Appendix M

Contract Change Request Procedures

RFP 2 Commonwealth Enterprise Network (EN) and Shared Services

RFP NUMBER

6100039273

APPENDIX M
CONTRACT CHANGE REQUEST PROCEDURES

A.   General

This document describes the process and procedures to be followed by Commonwealth and Contractor when either Party wishes to make a Change (the "**Change Control Procedures**"). The Parties may, by joint agreement, amend or waive any part of the Change Control Procedures including, but not limited to, where the Parties agree that shorter or longer time frames are more appropriate.

B.   Definitions

The definitions for the Change Request Form and the actual form are located in table 1 at the end of this document.

C.   Objectives

The objectives of the Change Control Procedures are as follows:
1. To review each request for a Change (a "**Change Request**") to determine whether such Change is appropriate;
2. To determine whether a Change is within the scope of the Services or constitutes a New Service or is considered to be a change to the in-scope Services without constituting a change in the scope;
3. To prioritize all Change Requests;
4. To minimize the risk of exceeding both time and cost estimates, if any, associated with the requested Change by identifying, documenting, quantifying, controlling, managing and communicating:
    a. Change Requests,
    b. the routing for approval of Change Requests, and
    c. their disposition;
5. To document a Change whether or not such Change results in any extra charge.

D.   Change Requests

Either Contractor or Commonwealth may initiate a Change Request by uploading the completed Change Request Form, referenced in Section F, to the SharePoint Contract Change Request Library. The Change Request Form provides areas for a description, justification and impact to such change. Commonwealth will assign a unique number to any such request and will enter demographic data applicable to that Change Request in the Change Request Log as described in Section E below. Each Change Request that is prepared will be tracked by reference number applied to the Change Request to which it relates.

Each Party's respective Contract Compliance Manager or his/her nominated representatives will be responsible for reviewing and considering any Change Request.

E.   Effectiveness of a Change

1. Signed Change Requests:

Upon the signature of a Change Request by both parties, the contents of such Change will be deemed to be agreed and incorporated into the Contract on the date of the last signature or as the Parties may otherwise agree. All services added or modified by a Change Request will be "Services" under the Contract, and the performance of Change Request will in all respects be governed by the Contract. Except as expressly provided herein, no part of the discussions or interchanges between the Parties will obligate the Parties to approve any Change or will constitute an amendment or waiver of the Contract unless and until reflected in a Change Request and adopted in accordance with this agreement.

Neither Party will have any obligation to commence or comply with any Change, perform services that would be covered by any Change, or pay any Charges that would be covered by any Change, until such time as the Parties have signed the appropriate Change Request.

2. Acceptance Criteria:

Commonwealth's acceptance of, and payment for, work under other Change Requests will be subject to Commonwealth's approval that such work materially complies with the mutually agreed objective acceptance criteria set forth in the Change Request during an acceptance period designated in the Change Request. If Contractor's work under a Change Request does not comply, Contractor will correct such work and resubmit the Change for Commonwealth's acceptance.

F. Change Request Log

1. The Commonwealth will maintain the Change Request Log which will consist of, but not limited to, the following fields:
    a.   Number of the Change Request;
    b.   Name of the originating Party;
    c.   A brief description of the Change;
    d.   The current status of the Change; and
    e.   Date of registration of the Change Request in the Change Request Log.
2. The Commonwealth will provide the Contractor access to the log for reviews and report generation.
3. The status of the Change Request at any stage in Change Control Procedures will be one of the following:
    a.   Approved - change request is approved for signature
    b.   CMP - change request has been signed, schedules have been updated and are correct and services can be implemented
    c.   Pending Compliance, Supplier, Service Owner, or Management/OA Legal - change request is being reviewed by designated party for decision
    d.   Rejected
    e.   Cancelled - change request is no longer required
    f.   Under review - CCR is ON HOLD pending discussions or solution

G. Contract Change Request Form (CCR) (Form below not to be used when submitting a change, formal template provided)

OA/OIT – Contract Compliance – Contract Change Control

Contract Change Request Form

Change Request Number and Name:	VEN_CCR_			Related CR, Schedule, Contract Section #:	
Date Created:				Date Submitted to COPA:	
Description (Brief):					
Priority:	☐ URGENT		☐ ORDINARY		☐ LOW
Status: (Please Check)	Approved ☐	Pending ☐	Rejected ☐	Cancelled ☐	Completed ☐	On Hold ☐
Category: (Please Check)	Data Ops ☐	Voice Ops ☐	Security ☐	ESMS ☐	Support ☐	Contract X ☐

REQUESTOR INFORMATION	
Requestor:	
Requestor Email:	
Requestor Phone Number:	
Date Change Requested:	

COPA CONTACT INFORMATION	
COPA Contact:	
COPA Email:	
COPA Phone Number:	
Date Submitted:	
Target Date:	

SERVICES AFFECTED			
Service Name:			
Product Code:	Code:	☐ New Service	☐ Change Existing Service

FOR EACH PRODUCT CODE				
Unit Price:				
Amt of Increase/Decrease:				
☐ Increase * – (Reference Cost Impact Study)	☐ Decrease * - (Reference Cost Impact Study)	☐ Revised	☐ New Catalog Entry – Add new codes to Product Cat.	☐ No Unit Price Change

