

Title: DVHA Portfolio Change Control Plan

Approved:

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DVHA Portfolio Change Control Plan

This DVHA Portfolio Change Control Plan (CCP) describes the processes for change control for all DVHA Portfolio Information Technology (IT) projects for 1) Design, Development and Implementation (DDI), 2) Maintenance and Operations (M&O), and 3) all projects within Programs with Steering Committees, including those that may not be IT projects: Medicaid Management Information Systems (MMIS), Health Information Technology (HIT), Integrated Eligibility and Enrollment (IE&E).

The CCP ensures that changes to projects: (1) are made in a uniform, organized and controlled manner, (2) are aligned across the Portfolio, (3) comply with applicable project management processes and (4) comply with provisions of the Agency of Administration's (AoA) Bulletin 3.5 relating to project contracts. The CCP creates a DVHA Portfolio Change Control Board (CCB) to oversee material changes across the projects to ensure Portfolio-level oversight of the work.

The CCP is intended to be iterative and to reflect the current state and will be updated, as needed, as the DVHA Portfolio work progresses.

1. Introduction

Every Portfolio project is developed and implemented in response to a business need or as a solution to an operational problem. Business users define requirements based on their operational needs and ensure that operational user requirements are properly identified, documented, approved, and implemented for all systems under development or being operationally maintained within the project. Frequently, changes or further definition of project specifications, technical configuration and related tasks are required as a project proceeds. This DVHA Portfolio CCP describes the processes and procedures to identify, develop, analyze and adopt necessary modifications for projects within the Portfolio. The CCP describes two distinct types of project documentation for such modifications: 1) Change Requests (CRs) that change one or more material provisions in a project plan or a contract; and 2) Specification Orders (SOs) that further define or clarify project or maintenance specifications, configuration requirements and related tasks and timelines, but do not impact a material provision of the project contract or constitute a material change in contract scope.

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The DVHA Portfolio CCP provides a consistent process across Portfolio projects for identifying when a CR is required and when a contract amendment is required. This Portfolio CCP ensures that CRs and SOs are made in an organized and controlled manner, are aligned across the Portfolio and comply with applicable project management processes and provisions of Bulletin 3.5. The CCP establishes:

- Separate procedures for CRs and SOs (Sections 3 and 4)
- A Change Control Board (CCB) for CRs (Section 3)
- A Checklist to distinguish between a CR and a SO (Appendix A)
- A Change Request form to be used with CRs (Appendix B)
- A Specification Order form to be used with SOs (Appendix C)
- A Change Request Log form (Appendix D)
- A Specification Order Log form (Appendix E)
- Change Request Metric Collection and Action Plan form (Appendix F)
- Agency of Human Services form to Request IT Staff Reassignment (Appendix G)

2. Change Requests and Specification Orders

2.1. Change Requests

CRs modify, add or remove a material provision of a project plan or a contract, or both, such as the total amount payable, the contract term, an increase or decrease in the scope of work, or alteration of the schedule established in the project plan or contract. CRs must be documented as provided in Section 3. CRs that change a project plan, but not a contract, may be implemented following CCB approval. All CRs that change a provision of a contract require an amendment to the underlying contract, often prior to implementation, and may require the Centers for Medicaid and Medicare Services (CMS) approval prior to execution of the contract amendment. Under Article IX, Section 9 of Bulletin 3.5, and when consistent with CMS requirements, some minor CRs to contracts may be implemented prior to execution of a contract amendment, but they must be included in a contract amendment the next time an amendment would otherwise be required under Article XIII of Bulletin 3.5. All CRs are presented to the CCB. Those with cross-program impacts, large financial impacts, or for which the Program Steering Committee decision was not unanimous must be approved by the CCB. All others are approved by the Program Steering Committees and presented for awareness to the CCB. All CRs that modify, add or remove a provision of a contract must be authorized by the DVHA Commissioner or Deputy Commissioner as provided in Bulletin 3.5 and in Sections 3.3 and 3.4 below. All contract amendments follow the usual DVHA contracts and grants processes, including review and approval by the Agency of Digital Services (ADS) Procurement Advisory Team (PAT) and AoA as required by Bulletin 3.5.

2.1.1. Change Requests Relating to Project Contracts

2.1.1.1 Examples of Change Requests that **Require** Contemporaneous Contract Amendments:

- a change to the contract that expands or decreases the statement of work and/or deliverables;
- a change to the contract that increases or decreases the payment amount;
- a change to the payment provisions beyond those defined in the original contract;
- a change to extend the contract duration beyond the original duration defined in the original contract; and,
- any other change for which the contractor is to be held accountable or which would increase risks to the State.

