SOP 3 – Change Control Form & Workflow

SOP Number: 3
SOP Title: Change Control Form & Workflow
Version: 1.0
Date Created: 23/08/2023
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1. INTRODUCTION

- To deliver a system solution that tracks project from budget stage to project close
- Achieve effective financial/budgetary control and reporting of capital spend and projects.
- Real-time reporting that allows approvers to be clear on budget implications of items requiring approval.
- User friendly system for Estates PMs with improved monitoring and reporting tools

2. PURPOSE

The purpose of a change control form is to allow the project manager (PM) to seek authorisation for movement of a budget on a project. The form is designed to provide clear and concise reasoning and a description of the budget movement taking place and the reason it is required.

3. DEFINITIONS

FBP – Finance Business Partner
PM – Project Manager
MAJOR – Major projects
CORE – Core projects
FACILITIES – Facility projects
ANNUAL – Annual projects.
CE – Compensation Event
CC – Change Control

4. RESPONSIBILITIES

The user raising the change request (usually the PM) is responsible for submitting it along with all relevant supporting documents. Once it has been submitted the people in the workflow approval process are responsible for approving the change so that it can be processed through the system and against the project(s).

- PM – Responsible for raising the change control via the change control form on Agresso. £20k approval limit.
- Project Sponsor & Head of Projects – Responsible for approving the change control >£20k & <£50k.
- Director of Construction & Capital Programme – Responsible for approving the change control >£50k & <£250k.
- Executive Director of Estates – Responsible for approving the change control >£250k & <£500k.
- Executive Director of Finance – Responsible for approving the change control >£500k.
5. PROCEDURES

A PM must raise a change control request to move amounts between budget lines on a project. This is done by completing a change control form on Agresso.

The change control form contains details of the budget amount to be moved and why. This allows the approver to make an informed decision to approve or reject the request.

Depending on the amount to be moved, the change control will work its way up the approval hierarchy.

Once fully approved, a budget movement will be auto-generated and posted against the relevant project(s).

An e-mail is sent to the requestor to confirm that the change control request has been approved and that the budget movement has now taken place.

5.1 APPROVALS

The approval route for the change control is determined from information held against the project in Agresso.

Each project holds details of the project manager, project sponsor and the Head of Project. Agresso also holds the workflow hierarchy, as described in section 4 above, along with the approval limits at each level.

5.2 REJECTIONS

If the change control request is rejected by the approver, it is re-routed to the PM (user who raised the change) as a workflow task. The PM will receive an e-mail notification that they have a task. The rejector must complete the comment box stating why the change control has been rejected. The PM should amend the form, if appropriate, and resubmit.

Alternatively, the PM can cancel the change control request if they wish to do so.
5.3 EMAIL ALERT

Once a change control movement request has been approved and the budget movement has been posted against the project, an email alert is sent to the PM. If more than one change control request has been approved, these will be notified in the same email. An example of the email is shown below:

From: Agresso PIP <finalalert@glasgow.ac.uk>
Sent: Tuesday, October 3, 2023 10:21 AM
To: David Burt <David.Burt.7@glasgow.ac.uk>
Subject: Budget Change Control Form Approved

The following Change Control request has been Approved:

<table>
<thead>
<tr>
<th>FORM ID</th>
<th>DESCRIPTION</th>
<th>REQUESTED BY</th>
<th>DATE REQUESTED</th>
<th>SUB-PROJECT</th>
<th>FUNDING SOURCE</th>
<th>CHANGE TYPE</th>
<th>REASON FOR CHANGE</th>
<th>AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>EBC1000007</td>
<td>Roof Replacement</td>
<td>David Burt</td>
<td>02/10/2023</td>
<td>200760-01</td>
<td>BUDGETS - Contingency</td>
<td>BUDGETS - CONSTRUCTION</td>
<td>User Driven Scope Change</td>
<td>600000.00</td>
</tr>
<tr>
<td>EBC1000008</td>
<td>Saving on Materials</td>
<td>David Burt</td>
<td>02/10/2023</td>
<td>200760-01</td>
<td>BUDGETS - Contingency</td>
<td>BUDGETS - CONSTRUCTION</td>
<td>Budget Transfer</td>
<td>-18000.00</td>
</tr>
</tbody>
</table>

This email is a receipt of confirmation that the change control has now been approved and submitted into the system.

Your sub-project details should now reflect the above approved change.

If you have any queries regarding the impact of this Change Control, then please contact your Financial Lead.
6. COMPLETING THE CHANGE CONTROL FORM

A detailed walkthrough of the change control form on Agresso and how to complete it is shown below.

