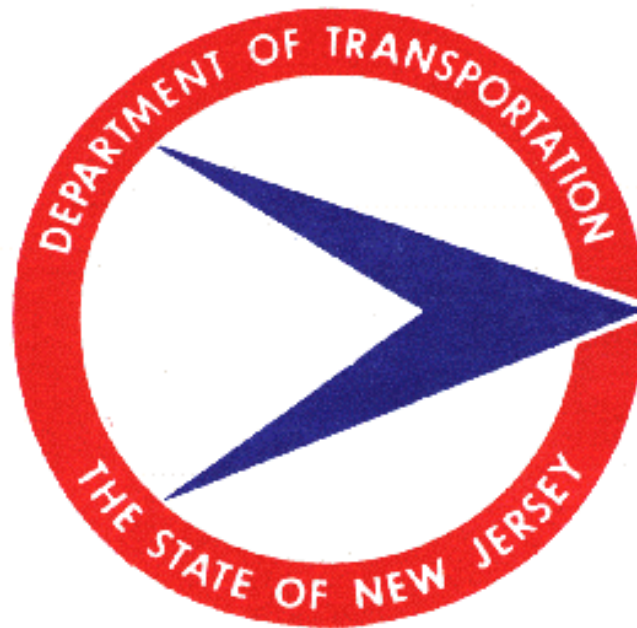


**State of New Jersey
Department of Transportation**

**Change Control Board
Procedures**



September, 2017

Prepared by
Change Control Board

1.0 Change Requests

These procedures are for processing Design Changes or Construction Changes (not Field Orders). Sources and cross references include Standard Specifications section on Scope of Work, and Construction Procedures Handbook sections on Construction Changes and Changed Field Conditions.

2.0 Definitions

Change Control Board (CCB) - Established to review and approve changes and requests affecting design and construction in an effort to control costs, control scope changes, and provide historical data for quality assurance purposes. The CCB is composed of five of the Capital Program Management Directors (the Directors of Construction Services and Materials, Highway & Traffic Design, Project Management, Bridge Engineering & Infrastructure Management and Capital Program Support). The Project Manager (PM) will attend the CCB meetings to present an issue related to a project. The PM may be accompanied by the Designer or the Resident Engineer (RE) for technical support. In unusual situations a Consultant Designer maybe present during project presentation. In addition, representatives from Capital Investment Planning & Development (CIPD) and the Federal Highway Administration (FHWA) will attend the CCB meetings as appropriate.

Construction Change Request – submit form [CON-RQST-2](#) form to request the review and approval of the Change Control Board on a perceived need to issue a construction order to the contractor on a project after execution of the contract.

Construction Order - a written order, issued by an NJDOT engineer to the contractor after execution of the contract, authorizing one (1) or more of the following:

- a change in the work
- adjustment in the basis of payment for the work affected by the change
- adjustment in the contract time
- a change in specifications

Contract Documents - As defined in the Standard Specifications for Road and Bridge Construction.

Design Change - A change in a design stage of a project which modifies the concept as outlined in the proposal.

Design Change Request - submit form [DES-RQST-2](#) to request a scope or cost change to projects under design through the CCB.

3.0 Design Change Requests

During Roadway Plan preparation, when a design change appears to be necessary or desirable, submit a Design Change Request to the CCB for review. A Design Change Request is required if a change occurs in a design stage of a project which modifies the concept as outlined in the proposal or if the scope development, design development or final design increases the programmed amount by more than the following amounts within one (1) fiscal year:

- Design - \$500,000
- Right of Way - \$500,000 or 10% of Right of Way cost
- Construction - \$500,000 or 5% of Construction cost

If the total cost increase is greater than \$500,000 or the stated percentage threshold but less than \$1,000,000, a CCB meeting may not be required; however, complete the Design Change Request form and forward to the Director, DPM who will determine whether a CCB meeting is needed.

3.1 Design Unit Tasks

Notify the PM of potential change.

3.2 Project Management Unit Tasks

Project Manager: When a design change in a project appears to be necessary or desirable, complete the Design Change Request form attaching any supporting material and submit it to the Executive Regional Manager for review and concurrence. As part of the gathering of supporting information, gain the review and/or approval of the FHWA Area Engineer if the project's oversight is PoDI. Also, review the scoping history with Project Planning and Development (if previously involved).

Present the issue to the CCB at the scheduled CCB meeting.

If approved, process the changes to the appropriate contract, cost and schedule documents. If rejected, notify the designer.

Executive Regional Manager: Review the request for validity, completeness and accuracy. Obtain concurrence from the Division of Project Management (DPM) Director and forward the request to the CCB Administrator.

Director: Review and process the request in one of the following ways:

- **Reject:** If not in favor of the proposed change, reject it and return it to the Executive Regional Manager.
- **Concur:** Indicate concurrence on the request form and return to the Executive Regional Manager for submission to the CCB Administrator to set up a meeting.
- **Approve:** Recommend for approval without a meeting of the CCB. Record the reason for, and any conditions of, approval on the decision page of the Change Request form and forward to the CCB Administrator.

3.3 Change Control Board Unit Tasks

Change Control Board Administrator:

Upon receipt of a Design Change Request, set up a CCB meeting within 7-10 days, attend the meeting, record the Board's decision. Upon completion, forward the request with the reason for the recommended approval to the Assistant Commissioner, DPM for concurrence.

Notify the PM of the decision by forwarding a copy of the signed decision. Also forward a copy to any parties who have additional responsibilities as a result of the Board's decision.

If the request was recommended for approval without a meeting, the request send to the other members of the CCB, as well as CIPD and the FHWA as appropriate, for their comment prior to forwarding to the Assistant Commissioner, DPM for concurrence. Resolve and document any comments received prior to requesting concurrence from the Assistant Commissioner. If they cannot be resolved individually, schedule a CCB meeting to present the request to the full CCB.

Once the Assistant Commissioner, DPM approves or rejects the CCB decision, send it to the PM, all members of the CCB, CIPD, the Program Management Office, and the FHWA.

The PM will retain the original request and signed decision in the project file.

Change Control Board Members:

Review the Design Change Request and process it by approving it in whole or in part, with or without additional instructions or conditions, or rejecting it. If the request was recommended for approval without a meeting, forward any comments to the CCB Administrator within the requested timeframe.

3.4 Program Management Office

Upon receipt of Design Change Request decisions, record the information in a database to track all change request patterns. Determine if the change is the result of a quality issue. If so, revise the Quality Assurance or Quality Control Plan or submit a Baseline Document Change Request as appropriate.

3.5 Assistant Commissioner, DPM

Review the Design Change Request and dispose of it by approving it in whole or in part, with or without additional comments or conditions, or rejecting it. If approved, sign on the designated concurrence line and return it to the CCB Administrator for distribution. If rejected, indicate as such including the reason for rejection and return to the CCB Administrator for distribution.

4.0 Construction Change Requests

When a construction order appears to be necessary or desirable or if a construction change is necessitated through the claim settlement process, the PM is to submit a Construction Change Request to the CCB for review prior to commencement of work. A Construction Change Request is required if there is a change in cost of more than \$500,000 or more than 5 % of the construction cost.

If the change in cost is greater than \$500,000 or the stated percentage threshold but less than \$1,000,000, a CCB Meeting may not be required; however, the Construction Change Request Form should be completed and forwarded to the CCB Administrator as well as the Design Standards Unit.

4.1 Resident Engineer Tasks

Notify the PM of potential change prior to initiation of work.

4.2 Project Management Tasks

Project Manager: Prepare a Construction Change Request attaching any supporting material and submit it to the Executive Regional Manager for review and concurrence. As part of the gathering of supporting information, provide the approval and/or review of the FHWA Area Engineer if the project oversight is PoDI. Also, review the funding scenario with CIPD.

Present the issue to the CCB at the scheduled CCB meeting.

If the Construction Change Request is approved, refer to the Construction Procedures Handbook and the Standard Specifications. Coordinate any approval conditions with the RE. If not approved, notify the RE.

Executive Regional Manager: Review the request for validity, completeness and accuracy. Obtain concurrence from the Director, DPM and forward the request to the CCB Administrator.

Director: Review and dispose of the request in one of the following ways:

- **Reject:** If not in favor of the proposed change, reject it and return it to the Executive Regional Manager.

- **Concur:** Indicate concurrence on the request form and return to the Executive Regional Manager for submission to the CCB Administrator to set up a meeting on the issue.
- **Approve:** Recommend for approval without a meeting of the CCB. Note the reason for, and any conditions of approval on the decision page of the Change Request form and forward to the CCB Administrator.

4.3 Change Control Board Tasks

Change Control Board Administrator:

1. Upon receipt of a valid Construction Change Request, set up a CCB meeting within 24 hours for emergency issues where a decision is needed immediately in order to avoid delay claims or where safety issues are involved, or within 7-10 days for all other issues. Attend the meeting and record the Board's decision. Upon Completion, forward the request with the reason for the recommended approval to the Assistant Commissioner, DPM for concurrence.
2. Notify the PM of the decision by forwarding a copy of the signed decision. Also, forward a copy to the appropriate Regional Construction Engineer as well as any parties who have additional responsibilities as a result of the Board's decision.
3. If the request was recommended for approval without a meeting, send it to the other members of the CCB, as well as CIPD and the FHWA as appropriate, for their comment prior to being forwarded to the Assistant Commissioner, DPM for concurrence. Resolve and document any comments received prior to requesting concurrence from the Assistant Commissioner. If they cannot be resolved individually, then schedule a CCB meeting to present the request to the full board.

Once the Assistant Commissioner, DPM approves or rejects the CCB decision, send it to the PM, the appropriate Regional Construction Engineer, and all members of the CCB, CIPD and the FHWA.

The PM will retain the original request and signed decision in the project file.

Change Control Board Members:

Attend the CCB meeting and process the Construction Change Request by approving it in whole or in part, with or without additional instructions or conditions, or disapproving it. If the request was recommended for approval without a meeting, forward any comments to the CCB Administrator within the requested timeframe.

4.4 Program Management Office

Upon receipt of Construction Change Request decisions, record the information in a database to track all change request patterns. Determine if the change is the result of a quality issue. If so, revise the Quality Assurance or Quality Control Plan or submit a Baseline Document Change Request as appropriate.

4.5 Assistant Commissioner, DPM Tasks

Review the Construction Change Request and dispose of it by approving it in whole or in part, with or without additional comments or conditions, or rejecting it. If approved, sign on the designated concurrence line and return it to the CCB Administrator for distribution. If rejected, indicate as such including the reason for rejection and return to the CCB Administrator for distribution.

New Jersey Department of Transportation
Capital Project Support

Form DES-RQST-2



Design Change Request

Forward to Change Control Board Administrator

Project Manager		Telephone	
Designer		Submittal Date	
Program Manager		Concur <input type="checkbox"/>	Date

Route and Section

Description of Change

Reason for and Value of Change, Advantages and Disadvantages

Recommendation:

Has the change been reviewed by other offices or CPC Screening Committee? (If yes, list office and contact person)

FHWA/State Involvement **PoDI** **Non-PoDI** **100 % State**

Other:

Cost Breakdown

Original Design Cost		Total Previous Revisions		Current Revision		Total Design Cost	
Construction Cost		ROW Cost		Total Non-Design Cost			
Original	Incr./Decr.	Original	Incr./Decr.	Increase/Decrease			

Director of Project Management

Concur (CCB meeting is necessary)

Signature: _____ **Date:** _____
 Director, Division of Project Management

- OR - **Recommend for approval without CCB meeting based on the following justification and with the following conditions:**

New Jersey Department of Transportation
Capital Project Support

Form CON-RQST-2



Construction Change Request

Forward to Change Control Board Administrator

Project Manager		Telephone	
Resident Engineer		Submittal Date	
Change Order or Sequential Letter		Contractor	
Priority	<input type="checkbox"/> Urgent - 24 hours	<input type="checkbox"/> Standard 7-10 days	<input type="checkbox"/> Other – specify:
Program Manager		Concur	<input type="checkbox"/> Date

Route and Section:

Description of Change:

Current Process or Method:

Reason for and Value of Change, Advantages and Disadvantages:

Effects:

Implementation:

Recommendation:

Has the change been reviewed by other offices or CPC Screening Committee? (If yes, list office and contact person):

FHWA/State Involvement	<input type="checkbox"/> PoDI	<input type="checkbox"/> Non-PoDI	<input type="checkbox"/> 100 % State
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Other:

Cost Breakdown

Original Contingency Amount:	Contingency Amount Used:
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Construction Cost Incr./Decr.	Design Cost Incr./Decr.	Row Cost Incr./Decr.
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Actual Award Amount	Total Previous Revisions	Current Revision	Total Cost
Director of Project Management			
<input type="checkbox"/> Concur (CCB meeting is necessary)			
<p>Signature: _____ Date: _____</p> <p style="text-align: center;">Director, Division of Project Management</p>			
<p>- OR - <input type="checkbox"/> Recommend for approval without CCB meeting based on the following justification and with the following conditions:</p>			
<p>Signature: _____ Date: _____</p> <p style="text-align: center;">Director, Division of Project Management</p>			