2.1.1.2 Examples of Change Requests of Minor Provisions That **Do Not Require** a Contemporaneous Contract Amendment:

- A change that reduces the time from 5 days to 3 days for the vendor to resubmit a deliverable that the State did not accept.
- A change that increases the time for the State to review and respond to a deliverable from 5 to 8 days.
- Changes to Key Personnel.

2.1.2. Change Requests Relating to Project Plans and/or Project Charters That Do Not Impact a Contract

2.1.2.1 Examples of Changes to Project Plans and/or Project Charters That **Require** Documentation and Approval of a Change Request:

- a change to the project scope that expands or decreases the breadth of work and/or deliverables committed in the approved project charter or project plan;
- a change to the project schedule that delays critical milestones, as determined by the Project Manager, committed in the approved project charter and/or project plan;
- a change to the project schedule that negatively impacts dependent projects;
- an increase in the projected spend for the project vs. baselined budget as committed in the approved project charter, approved Implementation Advanced Planning Document (IAPD) and/or approved State budget.

2.1.2.2 Examples of Minor Changes to Project Plans and/or Project Charters That **Do Not Require** Documentation or Approval of a Change Request:

- a change to the project schedule that accelerates delivery of committed deliverables, with no negative impact to dependent projects;
- a change to the project schedule that has no negative impact on the critical path and which has no negative impact to dependent projects;
- a decrease in the anticipated project spend vs. baselined budget committed in the approved project charter, approved IAPD, and/or approved State budget; and
- in projects using agile development, iterative changes within the defined scope of the project.

2.2 Specification Orders

SOs do not alter a material provision of a contract and do not require a contract amendment. SOs define, document and track technical configuration and specifications details and related tasks falling within the overarching scope or requirements of the contract and may be implemented upon approval as provided in Section 4. Where SOs impact the project requirements, as captured in a requirements traceability matrix (RTM), the change must be accepted by the Project Sponsor or role to whom the Project Sponsor has delegated decision rights (e.g., Business Lead). The accepted SO must be recorded in a project decision log and impacts therein reflected in the RTM, among other project deliverables as identified in the project charter or project plan. Actions to update the RTM and other deliverables will be conducted according to roles identified in the project Responsible, Accountable, Consulted, Informed (RACI) matrix, as applicable.

Examples of SO items:

- Changing the specification for the Federal Poverty Level (FPL) for a benefits program.
- Changing the specification for a drop-down or other system value the State's System Administrator does not have security permission to access.
- Specifying format and specific elements of content of project reports or documents.
- Activating work identified in the contract to be later determined by the State or the parties.

3. Change Request Process

The project Business Lead for the State or Contractor may suggest a CR, and only the Business Lead for the State may initiate the CR review and approval process. A CR identifies the need to modify, add or remove a material provision of an existing Portfolio project plan and/or Contract. The Business Lead is accountable for:

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- a. ensuring that a complete business case is developed;
- b. completing the CR Form (Appendix B);
- c. completing the AHS Form to Request IT Staff Reassignment (Appendix G), if applicable;
- d. recommending whether to proceed with the CR;
- e. ushering the CR through the process described in the CCP;
- f. ensuring that the approved CR is appropriately logged in the form attached as Appendix D and stored on the project SharePoint or other project plan site;
- g. ensuring the approved CR is submitted to the DVHA MMIS M&O Unit for placement in the CR repository; and,
- h. completing the CR Metric Collection and Action Plan attached as Appendix F and monitoring the CR process through to conclusion.

3.1. Initiating a Change Request

The Business Lead convenes a team of experts relevant to the CR, such as technology, finance, subject matter experts (SMEs), business analysis, legal, project and vendor management, to analyze the proposed change, document the business case for the change, and to draft the CR form, attached as Appendix B. All CRs that modify, add or remove any aspect of the committed project scope, schedule or budget must be reviewed with that context recognized.

The business case must be documented on the CR form and include:

- a. a description of the change;
- b. a list of functional and non-functional requirements impacted by the change;
- c. the reason or justification for the change;
- d. the feasibility of the change;
- e. the risk analysis of making the change and of not making the change;
- f. the impacts of the change to the project scope, schedule and budget;
- g. the impacts to other installed systems or dependent project schedules of the change;
- h. cost/value of proposed change, including staffing;
- i. a proposed timeline for implementation;
- j. related documents; and
- k. when the proposed change impacts a contract:
 1. specific references to existing contract language that would be affected;
 2. proposed contract language and contract section reference; and

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3. the contract number

The Business Lead engages the Contractor to collaborate and complete the CR form with information such as cost estimates, technical details and contract schedule impacts of the proposed change.