- The Change Control Form is accessed via Agresso Front Office (Agresso Web).
- Once logged into Agresso, click on the ‘Forms’ menu.
- Once in the ‘Forms’ menu, you will see ‘Estates Budget Change Request Form’, click on this to begin completing the Change Control Form.
- **NOTE:** The tabs must be populated in order – General Information, then Change Details, then Finance Details. Updating in the wrong order will result in data already entered being cleared by the system.

The Change Control Form contains 3 tabs:

I. **General Information** - This tab collects basic information about the change control. For example, how much is the change control value? Which sub-project is it for? The date it is being raised. The sub-project selection drives the workflow approval process i.e. who this form will go to for approval.

II. **Change Details** – This tab collects more detailed information about the change control being requested - why it is being done, the benefits and any potential risk. It allows the approver to see the details behind the change control and provides context.

III. **Finance Details** – This tab collects financial information regarding the change control, such as where the budget movement is coming from, where is it going to and the value of each movement. It allows the approver to see the basic financials regarding the change movement request. Much of this tab is used to auto-generate the budget movement transaction in Agresso.
6.1 GENERAL INFORMATION TAB

- **Auto generated on submission of form – leave blank.**
- **Enter a brief description of the change.**
- **Auto-populated by system.**
- **Attachment icon that allows user to attach files and documents.**
- **IF you are raising a change control for Staff Costs, select ‘YES’, as VAT is not applicable on Staff Costs. Selecting YES only removes the VAT, it does not have any other effect on the form.**
- **For CEs, enter CE number, unless multiple CEs – then leave blank. Multiple CE Numbers can be included on Change Details tab.**
- **Select a value from the drop-down box. How has the change been instigated?**
- **Select a type of change control from the drop-down box. How is the change control funded?**
- **Enter the sub-project number related to the change. Tabbing out of the field auto-fills the Project Type, Manager and Sponsor details.**
- **Enter the TOTAL change control amount ex-VAT.**
- **Select a value from the drop-down box. How has the change been instigated?**
- **Selecting YES only removes the VAT, it does not have any other effect on the form.**
6.2 CHANGE DETAILS TAB

The same functionality is available to record additional benefits.

NOTE: The fields on this tab are text boxes and do not accept images or tables. Any tables or images should be added to a separate document and attached to the form.

Enter details of the benefits of the change.

What is the risk of this change not taking place, if any? Enter description of risk here.

Drop-down box. “Yes”, must be selected if there is any impact on programme. If you select “Yes”, a box will appear for details of the impact on the programme.

Additional text box appears once ‘additional information’ box is ticked.

If extra space is required for description, click this box for an additional text box.

If extra space is required for ‘Details of Change’ or ‘Benefits of Change’, click this box for an additional text box. This can be done up to 5 times.

SEE 6.2.1 BELOW

6.2.1 Change Details Additional Information Box

NOTE: If user requires to add tables or very lengthy details or backup for the Change Details, then user should attach the backup as a document to the change control form.
6.3 FINANCE DETAILS TAB

Financial summary of the Change Control form:
- The fields shown in this table are determined by the ‘Type of Change Control’ selection on the General information tab.

Enter the budget heading the funds are coming
Enter the budget heading the funds are going to.
Click on the Ellipsis (…) and select the reason for change.

‘Add’ button allows user to add another line where there is more than one Funding Source.
The user can add multiple lines on the one change control form, BUT they must ensure the overall total value reconciles to the front-page amount (General Info tab)

Enter description to appear against the budget movement transaction on Agresso.

6.3.1 Document Attachment

- If documents are to be attached to the change control form, ‘Click ‘Save as Draft’. If documents not required or have already been added, click ‘Submit Form’.
- To attach documents to the change control, the form must first be saved as a draft or submitted.
- **Save as Draft option** – Once the form has been completed, click the ‘Save as draft’ button at the bottom of the form. This will provide the user with a Form ID. The form will remain open. The user can click the attachment button located at the top of the form and add their attachment(s). Once this has been done, click the ‘Submit Form’ button which is located at the bottom of the form.
- **Submit Form option** – Documents can still be attached once the form has been submitted. Simply, follow the procedure described above. If you have already closed the form window and wish to go back into the form to upload an attachment, type in the Form ID or form description and tab to re-load the form, then upload the attachment as above.
TYPE OF CHANGE CONTROL - EXAMPLES

6.1 CONTINGENCY

- If a contingency related change control request is being raised, Contingency must be selected as the ‘Type of Change Control’ on the General Info tab.
- Contingency must be selected as the ‘Funding Source’ on the Finance Details tab, for both moving funds from (usage) and moving funds to contingency (savings).
- When funds are being moved to contingency, the change control amount is a negative value—this shows funds going back into Contingency.
6.2 BUDGET TRANSFER (WITHIN PROJECT)

If the Change Control request relates to a direct transfer between budget headings, select Budget Transfer (within project) as the ‘Type of Change Control’ on the general info tab. On the Finance Details tab, Funding Source field, select the budget heading that the funds are coming from and in the Change Type field, select the budget heading that the funds are going to.

