement projects that could be brought forward by the Partnership and would take account of the strategic priorities of both the Governments and Partnership at the time.

Based on the parameters agreed by SCCRD Governance and the Governments, all levels will be involved in reviewing and proposing alternative projects. Governments may also suggest alternative replacement projects.

The RPMO, SCCRD Governance and Governments will discuss and agree a proposed approach based on the recommendations and will be subject to ministerial approval.

Following ministerial approval, the proposed replacement project(s) will then be presented to all levels of the SCCRD Governance for approval and on-boarding onto the deal.

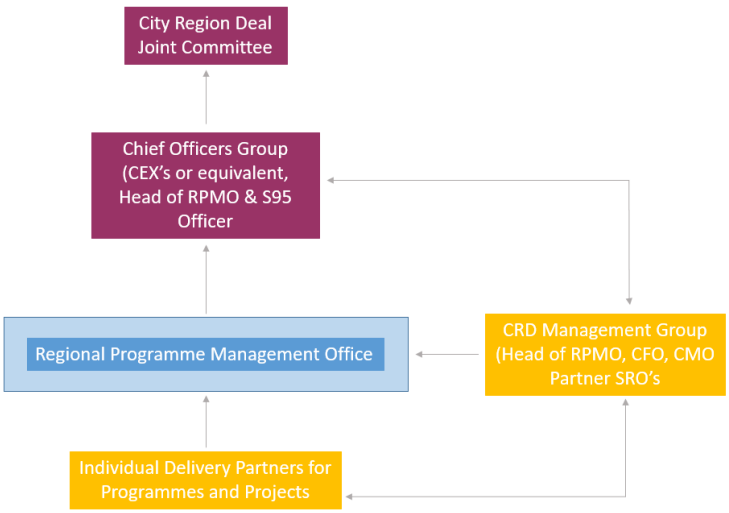


Figure 1 SCCRD Governance Structure

Level 1	City Region Deal Joint Committee	City Region Deal Approval Authority
Level 2	Chief Officer's Group	Reviews and makes recommendations to Joint Committee
Level 3	City Region Deal RPMO	Reviews and makes recommendations to Chief Officer's Group (informs Governments)
Level 4	Senior Responsible Owner	Makes decision or escalates to the City Region Deal RPMO for onward resolution
Level 5	Project Manager	Makes decision at local level within project team or escalates to Senior Responsible Owner for onward resolution

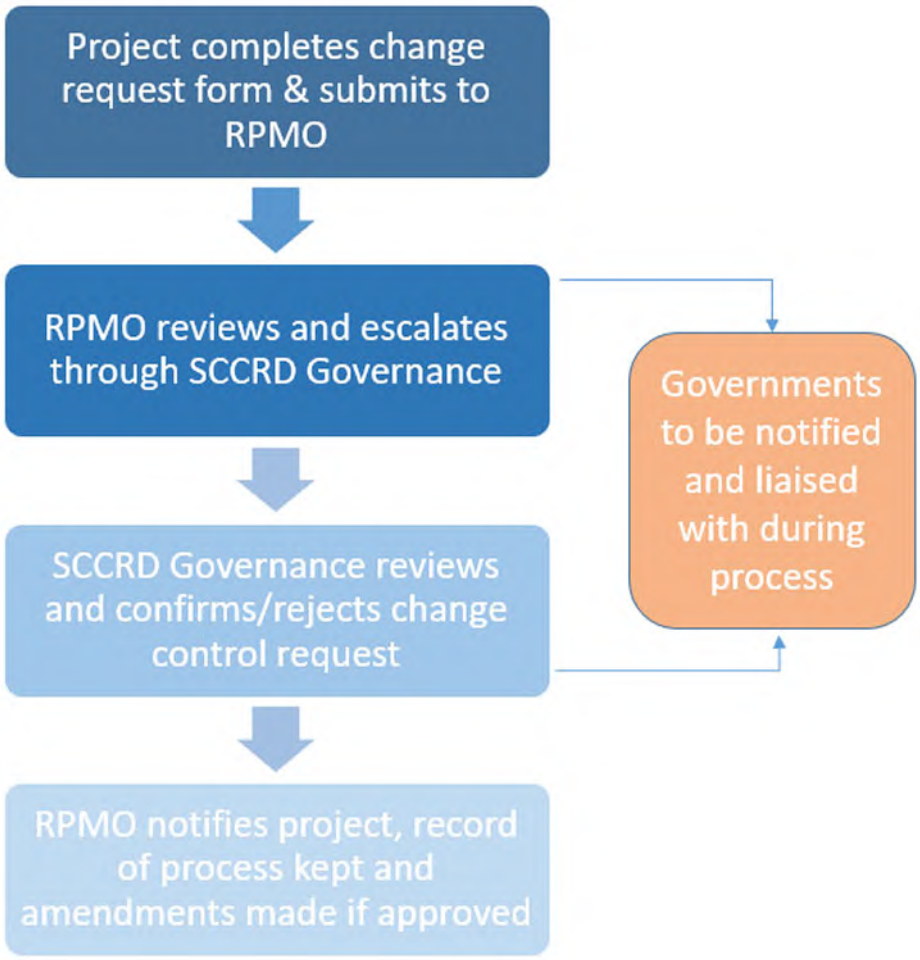
Figure 2 Change Escalation Levels

3. Management of Change Control Process

A Change Control Log should be implemented and utilised in each programme and project. Each partner Organisation should also hold their own Change Control Logs and the RPMO will be responsible for the overall Deal Change Control Log. These will be used to capture any potential changes and the outcomes of any submitted Change Request.