The Business Lead works with Finance to confirm the availability of funding to support the CR, including both State and Federal funds, as applicable to the project, and documents that information on the CR form. If the CR includes an IT Staff Reassignment Request, the Business Lead works with Finance to complete Appendix G.

The Business Lead consults with legal on the proposed contract language for the CR form. The Contractor's authorized representative signs the CR form to document its agreement with the proposed change.

The Business Lead submits the completed CR form to the Program Manager for consideration by the Steering Committee and attends the Steering Committee meeting to present the CR for consideration.

If the Steering Committee does not review CRs for projects that are in M&O, the Business Lead submits the completed CR form to the CCB.

3.2. Projects Governed by a Steering Committee

3.2.1. Steering Committee Reviews of Change Requests

The Steering Committee reviews all CRs recommended by the Business Lead. If the Steering Committee votes to reject the CR or to require further study, the Steering Committee returns the CR to the Business Lead with a record of the decision and further direction if any.

- Does the change impact another Program in the Portfolio?
- Does the change create an interdepartmental impact?
- Does the change require additional/new external resources?
- Does this change, in the Steering Committee's opinion, require the review and approval of other Commissioners and/or the Secretary?
- Will this change result in the risk that anyone or any entity could derail the project?
- Does this change impact the outcome of this project in such a way that it could now be used by or have relevance to any other AHS Department or State Agency?

3.2.1.1 Steering Committee Recommendations

The Steering Committee may recommend to the CCB that a specific project be exempt from the CCP process if:

- i. the project is in the execution phase at the time the CCP is initially adopted;
- ii. the project has an established and effective other change control plan;
- iii. all changes approved under such other change control plan are reported to the CCB for awareness; and
- iv. the project uses the forms in the Appendices to this CCP for its change control process.

3.2.1.2 Steering Committee Revocation/Exemption

The Steering Committee may on its own initiative recommend revocation of an exemption from the CCP at any time.

3.2.2. A Proposed Change Review

A Proposed Change Review that indicates a YES answer for any of the criteria must be considered for escalation to the CCB for final decision. Change Requests that impact other Programs, have interdepartmental impacts, or require a substantial resource and/or cost increase must be referred to the CCB for a decision. The Steering Committee will vote on approving, rejecting, or requiring additional consideration. When the Steering Committee vote is not unanimous, the CR must be referred to the CCB for a decision.

3.2.3. Steering Committee Review Results

The result of the Steering Committee review against these criteria and all associated decisions and action items associated with that review must be documented in the Steering Committee meeting minutes. Change Requests that the Steering Committee can approve or reject are referred to the CCB for awareness. If the Steering Committee approves a contract-related CR, it submits its recommendation to the DVHA Commissioner or Deputy Commissioner for final review and approval.

Change Requests that impact other Programs, have interdepartmental impacts, require a substantial resource and/or cost increase, or do not receive a unanimous vote by the Steering Committee are referred by the Steering Committee Chair to the CCB for a decision.

3.2.4. Reporting Project Updates to AHS Governance

The provisions in this section 3.2 do not preclude the ability of the Steering Committee

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to schedule project updates for AHS Governance at appropriate project milestones.

3.3. DVHA Portfolio Change Control Board Review of a Change Request

3.3.1. The Change Control Board Responsibilities

The CCB is established to:

- i. approve, reject, or identify the need for further study of those contract-related CRs that cannot be decided by the Program Steering Committees;
- ii. upon request from a Steering Committee, approve, reject or identify the need of further study for CRs related to project plans and/or Charters;
- iii. upon request from a Steering Committee, decide whether to recommend for approval or rejection the exemption of any specific project from the CCP processes; and
- iv. perform its responsibilities and exercise its authority over all projects which make up the DVHA Portfolio.

3.3.2. Membership

The voting members of the DVHA Portfolio CCB are the DVHA Deputy Commissioners, the DVHA Chief Operating Officer (chair), the Chairs of the Portfolio Steering Committees, the DVHA Financial Director, the ADS DVHA IT Project Portfolio Manager, or their designees. DVHA General Counsel serves as a non-voting advisory member of the CCB.

3.3.3. Change Request Reviews

The CCB reviews proposed CRs monthly (or more frequently as needed to address urgent CRs), to approve, reject, prioritize and make other recommendations.

