SOP Number: **3**

SOP Title: **Change Control Form & Workflow**

Version: **1.0**

Date Created: **23/08/2023**

Created By: **Humza Iqbal**

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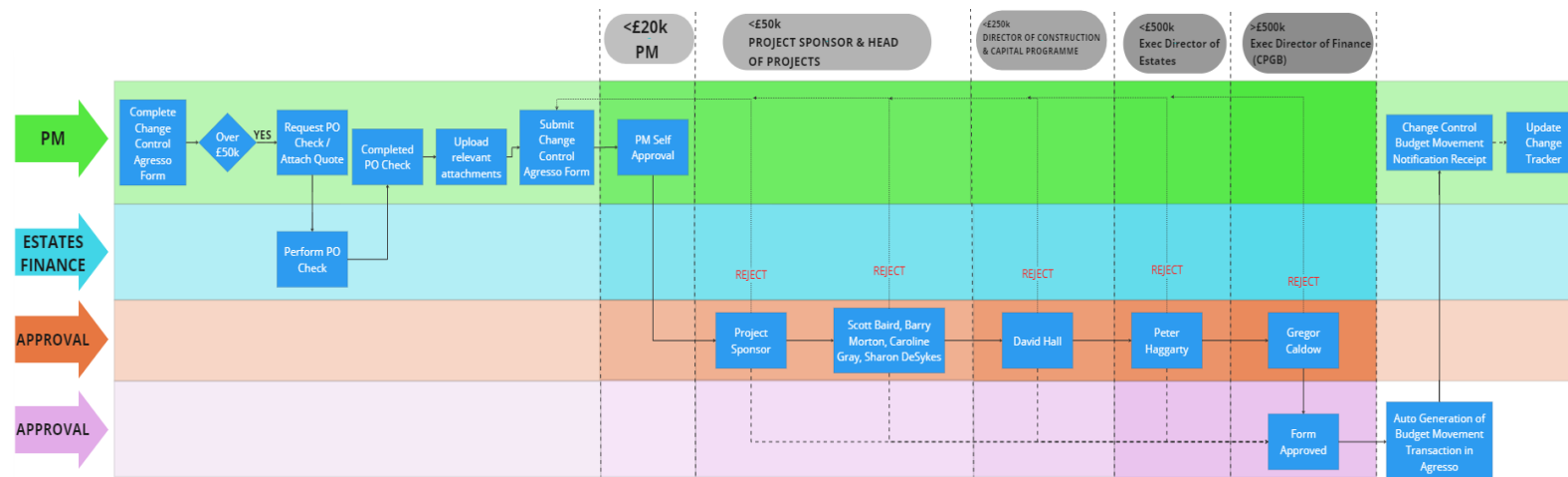
A PM must raise a change control request to move amounts between budget lines on a project. This is done by completing a change control form on Agresso.

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 PtP <finalert@glasgow.ac.uk>
Sent: Tuesday, October 3, 2023 10:21 AM
To: David Burt <David.Burt.2@glasgow.ac.uk>
Subject: Budget Change Control Form Approved

The following Change Control request has been Approved:

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

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.
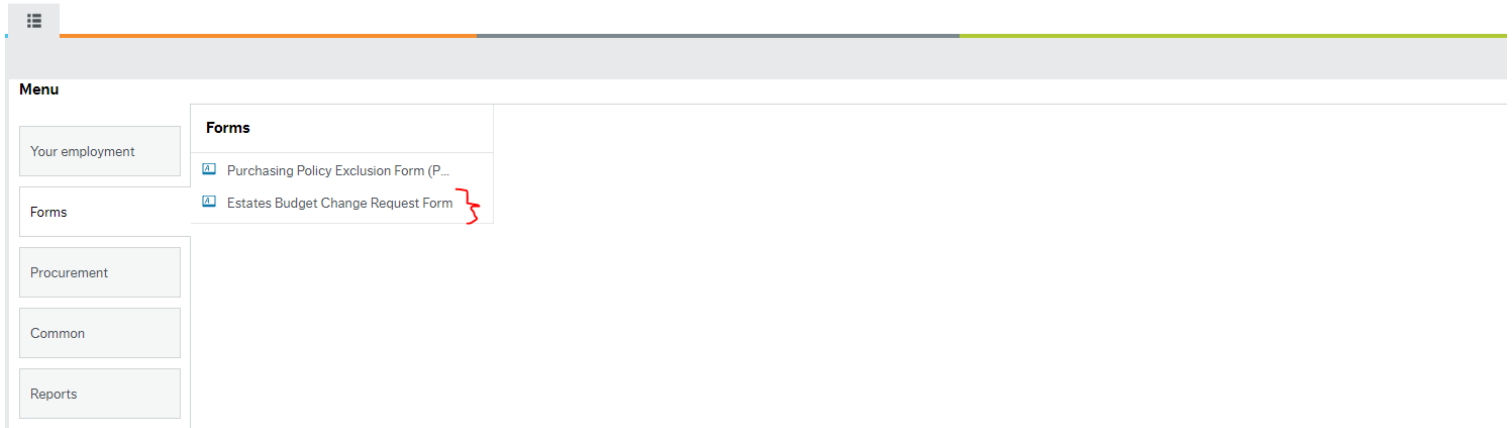
6. COMPLETING THE CHANGE CONTROL FORM

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

Estates Budget Change Request Form V2

Auto generated on submission of form – leave blank.

Enter a brief description of the change.

Attachment icon that allows user to attach files and documents.

Auto-populated by system.

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.

Enter the sub-project number related to the change. Tabbing out of the field auto-fills the Project Type, Manager and Sponsor details

If supplier is outside the UK select 'Yes' so, that the standard 20% UK tax will not apply.

For CEs, enter CE number, unless multiple CEs – then leave blank. Multiple CE Numbers can be included on Change Details tab.

Enter the TOTAL change control amount ex-VAT.

Select a type of change control from the drop-down box. How is the change control funded?

Select a value from the drop-down box. How has the change been instigated?

Estates Budget Change Request Form V2

Form ID *
[NEW]
[NEW]

Form description *
Short term equipment storage

General Information | Change Details | Finance Details

Requester Details

Requested By
HIQBAL

Email Address
Humza.Iqbal@glasgow.ac.uk

Sub-Project Details

Enter the Sub-Project that will require a Budget Change

Sub-Project *
246894-01
Garscube waste recycling and storage facility

Project Type
Core - Facilities
COREFAC

Project Manager
Nick Crawford
324563

Project Sponsor
Barry Morton
303511

General Change Details

You must complete all fields marked with a *.

CC Amt - Ex VAT (£) *
5,000.00

Is Supplier outside UK? *
No

CC Amt - Incl VAT (£)
6,000.00

Type of Change Control *
Contingency

CE Number

Change Instigated By *
User Change Request

CAPEX Date *
11/09/2023

Project Tracker Updated *
Yes

Attachments
You MUST attach any required documents AFTER the form has been submitted. Please confirm if documents are to be added.

Documents to be added Y/N *
No

[Clear] [Print preview] [Submit form] [Save as draft] [Export]

6.2 CHANGE DETAILS TAB

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.

Estates Budget Change Request Form V2

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**

Enter a detailed description of the change and its effect.

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

6.2.1 Change Details Additional Information Box

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

Additional text box appears once 'additional information' box is ticked.

The same functionality is available to record additional benefits.

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.

General Information | Change Details | **Finance Details**

Finance Details

ℹ Please complete all fields in each row. If the Type of Change Control on the General Information tab is 'Identified sum', the Funding Source or Type of Change account **must** be an Identified Sum and an Identified Sum value must be selected in the ID Sum No field. Any other Type of Change Control should not have a completed ID Sum No field.

☐	Sub-Project	Funding Source	Change Type	Reason for Change	Amount (GBP)
☐	* 246894-01 ⋯	* BUDGETS - Contingency	* BUDGETS - OTHER PROJECT COSTS	* User Driven Scope Change ⋯	* 6,000.00 ▲
	Garscube waste recycling and storage facility	GA008	GA005	USER	
Σ					6,000.00

Add | Delete

Transaction Description

ℹ Please enter the description to appear on the Planner transaction lines in Agresso.