COST IMPACT				
Cost Impact – (None, brief description or attached doc):				
Technology: (check all that apply):	☐ New	☐ Revised	☐ Hardware	☐ Software
SAP Account Information, if applicable:	SAP Fund:		SAP Cost Center:	
Performance Impact:				
Business Justification:				
(*) NOTE: All statements that affect billing must be immediately forwarded to the Comptroller upon acceptance				

Commonwealth of PA   **Supplier**

_____   _____

Authorized Signature, Title   Authorized Signature, Title

Bureau   Department/Division

Date: _____   Date: _____

Table 1: Change Request Form Definitions

The data to be filled in on the Change Request Form are the following: **Change Request Information**	**Comments**
Change Request Number and Name	Chronological number of the Change requests plus a name that gives it meaning
Related CR/Contract Section #	Previous related CCR or Section of the contract affected by the change
Date Created	Date of creation of the Change Request
Date Submitted to COPA	Date when the Change Request was submitted to the Commonwealth
Description (Brief)	High level explanation of the Change Request
Priority	Priority options are Urgent, Ordinary, or Low
Status	The status of the change request, as described in section 3.0
Category	The change request is classified in one of the following categories: Data Ops, Voice Ops, Security, ESMS, Support or other contract (will be inserted at CCR review.
Requestor	Name of individual requesting the change
Requestor Email	Email address of the individual requesting the change
Requestor Phone Number	Phone number of the individual requesting the change
Date Change Requested	Date that the change is actually requested
COPA Contact	Individual from the Commonwealth who is the Point of contact for the Commonwealth in regards to this Change Request
COPA Email	Email address for the Commonwealth POC
COPA Phone Number	Phone number for the Commonwealth POC
Date Submitted	Date when the Change Request was submitted to the Commonwealth
Target Date	Date at which Commonwealth is expecting the Change to be implemented
Service Name	Name of the Service affected by the Change Request
Product Code	Code of the product/service and whether or not this is new or change to an existing service
Unit Price	The unit price of the product/service
Amt of Increase/Decrease	The amount of increase or decrease in price, plus whether this is a revision or new catalog entry or no unit price change
Cost Impact (None, brief description or attached doc)	Identify the cost impact of the requested change
Technology	Identify whether the technology is: new, revised, hardware, and/or software – check all that apply
SAP Account Information (if Applicable)	The SAP Fund and Cost Center
Performance Impact	Identify whether performance will be impacted by the requested change
Business Justification	The business justification for the Change Request

Contract Compliance Contract Change Control – Narrative

Step	Description	Owner
1	Supplier uploads Contract Change Request (CCR) into the SharePoint Supplier CCR Tracking Log.	Supplier
2	SharePoint notifications are sent to user as each new document has been uploaded to the CCR Libraries (log files).	CoPA
3	Contract Compliance reviews CCR – ensures it complies with agreement; validates all associated documents; identifies issues that may need supplier response and ensures the form has all required information to process the request.	CoPA
4	If CCR appears to have all information required to approve the request, proceed to Step 5. If CCR is not complete and/or requires clarification/response from supplier, proceed to Step 4a.	CoPA
4a.	Identify required information/clarification on the CCR and notify the supplier there is a need for additional information on the CCR.	CoPA
4b.	Supplier checks out the document, modifies the CCR with the requested information, checks CCR back in and process continues by returning to Step 2.	Supplier
5	CCR is routed to Subject Matter Expert(s) (SME) for review and approval.	CoPA
6	SME(s) review – if needed will check out document and identify concerns, add comments and check-in for continued approval routing.	CoPA
7	Compliance receives SharePoint notification that document has been checked in.	CoPA
8	Compliance reviews comments.	CoPA
9	Compliance responds to comments as necessary.	CoPA
10	Ready for Management/OA Legal review? If CCR is ready for Management/OA Legal review, proceed to Step 11. If CCR is not ready for Management/OA Legal review, proceed to Step 10a.	CoPA
10a.	Compliance prepares CCR for Supplier comment. Go to step 4a.	CoPA
11	CCR routed to Management/OA Legal for review.	CoPA
12.	Is CCR Approved? If CCR is approved, proceed to Step 13. If CCR is not approved, proceed to Step 10a.	CoPA
13.	Compliance notifies Supplier that CCR is ready for signature	CoPA
14.	Suppler signs and returns CCR to Compliance for OA signature.	Supplier
15.	Compliance adds CoPA signature and PDF's the CCR and associated documents and sends notification of CCR approval.	CoPA

Contract Change Control Workflow - SharePoint

Supplier

START

1. Supplier enters Contract Change Request (CCR)

2. SP auto-notification that documents have arrived

4b. Supplier corrects / edits doc (check out / check in)

GO TO STEP 3

14. Supplier signs and returns CCR to Compliance to obtain final OA signature

OA/Compliance

3. Compliance reviews doc for in scope and completeness

4a. Notify Supplier CCR not acceptable

4. In scope, complete, ready to process?

NO / YES

5. Determine SMEs and route for review

6. SMEs review – if comments or concerns identified, check out doc, add comments, check in.

7. Compliance notified of check in

8. Compliance reviews comments

9. Compliance responds to comments as necessary

10. Ready for Management review?

NO / YES

10a. Compliance prepares CCR for Supplier Comment

10b. GO TO STEP 4a

11. CCR routed to Management/Legal for final OA review

12. Approve?

NO / YES

13. Compliance notifies Supplier CCR ready for signature

15. Compliance PDFs CCR and files

END

Phase