3.3.4. Change Control Board Consultation

The CCB review will include consultation with the Business Lead, SMEs and others, as needed, to ensure a complete review of the requested change and the potential impact on other projects in the Portfolio.

3.3.5. Contractor Disagreement with a Change Request

If the Contractor did not agree to the CR, the CCB may recommend rejection or further study or may engage the Contractor in further negotiations.

3.3.6. Contractor Agreement with a Change Request

If the Contractor agreed to the CR, the CCB may recommend approval of the CR, if they determine it is in the best interests of the State.

3.3.7. Change Control Board Review Decision

The CCB will make a recommendation or decision for approval, rejection or further

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study within five (5) business days of completing its review.

- a. A decision by the CCB to reject a CR is final.
- b. The CCB may decide that further study is needed and provide guidance to the Business Lead.
- c. For CRs related to project plans and/or Charters that are not contract-related, the CCB may approve or reject such CR.
- d. For contract-related CRs, if the CCB recommends approval of the CR, it submits its recommendation to the DVHA Commissioner for final review and approval.
- e. A decision by the CCB to approve or reject a request for a project to be exempt from the CCP processes is final.

3.4. DVHA Commissioner or Deputy Commissioner Approval

3.4.1. Change Control Board Submission

The CCB submits all contract-related CRs it recommends for approval to the DVHA Commissioner or Deputy Commissioner for final review and approval.

3.4.2. DVHA Commissioner or Deputy Commissioner Review Decision

The DVHA Commissioner or Deputy Commissioner may approve, reject or defer the contract-related CR for further study.

3.4.3. DVHA Commissioner or Deputy Commissioner Guidance

If the DVHA Commissioner or Deputy Commissioner decides that further study is needed, they will provide further guidance to the Business Lead.

3.5 Change Request Implementation and Tracking

3.5.1. Implementation of All Approved Change Requests

Implementation of all approved CRs that impact a contract must comply with Bulletin

3.5. All approved CRs must:

- a. be in writing and describe, with specific reference to the applicable section(s) of the contract, what is being added, deleted or otherwise modified;
- b. be signed by both the State and the Contractor;
- c. include the original contract number and a sequential CR number;
- d. be consolidated into a contract amendment whenever an amendment would otherwise be required by the State Administrative Bulletin 3.5, which amendment must include Contractor certifications regarding Taxes and Department of Child Support, as detailed in Bulletin 3.5, Section XIII(A)(d);



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and

- e. be submitted for prior approval by CMS or other funding authority, as required.

3.5.2. Modifications

Any CR to modify, add or remove a material provision of an existing Portfolio contract, such as the total payable, the contract term, an increase or decrease in the scope of work, or altering the schedule established in the contract requires a contract amendment prior to implementation. Contract amendments must comply with CMS prior review and approval requirements.

3.5.3. Contract Amendments

After a contract-related CR is approved by the DVHA Commissioner or Deputy Commissioner, the CR is sent to DVHA Contracts and Grants Administration for preparation of a contract amendment.

3.5.3.1 Material Terms of the Contract

If the CR modifies, adds or removes a material term of the contract, the CR may not be implemented until after the contract amendment is fully executed.

3.5.3.2 Minor Terms of the Contract

If the CR modifies, adds or removes a minor term of the contract, the CR may be implemented upon approval by the DVHA Commissioner or Deputy Commissioner, if such implementation is consistent with Bulletin 3.5 and CMS requirements, but must be included in a later contract amendment.

3.5.4. Accountability for Updates

The Business Lead is accountable for ensuring that updates to the budget, project plan and Change Control Log reflect the authorized changes to the contract.

3.5.5. Accountability for Further Study

If the CR is rejected or deferred for further study, the Business Lead is accountable for ensuring the status is updated in the Change Control Log.

3.5.6. Change Request Decisions

The Business Lead is accountable for ensuring all CR decisions are timely communicated to stakeholders and all impacted associated documents are updated to reflect the change.

3.6. Emergency Change Requests

3.6.1. Waivers

The Business Lead is accountable for ensuring that the processes established in this CCP are followed. In the rare event that an urgent situation arises that requires a more expedient process to obtain approval of a CR, the Business Lead may request a waiver of specific sections of this CCP through a memorandum submitted to the Steering Committee to request waiver of specific provisions of the CCP. If the Steering Committee supports the waiver request, it is submitted to the CCB for consideration of the waiver and the requested CR for expedient action.