It is recommended that the Change Control Process is reviewed annually to ensure that it is fit for purpose.

APPENDIX A


Project completes change request form & submits to RPMO
RPMO reviews and escalates through SCCRD Governance
SCCRD Governance reviews and confirms/rejects change control request
RPMO notifies project, record of process kept and amendments made if approved
Governments to be notified and liaised with during process

APPENDIX B

Project/Government/ SCCRD Governance identifies project which is no longer considered viable
RPMO collates information and provides report to SCCRD Governance/Government
Governments review information and discusses with ministers for approval to propose replacement project within the deal
Discussion involving RPMO, SCCRD Governance and Governments to identify and align strategic priorities for a replacement project
RPMO, SCCRD Governance and Governments discuss and agree proposed projects, subject to ministerial approval
Replacement Project(s) presented to SCCRD Governance to be considered for approval and on-boarding onto deal
[If SCCRD Governance does not approve replacement project(s), then steps 4 & 5 to be repeated]
Replacement project is on boarded and begins business case process

APPENDIX C

Stirling and Clackmannanshire's City Region Deal Change Control Request Form

Project		**Project Manager**	
Programme		**SRO**	
Project Change Request (PCR) No.	<PMO SUPPLIED>	**Lead Organization**	
Date Submitted to PMO			
Change Description:			
(A full description covering each element of change must be provided here and estimates where appropriate provided)			
Reason for Change:			
☐ Risk of not meeting original objectives has substantially increased ☐ Substantial change to costs ☐ Change to funding plan to reflect respective funding shares □ Change to delivery model ☐ Time period changed over which project will be delivered (Inc. change to finance profile) ☐ Project no longer considered viable or value for money ☐ Other – Please specify:			
Impact of Change on project:			
(Consider project scope, finances, benefits, implementation plan) ☐ An increase to project scope (coverage – what and where) of work ☐ A decrease to project scope (coverage – what and where) of work ☐ Service solution adjustment (requirements – how/technical) ☐ Service delivery alteration (provider) ☐ An increase to project costs ☐ A decrease to project costs ☐ Delaying project implementation timescale ☐ Accelerating project implementation timescale ☐ Delaying project delivery/completion timescale			

☐ Accelerating project delivery/completion timescale

☐ Additional funding committed by existing partner

☐ Reduced funding committed by existing partner

☐ Funding committed by a new partner

☐ New/change of project

☐ Other – Please specify:

Impact of change on Stirling and Clackmannanshire's City Region Deal:

(Consider overall targets and aims of Deal, benefits, implementation plan)

☐ An increase to Deal outputs

☐ A decrease to Deal outputs

☐ An increase to Deal costs

☐ A decrease to Deal costs (permanently hand back underspend)

☐ Change to Deal financial profile

☐ Original objectives now less relevant to supporting economic growth

☐ Original objectives now less relevant to supporting inclusive growth

☐ Other – Please specify:

Impact if change not approved:

☐ Leverage will not be made available

☐ Existing Partner pulls out of project

□ Change to delivery model

☐ Project no longer financially viable

☐ Project no longer viable due to change of local landscape

☐ Reduced scope will no longer deliver required outputs

☐ Other – Please specify:

Financial Profile

(Summarize any changes in the financial profile)

Finance Profile – Current

	20/21	21/22	22/23	23/24	24/25	25/26	26/27	27/28	28/29	29/30
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Capital										
Revenue										

Finance Profile – Proposed

	20/21	21/22	22/23	23/24	24/25	25/26	26/27	27/28	28/29	29/30
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
Capital										
Revenue										

Partner CFO Comment:	
Chief Finance Officer Sign off:	Date

Outputs

[Summarize any changes to deliverables including detail on any change / impacts on community benefits as a result of this change]

Output Profile – Current

	20/21	21/22	22/23	23/24	24/25	25/26	26/27	27/28	28/29	29/30
No. Jobs										
GVA (£000)										
Leverage (£000)										

Output Profile – proposed

	20/21	21/22	22/23	23/24	24/25	25/26	26/27	27/28	28/29	29/30
No. Jobs										
GVA (£000)										
Leverage (£000)										

Sign off

This Change Control Request is subject to the terms and conditions of the <project name> Implementation Plan. It is agreed that the complete agreement for these milestones consists of the original Implementation Plan, this CCR (and any other approved CCRs), and the Project Agreement.

Review Completed	Date	Responsible Person
Project Manager		
Finance		

SRO		
S95 Officer		
RPMO		
Chief Officers Group		
Joint Committee		
Government		

Decision	
Project Change Request Approved?	Y / N
Approval subject to the following caveats or conditions:	
Additional comments:	
Sign off By:	Date of decision