Trans Description *

Short term equipment storage

Clear | Print preview | Submit form | Save as draft | Export

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

'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)

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.
- Continency 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.

Sub-Project Details

ℹ️ Enter the Sub-Project that will require a Budget Change

Sub-Project *		Project Type
200760-01	...	Core - Facilities
GILMOREHILL / LIBRARY ANNEX / EXTERNAL FABRIC WORKS		COREFAC

Project Manager	Project Sponsor
David Burt	Barry Morton
335027	303511

General Change Details

ℹ️ You must complete all fields marked with a *.

CC Amt - Ex VAT (£) *	Is Supplier outside UK? *	CC Amt - Incl VAT (£)
50,000.00	No	60,000.00

Type of Change Control *	CE Number	Change Instigated By *
Contingency		User Change Request

Change Control Date *	Change Tracker Updated *
05/10/2023	Yes

Attachments

You MUST attach any required documents AFTER the form has been submitted. Please confirm if documents are to be added.

Documents to be added Y/N *
Yes

[Clear] [Print preview] [Submit form] [Save as draft] [Export]

General Information | Change Details | **Finance Details**

Finance Details

ℹ️ Please complete all fields in each row. If the Type of Change Control on the General Information tab is 'Identified sum', the Funding Source or Type of Change account **must** be an Identified Sum and an Identified Sum value must be selected in the ID Sum No field.

	Sub-Project	Funding Source	Change Type	Reason for Change	Amount (GBP)
☐	200760-01	BUDGETS - Contingency	BUDGETS - CONSTRUCTION	User Driven Scope Change	60,000.00
Σ					60,000.00

[Add] [Delete]

Transaction Description

ℹ️ Please enter the description to appear on the Planner transaction lines in Agresso.

Trans Description *

New Flooring In Main Hall

[Clear] [Print preview] [Submit form] [Save as draft] [Export]

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.

General Information	Change Details	Finance Details

Requester Details

Requested By
Humza Iqbal   ...
HIQBAL
Email Address
Humza.Iqbal@glasgow.ac.uk

Sub-Project Details

ℹ️ Enter the Sub-Project that will require a Budget Change

Sub-Project *
200760-01   ...
GILMOREHILL / LIBRARY ANNEX / EXTERNAL FABRIC WORKS

Project Type
Core - Facilities   ▼
COREFAC

Project Manager
David Burt   ▼
335027

Project Sponsor
Barry Morton   ▼
303511

General Change Details

ℹ️ You must complete all fields marked with a *.

CC Amt - Ex VAT (£) *
50,000.00

Is Supplier outside UK? *
No   ▼

CC Amt - Incl VAT (£)
60,000.00

Type of Change Control *
Budget Transfer (within project)   ▼

CE Number

Change Instigated By *
User Change Request   ▼

Change Control Date *
05/10/2023   📅

Change Tracker Updated *
Yes   ▼

| Clear | Print preview | Submit form | Save as draft | Export |

Form description *
Projector AV/IT to be provided by Main Contractor

General Information	Change Details	Finance Details

Finance Details

ℹ️ Please complete all fields in each row. If the Type of Change Control on the General Information tab is 'Identified sum', the Funding Source or Type of Change account **must** be an Identified Sum and an Identified Sum value must be selected in the ID Sum No field.

☐	Sub-Project	Funding Source	Change Type	Reason for Change	Amount (GBP)	
☐	* 200760-01 ...	* BUDGETS - FF & E	* BUDGETS - CONSTRUCTION	* Budget Transfer ...	* 60,000.00	▲
	GILMOREHILL / LIBRARY ANNEX / EXTERNAL FABRIC WORKS	GA003	GA002	BUDTRF		
Σ					60,000.00	

| Add | Delete |

Transaction Description

ℹ️ Please enter the description to appear on the Planner transaction lines in Agresso.

Trans Description *
Projector AV/IT funded from Construction (Main Contractor)

| Clear | Print preview | Submit form | Save as draft | Export |

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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.

Sub-Project Details

ℹ Enter the Sub-Project that will require a Budget Change

Sub-Project*		Project Type
200760-01	...	Core - Facilities ▼
GILMOREHILL / LIBRARY ANNEX / EXTERNAL FABRIC WORKS		COREFAC
Project Manager		**Project Sponsor**
David Burt ▼		Barry Morton ▼
335027		303511

General Change Details

ℹ You must complete all fields marked with a ˆ.

| General Information | Change Details | Finance Details |

Finance Details

ℹ Please complete all fields in each row. If the Type of Change Control on the General Information tab is 'Identified sum', the Funding Source or Type of Change account **must** be an Identified Sum and an Identified Sum value must be selected in the ID Sum No field.

☐	Sub-Project	Funding Source	Change Type	Change Type Sub-Project	Reason for Change	Amount (GBP)
☐	200760-01	BUDGETS - CONSTRUCTION	BUDGETS - CONSTRUCTION	201334-01	ProjectTransfers	60,000.00
Σ						60,000.00

Add Delete

Transaction Description

ℹ Please enter the description to appear on the Planner transaction lines in Agresso.

Trans Description*

Transfer of Construction Budget for Underfloor Wiring

Clear Print preview Submit form Save as draft Export

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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.

| General Information | Change Details | Finance Details |

Requester Details

Requested By
David Burt [...]
DBURT
Email Address
David.Burt.2@glasgow.ac.uk

Sub-Project Details

ℹ Enter the Sub-Project that will require a Budget Change

Sub-Project *
200760-01 [...]
GILMOREHILL / LIBRARY ANNEX / EXTERNAL FABRIC WORKS

Project Type
Core - Facilities ▼
COREFAC

Project Manager
David Burt ▼
335027

Project Sponsor
Barry Morton ▼
303511

General Change Details

ℹ You must complete all fields marked with a *.

CC Amt - Ex VAT (£) *
50,000.00

Is Supplier outside UK? *
No ▼

CC Amt - Incl VAT (£)
60,000.00

Type of Change Control *
Identified Sum ▼

CE Number
CE111

Change Instigated By *
Additional Works and CEs ▼

Change Control Date *
10/11/2023 📅

Change Tracker Updated *
Yes ▼

| Clear | Print preview | Submit form | Save as draft | Export |

⌃ **Estates Budget Change Request Form V2**

Form ID *
[NEW] ≡▾
[NEW]
Form description *
CE111 - Security Door Repair

| General Information | Change Details | Finance Details |

Finance Details

ℹ Please complete all fields in each row. If the Type of Change Control on the General Information tab is 'Identified sum', the Funding Source or Type of Change account **must** be an Identified Sum and an Identified Sum value must be selected in the ID Sum No field.

☐	Sub-Project	Funding Source	Change Type	ID Sum No	Reason for Change	Amount (GBP)	
☐	* 200760-01 [...]	* Identified Sum - Client/User (	* BUDGETS - CONSTRU	Enabling works - repairs to off-site stora ▼	* User Driven Sco [...]	* 60000.00	▲
	GILMOREHILL / LIBRARY ANNEX / EXTERNAL FABRIC WORKS GA009		GA002	IDS4	USER		
Σ						60000.00	

| Add | Delete |

Transaction Description

ℹ Please enter the description to appear on the Planner transaction lines in Agresso.

Trans Description *
CE111 - Security Door Repair

| Clear | Print preview | Submit form | Save as draft | Export |

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.
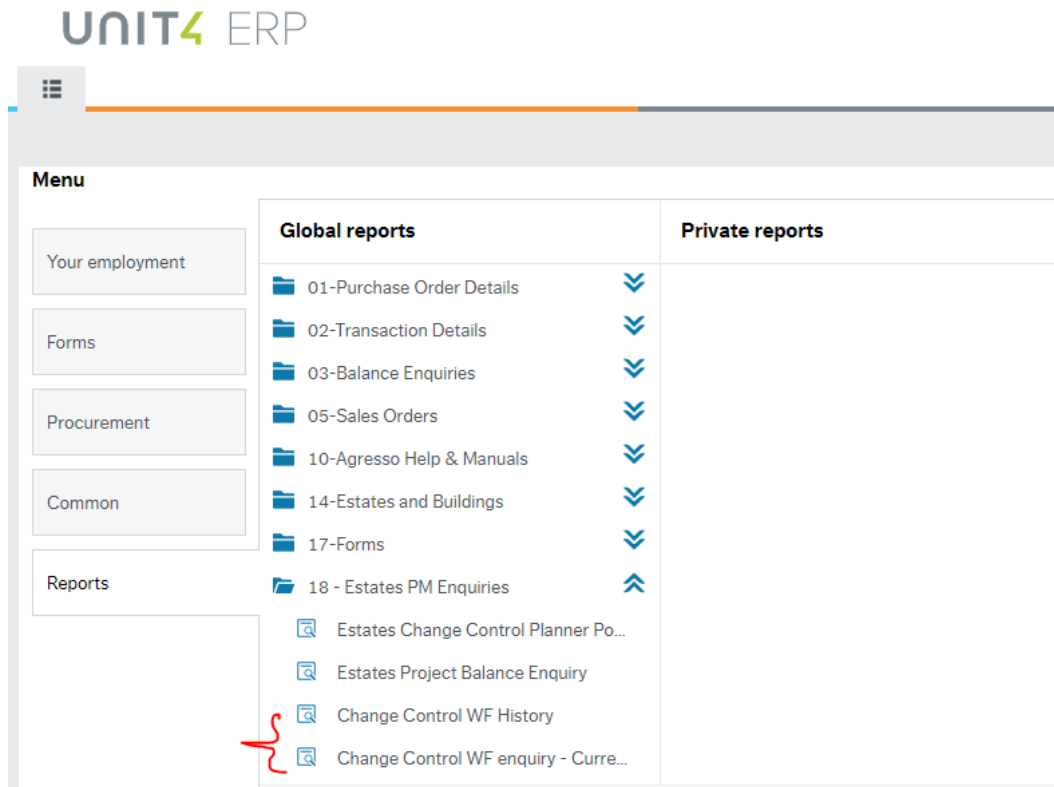
- Log into Agresso Front Office
- In the Menu screen, on the left-hand side select 'Reports' then under 'Global reports' click on '18 – Estates PM Enquiries'.
- Once this folder is opened, the user should see the folder contents as above.
- To view the history of who approved or rejected Change Controls, 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).

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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).

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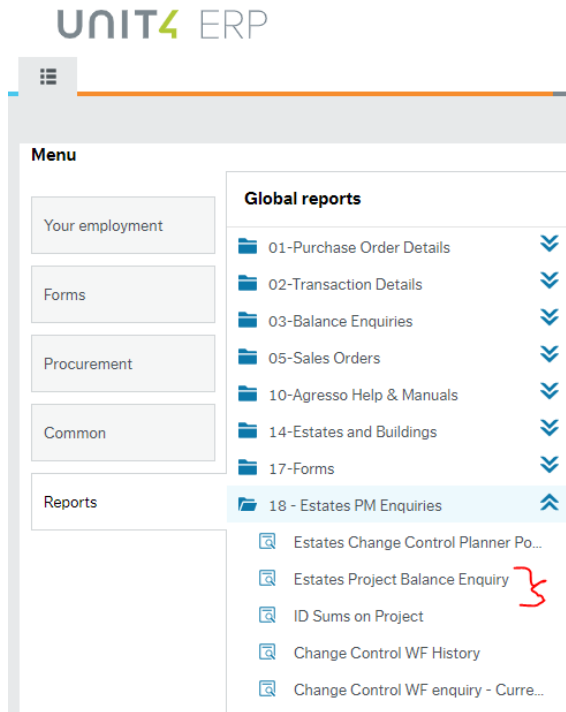
Once the enquiry has been opened and run it will look like this:

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


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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:
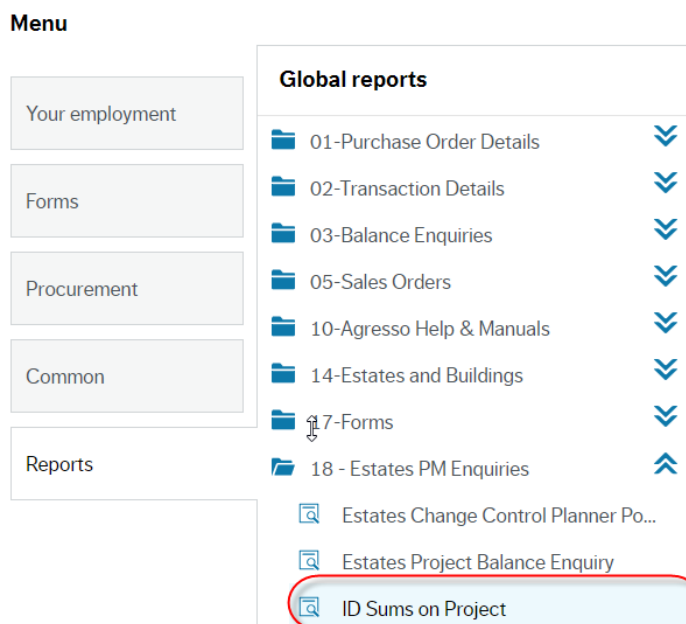
Clicking on 'ID Sums on Project' displays this screen:
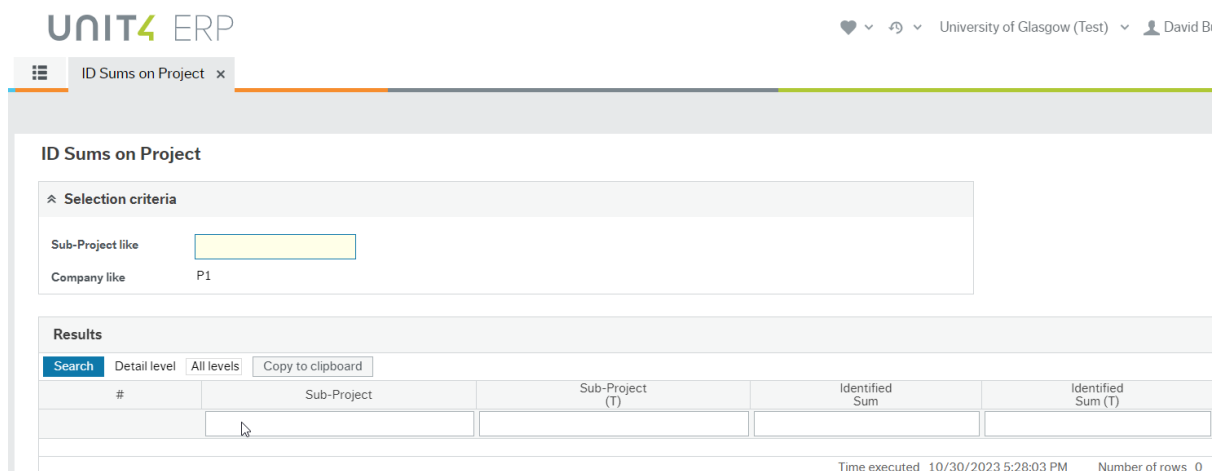
Enter the number of the Sub-Project that you wish to enquire upon and click on 'Search'. Your results will be displayed as shown below:

ID Sums on Project ×

ID Sums on Project

⌃ Selection criteria

Sub-Project like	200760-01
Company like	P1

Results

Search | Detail level | All levels | Copy to clipboard

#	Sub-Project	Sub-Project (T)	Identified Sum	Identified Sum (T)
1	200760-01	GILMOREHILL / LIBRARY ANNEX / EXTERNAL FABRIC WORKS	IDS1	Service Relocations
2	200760-01	GILMOREHILL / LIBRARY ANNEX / EXTERNAL FABRIC WORKS	IDS2	3D Survey Scans
3	200760-01	GILMOREHILL / LIBRARY ANNEX / EXTERNAL FABRIC WORKS	IDS4	Enabling works - repairs to off-site storage facilities

Time executed 10/30/2023 5:29:47 PM   Number of rows 3

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.

9. FORMS/TEMPLATES/REPORTS TO BE USED

(1) Agresso Change Control Form:

https://agrweb.mis.gla.ac.uk/BusinessWorld/Login/Login.aspx?ReturnUrl=%2fBusinessWorld%2f