3.6.2. Expedient Action

An Emergency CR will not be used to avoid the processes established in the CCP unless an urgent situation exists that requires expedient action, such as where a change is needed immediately to meet State or Federal requirements or to avoid an unforeseen system problem that the CR can prevent.

4. Specification Order Process

4.1. Initiating a Specification Order

Either the Business Lead for the State or the Contractor may suggest a SO, but only the State Business Lead may initiate the SO review and approval process. SOs are used to define (and/or clarify), document and track technical configuration and specifications details and related tasks and timelines as a project progresses. SOs cover activities falling within the overarching scope or requirements of a project, and do not materially modify the project contract; rather, SOs serve to clarify and facilitate the performance and delivery of existing contract scope obligations. As such, SOs do not require an amendment of the project contract.

4.1.1 Business Lead Accountability

The Business Lead is accountable for:

- a. ensuring that a complete business case is developed;
- b. completing the SO form;
- c. recommending whether to proceed with the SO;
- d. ushering the SO through the process described in the CCP; and
- e. assuring the process is appropriately logged on the form attached as Appendix E, stored on the project SharePoint site or other project plan site, submitted to the M&O Unit, and monitored through to conclusion.

4.1.2. Drafting the Specification Order Form

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The Business Lead convenes a team of experts relevant to the SO, such as technology, finance, SMEs, business analysis, project and vendor management to analyze the proposed SO, document the business case, and to draft the SO form, attached as Appendix C.

4.1.3 Business Case

The business case must be documented on the SO form and includes a description of the SO;

- a. high-level requirements;
- b. the reason or justification for the SO;
- c. the feasibility of the SO;
- d. the risk analysis of implementing the SO and of not implementing the SO;
- e. the impacts to the project scope, schedule and budget of the SO;
- f. related documents; and
- g. when the project work includes a Contractor:
 1. existing contract section reference;
 2. confirmation that the proposed SO does not alter or amend any contract provisions; and
 3. the contract number

4.1.4 Specification Order Form and Contractors

The Business Lead engages the Contractor to collaborate and complete the SO form with information such as technical details and schedule impacts of the proposed Order. The Contractor's authorized representative signs the SO form to document its agreement with the proposed Order.

4.1.5 Specification Order Escalation

In the event that the Business Lead and the Contractor are unable to reach agreement on the SO, the Business Lead may at any time escalate the SO to the Program Sponsor for assistance in assessing and resolving the SO.

4.2. Specification Order Review and Approval

4.2.1 Business Lead Review

The Business Lead reviews the completed SO to ensure a complete review of the proposed Order and the potential impact on the Project.

4.2.2 Contractor Disagreement of the Specification Order

If the Contractor did not agree to the SO, the Business Lead may reject the proposed Order, seek further study or may engage the Contractor in further negotiations.

4.2.3 Contractor Agreement of the Specification Order

If the Contractor agreed to the SO, the Business Lead may approve the SO, if they determine it is in the best interests of the State. The Business Lead signs the SO form to document approval of the SO.

4.3. Specification Order Implementation and Tracking

4.3.1 The SO may be implemented as provided in the SO upon approval by the Business Lead.

4.3.2 Accountability for Specification Order Documentation

The Business Lead is accountable for ensuring updates to the budget, project plan and SO Log reflect the authorized SOs.

4.3.3 Accountability for Specification Order Decisions

The Business Lead is accountable for ensuring that all SO decisions are timely tracked in the SO Log, submitted to the DVHA MMIS M&O Unit and timely communicated to stakeholders.

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 <i>decrease</i> 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</u> that <u>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.

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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.



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Appendix B - Change Request Form

This form must be completed to initiate and implement a contract Change Request (CR), as provided in the Department of Vermont Health Access (DVHA) Change Control Plan.

Contract Title:	<input type="text"/>	Contract #:	<input type="text"/>
CR Request #:	<input type="text"/>	Amendment #:	<input type="text"/>
Title of CR:	<input type="text"/>		
CR Submitted By/Title:	<input type="text"/>		
CR Submission Date:	<input type="text"/>	Program/Project Title:	<input type="text"/>

Part I: Impact

IMPACT (choose all that apply):

- Scope Schedule Budget Key Personnel Change
- Staffing New Project Other

*If "Other", please describe:

CONTRACT PHASE:

Part II: Submission Details

Contract Manager:

Contractor CR Lead & Title:

SoV CR Lead & Title:

Summary of CR Objective(s):

Business Case & Justification of need:



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USER STORIES- Description of need:

Specific User Story Requests:

**If specific changes or additions to User Stories are needed, please attach completed documentation.*

REQUIREMENTS:

Specific functionality and/or requirements:

**If specific changes or additions to Requirements are needed, please attach completed documentation.*

BUSINESS RULES:

Specific Business Rule Requests:

**If specific changes or additions to Business Rules are needed, please attach completed documentation.*

Identify risk(s) associated with implementing the specification and with not implementing the change:

Implementing	Not Implementing

Part III: Supporting and Related Documents List (statutes, contract, etc.)

Include document titles, document locations (ex: SharePoint, Hyperlink, or Object), creation dates and relevant page numbers:

Title	Document Location	Creation Date/ Version #	Relevant Page #s	Requires Update
				<input type="checkbox"/> Yes
				<input type="checkbox"/> Yes
				<input type="checkbox"/> Yes
				<input type="checkbox"/> Yes
				<input type="checkbox"/> Yes



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Part IV: Details of the Change(s)

Part IV A

Existing/Current	Proposed Change

Part IV B

High-Level Design Specifications:

Part V: Project Impact

Proposed Timeline for Implementation:

Cost Impact Summary:

Change Request Value (\$):

Part VI: Financial Summary

Project-Specific Roles	Estimated Hours	Contract Rate	Extension
Application Licensing			
Total Value/CR			



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CHANGE REQUEST FUNDING:

- Maintenance & Operations: To be invoiced separately
- CMS (IAPD) funded project: To be invoiced separately
- State or grant funded project: To be invoiced separately
- No funds payable to Contractor

Describe specific funding source(s) and approval(s) received:



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Part VII: Implementation

SCHEDULE ESTIMATES:

Change request estimated start date:

Change request estimated completion date:

AMENDMENT REQUIREMENTS CHECKLIST FOR SoV:

Contract Amendment execution required before CR implementation?

 Yes No

CMS Pre-Approval required?

 Yes No

IAPD Update Required?

 Yes No

DVHA Budget Approval Required?

 Yes No

Part VIII: Recommendations for Approval

ROLE	NAME AND TITLE
Business Lead/ Product Owner	Print Name/Title: <input type="text"/>
	Signature: <input type="text"/>

Contractor Change Request Approval

ROLE	NAME AND TITLE
Contractor Authorized Representative	Print Name/Title: <input type="text"/>
	Signature: <input type="text"/>



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Change Request Approval and/or Contract Amendment Recommendation		
ROLE	NAME AND TITLE	Approve
Steering Committee	Print Name/Title: <input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No
	Signature: <input type="text"/>	Further Review Requested <input type="radio"/> Yes
ROLE	NAME AND TITLE	Approve
Change Control Board	Print Name/Title: <input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No
	Signature: <input type="text"/>	Further Review Requested <input type="radio"/> Yes

For CRs resulting in contract amendments:

Commissioner or Deputy Commissioner Change Request Approval		
ROLE	NAME AND TITLE	Approve
Commissioner or Deputy	Print Name/Title: <input type="text"/>	<input type="radio"/> Yes <input type="radio"/> No
	Signature: <input type="text"/>	Further Review Requested <input type="radio"/> Yes

*If increase or decrease in contract value or approved payment to Contractor results, send signed copies to:

- Central Office Finance
- DVHA Business Office



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Appendix C - Specification Order Form

This form must be completed to initiate and implement a specification order (SO), as provided in the Department of Vermont Health Access (DVHA) Portfolio Change Control Plan.

Contract Title:	<input type="text"/>	Contract #:	<input type="text"/>
SO Request #:	<input type="text"/>	Amendment #:	<input type="text"/>
Title of SO:	<input type="text"/>		
SO Submitted by Name/Title:	<input type="text"/>		
SO Submission Date:	<input type="text"/>	Program/Project Title:	<input type="text"/>

Part I: Impact

- Does this SO change any contract provisions? Yes No
- Does this SO amend the Scope? Yes No
- Does this SO amend the Schedule? Yes No
- Does this SO amend the Budget? Yes No

If you answered "yes" to any of the above, you must use the Change Request Form and process.

SPECIFICATION (choose all that apply):

- Configuration/Workflow Software/Code Change Schedule
- Other Describe:

Part II: Submission Details

Business Lead/ Product Owner:

Contractor SO Lead & Title:

SoV SO Lead & Title:

Summary of the SO Objectives:



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USER STORIES: Description of need:

[Empty text box for User Stories]

Specific User Story Requests:

**If specific changes or additions to User Stories are needed, please attach completed documentation.*

REQUIREMENTS:

[Empty text box for Requirements]

Specific functionality and/or requirements:

**If specific changes or additions to Requirements are needed, please attach completed documentation.*

BUSINESS RULES:

[Empty text box for Business Rules]

Specific Business Rule Requests:

**If specific changes or additions to Business Rules are needed, please attach completed documentation.*

Identify risk(s) associated with implementing the specification and with not implementing the specification:

Implementing	Not Implementing

Business Case & Justification of need:

[Empty text box for Business Case & Justification of need]



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Part III: Supporting and Related Documents List (contract, applicable law or regulation, etc.)

Include document titles, document locations (ex: SharePoint, Hyperlink, or Object), creation dates and relevant page numbers:

Title	Document Location	Creation Date/ Version #	Relevant Page #s	Requires Update
				<input type="checkbox"/> Yes
				<input type="checkbox"/> Yes
				<input type="checkbox"/> Yes
				<input type="checkbox"/> Yes
				<input type="checkbox"/> Yes

Part IV: Details of the Specification(s)

Part IV A

Existing/Current	Proposed Specification

Part IV B

High-Level Design Specifications:

Part V: Financial Summary

Project-Specific Roles	Estimated Hours	Contract Rate	Extension
Application Licensing			
Total Value/SO			



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SPECIFICATION ORDER FUNDING:

- Maintenance & Operations: Annual contracted Specification order/change hours
- Maintenance & Operations: To be invoiced separately
- CMS (IAPD) funded project: To be invoiced separately
- State or grant funded project: To be invoiced separately
- No funds payable to Contractor

Describe specific funding source(s) and approval(s) received:

Part VI: Implementation

SCHEDULE REQUIREMENTS:

Specification Order start date:

Specification Order target completion date:

Part VII: Approvals

ROLE	NAME AND TITLE
Business Lead	Print Name/Title: <input style="width: 95%; height: 25px;" type="text"/>
	Signature: <input style="width: 95%; height: 25px;" type="text"/>
Contractor Authorized Representative	Print Name/Title: <input style="width: 95%; height: 25px;" type="text"/>
	Signature: <input style="width: 95%; height: 25px;" type="text"/>



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Appendix D - Change Request Log Form



CHANGE REQUEST FORM Department of Vermont Health Access (DVHA)

This form must be completed to log a Change Request, as provided in the DVHA Portfolio Change Control Plan and stored on the Project SharePoint site or other Project Plan site.

CR No.	Date Change Approved	Description	Impacted Supporting Document(s)	Supporting Document Change / Version No.	Approved By

v.1.0 08/30/2018

Appendix E - Specification Order Log Form



SPECIFICATION ORDER FORM
Department of Vermont Health Access (DVHA)

This form must be completed to log a Specification Order, as provided in the DVHA Portfolio Change Control Plan and stored on the Project SharePoint site or other Project Plan site.

SO No.	Date Change Approved	Description	Impacted Supporting Document(s)	Supporting Document Change / Version No.	Approved By

v.1.0 08/30/2018

Appendix F - Change Request and Specification Order Metric Collection and Action Plan Form



APPENDIX F

CHANGE REQUEST METRIC COLLECTION AND ACTION PLAN FORM

This form must be completed to collect metrics on project Change Requests, as provided in the DVHA Portfolio Change Control Plan.

Performance Measure	Green	Yellow	Red
Total Number of CRs Total Number of Approved CRs Total Number of Rejected CRs	Number and complexity of CRs are manageable. Action: do nothing	Number and complexity of CRs are trending towards unmanageable. Action: assess CRs, meet with Steering Committee	Number and complexity of CRs are unmanageable. Action: assess CRs, meet with Steering Committee, determine course of action, prioritize CRs
Total Number of SOs Across the Program by SOs Type	Total Number of SOs across the Program remains stable Action: do nothing	Total Number of SOs across the Program is trending towards unmanageable. Action: assess SOs, meet with Steering Committee	Total Number of SOs across the Program is unmanageable. Action: assess scope, schedule, resources for SOs; meet with Steering Committee, determine course of action. May need to hire additional resources.



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Appendix G AHS IT New Resource and Resource Reassignment Request Form

Purpose:

To document the process for ADS to request AHS approval to add a new IT Resource or to transfer an existing IT Resource to or from an AHS project or activity to work on another project or activity with a different funding source, as permitted by Sections 6.7.4, 6.7.5, 6.8.1, and Appendices A-H of the AHS ADS MOU.

This form is not required to fill currently assigned vacant positions and is not to be used to change an employee's job description; the DHR reclassification process must be followed for that purpose.

Glossary:

IT Resource: A SOV ADS employee or IT contractor personnel.

Requestor: The ADS Portfolio Manager or IT Manager responsible for supplying the IT Resource for AHS work. (The expectation is for ADS to review AHS IT resource needs and determine what the best available resource is, then complete this form to obtain AHS approval for the assignment.) **Funding Information:**

Requestor should direct funding inquiries to the AHS Business Office(s) responsible for funding the IT Resource's current assignment and proposed assignment.

Direct Advance Planning Document (APD) questions regarding funding boundaries to:

- AHS CO Business Office IT Financial Director – IAPD related - and
- DVHA Business Office Financial Director - OAPD related

NOTE: The Requestor is responsible for ensuring funding is available for the proposed assignment PRIOR TO requesting an employee perform activities outside the currently identified budgeted or funded activities.



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Steps:

1. ADS is expected to fill resources in accordance with the resources identified in the AHS/ADS MOU agreement. Assignments identified in the MOU agreement do not require this form unless there is an anticipated change to scope, schedule and budget.
2. Requestor identifies the need for a change in resources. This need could occur due to a number of events, such as:
 - a. A project ending;
 - b. AHS has requested a resource on an IT project;
 - c. A new IT project; or
 - d. An IT risk has occurred needing additional resources.
3. Requestor analyzes projects and staffing and resource assignments, then identifies a need for a new or reassigned resource.
4. Requestor confirms availability of the resource and funding for the proposed assignment and completes the form with input from AHS program or project staff, resource plans and Business Offices.
5. Requestor routes the form to ADS supervisor for review and approval.
6. Requestor routes the form to AHS CO Finance Director for review and approval.
7. If approved by CO Finance Director, then Requestor routes the form to AHS Department Business Office(s) for review and approval and continues routing until all approvals are obtained.

Section I - Requestor completes Sections I, II, III and IV of this form and submits it to Marie Hayward, AHS Central Office (CO).

All fields below in Section I must be completed or the form will be returned to the Requestor for completion and resubmission.

1. Requestor (First and Last Name): <input type="text"/>	2. Date: <input type="text"/>	3. Department: <input type="text"/>
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4. Requestor (Title): <input type="text"/>	5. Phone #: <input type="text"/>	6. Email: <input type="text"/>
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Section II - Requested Assignment

7. Is this a permanent work reassignment (i.e. the resource is not planned to return to old assignment)?
 Yes No

8. Activity/Resource being Requested:



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9. Time estimated for completion of reassignment (# of hours/week):

10. Is there schedule flexibility in requested work assignment?

Yes No

11. If so, please explain flexibility :

12. Projected Start Date :

13. Projected Completion Date:

14. Justification for Request :

15. Describe Work Backfill Plan:

Section III - Funding for New or Reassigned Resource (To be completed by Requestor in coordination with IT Resource's supervisor and Department's Business Office)

16. Current Assignment Funding Source:

17. Requested Assignment Funding Source (New or Reassigned):

18. Identify Program Codes :

Current:

Requested:



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Section III – IT Resource Information (To be completed by Requestor in coordination with the IT Resource’s supervisor)

19.IT Resource Name:

20.Position# or contract

21.Department of Current Assignment: vendor:

22.Current Work Assignment (Program, Project, Role):

Section IV – AHS/ADS MOU Impact

23.Will this reassignment result in an increase/decrease to the number of state employee IT FTE assigned to AHS?

24.If there is an FTE change, quantify and explain the change:

25.If this assignment requests a contracted position, fill in the explanation of a contractor vs. state employee:



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If approval is not obtained and/or the Incoming Department cannot identify funding available to support the request, the IT Resource may not perform the requested activity. The Requestor may escalate this request following their Department's process.

ADS Resource Supervisor Signature:

Date:

AHS CO Finance Director Signature (for IAPDs only):

Date:

Outgoing Department Business Office Approval Signature:

Date:

Incoming Department Business Office Approval Signature:

Date:

If reassignment is internal from one department to another, obtain the below signatures

Outgoing AHS Department Appointing Authority Signature: Date:

Incoming AHS Department Appointing Authority Signature:

Date:

AHS Appointing Authority Signature:

Date:

ADS Appointing Authority Signature:

Date:

Change Control Plan Revision History

Date	Version	Description	Author
9/27/18	Version 1.0	Approved Change Control Plan (CCP) Issued	Dixie Henry
10/18/19	Version 1.5	Draft of updated CCP	Kelly Gordon
12/10/19	Version 2.0	Approved Updated CCP Issued	Kelly Gordon