**NOTE:** This option is only selected when there is change in scope which allows a direct budget to budget transfer to take place, otherwise you **MUST** first move the budget to contingency by selecting the Contingency ‘Type of Change Control’.

Please speak to your finance business partner before proceeding with this option.
6.3 BUDGET TRANSFER (PROJECT TO PROJECT)

- If the Change Control Request relates to moving funds directly from one project to another, select the Budget Transfer (project to project) as the ‘Type of Change Control’ on the general info tab.
### 6.4 IDENTIFIED SUMS (ID SUMS)

*See Section 8. Appendix – Identified Sums for more details on how ID Sum numbers are linked to projects.*

If the Change Control Request relates to Identified Sums, select Identified Sums as the ‘Type of Change Control’ on the General Info tab.

This must only be selected if the project has Identified Sum lines in the original budget.
7. WORKFLOW ENQUIRY

- The user can check where the change control is in the workflow hierarchy.
- The history of the change controls workflow approval route – who approved/rejected it at each step, when and any comments they may have added.
- Search by sub-project number or PM to see all the change controls current and historic against their project or name.

Log into Agresso Front Office

- In the Menu screen, on the left-hand side select ‘Reports’ then under ‘Global reports’ click on ‘18 – Estates PM Enquiries’.
- Once this folder is opened, the user should see the folder contents as above.
- To view the history of who approved or rejected Change Controls, select ‘Change Control WF History’.
- To view a current or historic Change Control form and see where in the workflow process it is (who it is sitting with for approval), select ‘Change Control WF Enquiry – Current’.
7.1 CHANGE CONTROL WF HISTORY

- This report shows the user the history of who approved or rejected a Change Control at each step, and when.

There are a few ways to search for the required change control.

1. Search via Form ID.

2. Search via Approval Status (this will search for every approved change control).
3. Search via Requested By (the easiest and quickest way to check).

7.2 CHANGE CONTROL WF ENQUIRY - CURRENT

- This report shows the user the view of their current or historic Change Control and lets them see where in the workflow process it is (who it is sitting with for approval).

User can search via Form ID

User can search via Sub-Project
This is going to be the most convenient and commonly used method.

User can search via Form WF Status
This shows every change control that is 'Finished', 'Draft' or 'Working' (still making its way through workflow approval. This depends on what the user searches for.

User can search via Current WF Step Task User
This is for the user to see what tasks are sitting with a specific person.
This depends on who the user searches for.
7.3 ESTATES PROJECT BALANCE ENQUIRY – FUNDS CHECK

- This report shows the current position of a project.
- To access the report, open the Estates Project Balance Enquiry report in the Estates PM Enquiries folder.

Once the enquiry has been opened and run it will look like this:

Type in the sub-project number you wish to run the enquiry for & then click 'Search'.

The budget headings are shown and can be expanded to show more detail by clicking the '+' button and then minimised by clicking the '-' button.
8. APPENDIX – IDENTIFIED SUMS

Estates budgets include individual budget lines for Identified Sums. Now that Estates project budgets are held on Agresso, a means of identifying budget lines related to an identified sum is required.

This is done by setting up Identified Sum values with the appropriate description and linking them to the correct sub-project. This is done by Estates Finance prior to loading the project’s original budget onto Agresso.

This means that an identified sum number is unique. It is not repeated on other projects and only links to one sub-project. The identified sum number must be entered when completing a change control request for funds being moved from an Identified Sum budget line.

The Identified Sum numbers linked to a specific project can be seen in the following Agresso enquiry:

Clicking on ‘ID Sums on Project’ displays this screen:

Enter the number of the Sub-Project that you wish to enquire upon and click on ‘Search’. Your results will be displayed as shown below:
Once the correct Identified sum has been identified, it can be used on the change control request form, as described in Section 6.5, above.

<table>
<thead>
<tr>
<th>#</th>
<th>Sub-Project</th>
<th>Identified Sum</th>
<th>Identified Sum (T)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>200760-01</td>
<td>IDS1</td>
<td>Service Relocations</td>
</tr>
<tr>
<td>2</td>
<td>200760-01</td>
<td>IDS2</td>
<td>3D Survey Scans</td>
</tr>
<tr>
<td>3</td>
<td>200760-01</td>
<td>IDS4</td>
<td>Enabling works - repairs to off-site storage facilities</td>
</tr>
</tbody>
</table>
9. FORMS/TEMPLATES/REPORTS TO BE USED

(1) Agresso Change Control Form: