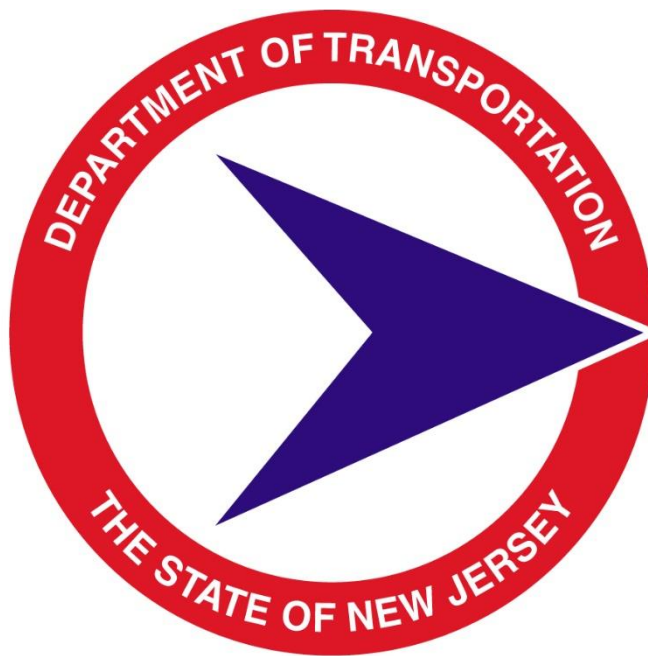


# **State of New Jersey Department of Transportation**

## **Change Control Board Procedures**

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**February 2021**  
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 in addition to the RE for technical support. In unusual situations, a Consultant Designer maybe present during project presentation. Representatives from Capital Investment Planning & Development (CIPD) and the Federal Highway Administration (FHWA) will attend the CCB meetings as appropriate. FHWA will attend all meetings that have PoDI projects, review CCB approval requests for PoDI projects where a meeting is not requested, as well as attend CCB Meetings/review requests for non-PoDI projects as determined on a case-by-case basis.

**Construction Change Request** – submit form CON-RQST-2 form to request the review and approval of the CCB 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 Scope of the Project.

**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 scope of the project or if the 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 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, coordination with any NJDOT Subject Matter Experts and/or offices, 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.

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.

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

**Executive Regional Manager:** Review the Design Change Request for validity, completeness and accuracy. Sign the Design Change Request. 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 Tasks**

#### **Change Control Board Administrator:**

Upon receipt of a Design Change Request, review for completeness, add the request to the agenda of the next scheduled CCB meeting (or schedule a meeting if emergency status is necessary), attend the meeting, and record the Board's discussion and decision. Upon completion of recordation, forward the request with the reason for the recommended approval or rejection by the CCB to the Assistant Commissioner, CPM for concurrence of the CCB Decision.

If the request was recommended for approval without a meeting, the request shall be sent 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, CPM 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, CPM approves or rejects the CCB decision, send a copy of the CCB

request and decision to the PM, all members of the CCB, CIPD, the Program Management Office, and the FHWA (when applicable). Also, forward a copy to any parties who have additional responsibilities as a result of the Board's decision. Return the original request with the signed decision and all original signatures to the PM for the project file.

The CCB Administrator shall keep a copy of the original request and signed decision.

#### **Change Control Board Members:**

Attend the CCB meeting, review the Design Change Request, and process the request by approving the request in whole or in part, with or without additional instructions or conditions, or rejecting the request. If the request was recommended for approval without a meeting, forward any comments to the CCB Administrator within the requested timeframe. If unable to attend the CCB meeting, a delegate that follows the Department's Delegation of Authority should be selected.

### **3.4 Program Management Office Tasks**

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, CPM Tasks**

Review the Design Change Request and sign, giving concurrence to the CCB Decision, in whole or in part, with or without additional comments or conditions, or rejecting the CCB Decision. 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 rejecting the CCB Decision, and return to the CCB Administrator for distribution.

## **4.0 Construction Change Requests**

A Construction Change Request form is required if there is a change in cost of more than \$500,000 or more than 5 % of the construction cost. The CCB will review Construction Change Requests that are design changes, scope changes or changes to the nature of the work. The CCB will not review Construction Change Requests that are changes to revise quantities to agree with as-built quantities, CI funding increases, programmatic changes such as those issued by Baseline Document Changes (BDCs). The Construction Change Request must be correctly filled out indicating whether CCB review/approval is requested or not. Construction Change Requests that do not require approval by the CCB do not need review/approval by the Assistant Commissioner.

### **4.1 RE Tasks**

Notify the PM of potential change and provide sufficient information to assist in the preparation of the CCR form, and sign if accurate. Attend the CCB Meeting. Attend the CCB Meeting if requested by the Director of DPM.

### **4.2 Field Manager Tasks**

Review the Construction Change Request provided by the PM, and sign if accurate. Attend the CCB Meeting if necessary for presentation or discussion.

### **4.3 Project Management Tasks**

**Project Manager:** Prepare a Construction Change Request, attaching any supporting material, coordination with any NJDOT Subject Matter Experts and/or offices, obtain the signature of the appropriate Construction Field Manager, and submit the request 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.

Coordinate any approval conditions with the RE. If not approved, notify the RE.

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

**Executive Regional Manager:** Review the Construction Change Request for validity, completeness and accuracy. Sign the Construction Change Request. Obtain concurrence from the Director, DPM 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 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.

#### **4.4 Change Control Board Tasks**

##### **Change Control Board Administrator:**

Upon receipt of a Construction Change Request, review for completeness, 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 add the request to the agenda of the next scheduled CCB meeting; attend the meeting; and record the Board's discussion and decision. Upon completion of recordation, forward the request with the reason for the recommended approval or rejection by the CCB to the Assistant Commissioner, CPM for concurrence of the CCB Decision.

If the request was recommended for approval without a meeting, the request shall be sent 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, CPM 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, CPM approves or rejects the CCB decision, send a copy of the CCB request and decision to the PM, the appropriate Regional Construction Engineer, the appropriate Construction Field Manager, all members of the CCB, CIPD, the Program Management Office, and the FHWA (when applicable). Also, forward a copy to any parties who have additional responsibilities as a result of the Board's decision. Return the original request with the signed decision and all original signatures to the PM for the project file.

The CCB Administrator shall keep a copy of the original request and signed decision.

##### **Change Control Board Members:**

Attend the CCB meeting, review the Construction Change Request, and process the request by approving the request in whole or in part, with or without additional instructions or conditions, or

rejecting the request. If the request was recommended for approval without a meeting, forward any comments to the CCB Administrator within the requested timeframe. If unable to attend the CCB meeting, a delegate that follows the Department's Delegation of Authority should be selected.

#### **4.5 Program Management Office Tasks**

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.

#### **4.6 Assistant Commissioner, CPM Tasks**

Review the Construction Change Request and sign, giving concurrence to the CCB Decision, in whole or in part, with or without additional comments or conditions, or rejecting the CCB Decision. 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 rejecting the CCB Decision, and return to the CCB Administrator for distribution.

***New Jersey Department of Transportation  
Capital Program Support***

Form DES-RQST-2 - 2/2021



**Design Change Request**

Forward to Change Control Board Administrator

<b>Project Name</b>			
<b>Project Manager (print &amp; sign)</b>		<b>Telephone #</b>	
		<b>Email</b>	
		<b>Date</b>	
<b>Designer</b>		<b>Federal Project #</b>	
<b>Project ID (UPC)</b>		<b>NJDOT Job #</b>	
<b>Priority</b>	<input type="checkbox"/> Urgent - 24 hours	<input type="checkbox"/> Monthly Meeting	<input type="checkbox"/> Other – specify:
<b>Executive Regional Manager (print &amp; sign)</b>		<b>Telephone #</b>	
		<b>Email</b>	
<b>Team</b>	A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/>	<b>Concur</b> <input type="checkbox"/>	<b>Date</b> <input type="checkbox"/>
<b>County, Municipality, Route, and Section:</b>			
<b>Current Process or Method:</b>			
<b>Description of Change:</b>			
<b>Reason for and Value of Change, Advantages and Disadvantages:</b>			
<b>Recommendation:</b>			
<b>Has the change been reviewed by other offices or CPC Screening Committee? (If yes, list office and contact person):</b>			
<b>FHWA/State Involvement</b>	<input type="checkbox"/> PoDI	<input type="checkbox"/> Non-PoDI	<input type="checkbox"/> 100 % State
<b>Funding Participation</b>	<input type="checkbox"/> Federal	<input type="checkbox"/> State	<input type="checkbox"/> Third Party
<b>Other:</b>			







**New Jersey Department of Transportation  
Capital Program Support**

Form CON-RQST-2 – 2/2021



**Construction Change Request**

Forward to Change Control Board Administrator

<b>Project Name</b>			
<b>Resident Engineer (print &amp; sign)</b>		<b>Telephone #</b>	
		<b>Email</b>	
		<b>Date</b>	
<b>Field Manager (print &amp; sign)</b>		<b>Telephone #</b>	
		<b>Email</b>	
		<b>Date</b>	
<b>Project Manager (print &amp; sign)</b>		<b>Telephone #</b>	
		<b>Email</b>	
		<b>Date</b>	
<b>Contractor</b>		<b>Federal Project #</b>	
<b>Project ID (UPC)</b>		<b>NJDOT Job #</b>	
<b>Change Order or Sequential Letter</b>		<b>Submittal Date</b>	
<b>Priority</b>	<input type="checkbox"/> Urgent - 24 hours	<input type="checkbox"/> Monthly Meeting	<input type="checkbox"/> Other – specify:
<b>Executive Regional Manager (print &amp; sign)</b>		<b>Telephone #</b>	
		<b>Email</b>	
<b>Team</b>	A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/>	<b>Concur</b> <input type="checkbox"/>	<b>Date</b>

County, Municipality, Route, and Section:

**Reason(s) for Change:**

<b>Requires a CCB Meeting</b>	<b>Does Not Require a CCB Meeting/Approval</b>
<input type="checkbox"/> Design Change	<input type="checkbox"/> Revise Quantities to Agree with As-Built
<input type="checkbox"/> Scope Change	<input type="checkbox"/> Construction Inspection Funding Increase
	<input type="checkbox"/> Programmatic Change/BDC
<input type="checkbox"/> Other	<input type="checkbox"/> Other

**Description of Change:**

**Current Process or Method:**

**Reason for and Value of Change, Advantages and Disadvantages:**

<b>Effects:</b>			
<b>Implementation:</b>			
<b>Recommendation:</b>			
<b>Has the change been reviewed by other offices or CPC Screening Committee? (If yes, list office and contact person):</b>			
<b>FHWA/State Involvement</b>	<input type="checkbox"/> <b>PoDI</b>	<input type="checkbox"/> <b>Non-PoDI</b>	<input type="checkbox"/> <b>100 % State</b>
<b>Funding Participation</b>	<input type="checkbox"/> <b>Federal</b>	<input type="checkbox"/> <b>State</b>	<input type="checkbox"/> <b>Third Party</b>
<b>Other:</b>			



