

Appendix A - Change Request or Specification Order Checklist

Change Request or a Specification Order- Which to Use?						
Scenario	Change Request Needed	Required to be Added to Contract in an Amendment	Executed Amendment Required Before Implementation	CMS Approval Required for Change Request	Specification Order Needed	Clarifying Notes
COST CHANGES						
Change in contract maximum payable that increases or decreases	✓	✓	✓	Only if the value of the contract increases by more than \$500K or if the length of the contract extends by more than 60 days. ~CMS 6.27.16	-	CMS approval is not required if there is a decrease in cost. A copy of all executed Amendments are sent to CMS.
A change to the contract "Payment Provisions" section.	✓	✓	✓	-	-	For example: If there is a realignment of costs in the Payment Provisions section of the contract, but without a change in total contract value.
A decrease in the anticipated project spend vs. baselined budget committed in the approved Project Charter, approved IAPD, and/or approved State Budget	✓	✓	-	-	-	
A contract requirement was developed, tested, accepted, implemented and in production, but an enhancement (not a bug or defect) is needed to deliver functionality the users want.	✓	✓	✓	Only if the value of the contract increases by more than \$500K or if the length of the contract extends by more than 60 days. ~CMS 6.27.16	-	Enhancements assume an increase in cost.
A change in contract scheduled or expected invoicing date.	-	-	-	-	✓	Some contracts will have estimated payment dates or date ranges; if it becomes obvious that the schedule will deviate from a contract payment date estimate, the Finance Dept. and Program Manager needs to be aware so that funding availability can be adjusted. Finance needs to be copied on all SO's that have changes to expected payment timing.
SCHEDULE CHANGES						
Project <u>schedule change that accelerates</u> delivery of Deliverables with no negative impact to dependent projects.	-	-	-	-	-	Exception: If payment schedule is impacted, see Cost Changes section above.
Project <u>schedule delay</u> with no negative impact to critical path or dependent projects.	See Notes	-	-	-	-	Exception: If the schedule extends beyond the existing contract term, see Cost Changes section above.
Change to <u>extend the contract term.</u>	✓	✓	✓	Only if the value of the contract increases by more than \$500K or if the length of the contract extends by more than 60 days. ~CMS 6.27.16	-	
SCOPE/OBJECTIVE CHANGES						
SOW or Deliverables expand or decrease	✓	✓	✓	-	-	If costs also change, refer to 'Cost Changes' section, particularly CMS approval.
An addition to requirements or activities that were generically anticipated when writing the contract, where contingency funds were planned to pay for such generic changes.	-	-	-	-	✓	Often used for additional labor hours using a rate defined in the contract.

MISC CHANGES						
Any change for which contractor is accountable that increases risk to the State	✓	✓	✓		-	
Change in the length of time the contract requires for review of submitted materials	✓	✓	-		-	
Duplicate requirement or activity in the contract where you want to delete one.	✓	✓	-		-	
Data parameter change such as a code update, change in co-pay amount, drop-down box or configuration change	-	-	-		✓	Code changes such as annual medical code updates generally should not require a CR. Exceptions: Programmatic changes that require development effort will likely need a CR or if the contract contains a specific requirement that must be altered to implement or there are additional costs not covered in the contract for the work.
Change to a Letter or Notification					✓	Changes to letters or customer communications generally should not require a CR, unless the contract contains a specific requirement that must be altered to implement or here are additional costs associated with the work.
Change to a rule such as Claims Processing, or other Federal or State requirement such as removal of social security numbers from participant data						Changes to a rule or law may or may not require a CR, depending on how this was accommodated in the contract, and whether a cost is associated with the change.
Procedural change such as a Deliverable process						Changes to a deliverable process or other procedural change may or may not require a CR, depending on how this was accommodated in the contract, and whether a cost is associated with the change.
A Plan (ex. Certification Plan, Service Plan, Operations Plan etc.) is required by the contract but the Plan itself is not part of the contract, and the Plan has been accepted, but subsequent to acceptance, a change to the Plan is desired.					✓	Exception: If the magnitude of the change(s) exceed contract requirements a Change Request is required.
Change in who is fulfilling Key Personnel role	-	-	-		✓	As long as Key Personnel are not named in the contract, the person who fulfills the role may change without the need for the contract to change. However, if Key Personnel are named in the contract and they no longer fulfill that role, the contract would need to be changed using a CR and amendment, but the amendment could be implemented before execution.
Change in Key Personnel roles or number in contract	✓	✓	-		-	If this change results in a change in cost, see Cost Changes section above.
A defect or bug is detected	-	-	-		-	Defect and bug resolution should be documented in the Quality process, and does not use the CR or SO processes. Exception: If a defect/bug occurs or is discovered outside of the warranty period, a CR or SO would be required, depending on the nature of the defect/bug.