Sample Change Management

Executive Summary

Corporate recognizes the importance of change management and the associated risks with ineffective change management. As such, we developed this Change Management Policy in order to address the opportunities for improvement and associated risks.

Purpose

The purpose of this policy is to describe the change management process, which details a process designed to:

* Minimize risk/impact
* Make sure changes are completed properly
* Capture the Appropriate authorizations.

Policy

* Change management policy applicable to system software, hardware, and application changes is documented and reviewed yearly by the Corporate Change Management and CORPORATE Compliance.
* Access to the ticketing system requires a unique user ID and password for authentication.
* All changes, including emergency changes, are documented in a tracking database.
* An authorized individual must approve all change requests (internal or Customer driven).
* All changes have a documented rollback and implementation plan based on documentation requirements as defined by the change management policy.
* All changes have a documented test plan based on documentation requirements as defined by the change management policy.
* Once the change is complete, an e-mail is generated for each change and sent to the Authorized Customer Representative.
* A weekly CMRB Meeting is held to review and approve (or reject) changes presented by the change requesters.
* The Author is required to submit changes to the CMRB (Change Management Review Board) for approval of the following types of changes:
  + Changes that affect multiple users of Corporate in-scope systems,
  + Changes that affect multiple customers,
  + Changes to shared infrastructure components,
  + Changes to service delivery systems, or
  + Changes to the Networking Core Distribution Layer.
    - The following requests require an expedited approval request:
      * Less than 10 business day’s notification for shared environment (from the scheduled CMRB Meeting).
      * Less than 4 business day’s notification for cloud infrastructure (from the scheduled CMRB Meeting).
* For customer requested changes, only an authorized representative, known as the signatory, can request a change.
* For internally initiated changes, the appropriate authorization must be granted by an internal resource, not the customer.
* The CMRB-approved change request must be completed between the Maintenance Start Date and Maintenance End Date stated on the CMRB-Approved CR (Change Request).

Enforcement

* Failure to comply with these policies may result in:
  + Withdrawal, without notice, of access to information and/or information resources.
  + Disciplinary action, up to and including termination.
  + Civil or criminal penalties as provided by law.

Scope

This policy applies to all systems, regardless of the data center location (detailed in Appendix B at the end of this document), including both Corporate in-scope and Customer hosted environments.

As a rule, a change has been made if the system is different after a task has been performed compared to how it was before.

Examples

* + Applying an application patch.
  + Installing full code sets.
  + Making setting or configuration changes through the interface.
  + Performing scripting updates.
  + Rebuilding a system.

Facilities Maintenance

For any periodic equipment service, system test or maintenance event, Critical Infrastructure needs to assess the potential impact (risk of cut-off of service) to the datacenter user community.

* + Corporate Critical Infrastructure is managed through the corporate Change Management Process. All of our protocols, procedures and flows are in the below site.

Exceptions

* + Projects (implementations, installs, de-installs, etc.) – tickets related to a project may not have all the standard details and may reference the customer’s process and step document.
  + Changes Exempt from Write-Up. Several types of changes are exempt from a change write-up because they impose little or no risk to the environment. For these types of changes, it is impractical or irrelevant to develop a write-up including the prep, rollback, implementation and test plans.

The exempt from write-up attribute is set with the event code.

An event code cannot be programmatically set to be exempt from write-up without approval from the Change Manager.

In addition, for changes that are NOT exempt from Write Up, a change ticket may have the Write Up tab fields “inactivated” if they set the Class field to “Standard”. These change tickets would not require the same field validation.

* Non-Change Management Customers - in instances where Corporate does not provide Change Management services, the customer approves their own changes, submits a ticket thru ITSM and the Change Management procedures only apply to the creation of a ticket for resourcing purposes.

Request for Authorization Email Process

This process occurs when….

The change ticketing system automatically requests authorization from the signatory unless the following is ensured:

* The requestor is a signatory

CMRB Approval Request

The Author is required to submit changes to the CMRB (Change Management Review Board) for approval of the following types of changes:

* Changes that affect multiple users of Corporate in-scope systems,
* Changes that affect multiple customers,
* Changes to shared infrastructure components,
* Changes to service delivery systems, or

Notes:

* Refer to the document Change Management Review Board Meeting Process for details on the CMRB process.
* Communication to multiple customers will be confirmed by the CMRB.

Expedited approval Process

The Expedited Approval process applies to those requests that cannot be reviewed and approved (at the CMRB). The following requests must submit an expedited approval request:

* Less than 10 business day’s notification for shared environment (from the scheduled CMRB Meeting).
* Less than 4 business day’s notification for cloud infrastructure (from the scheduled CMRB Meeting).

See the Change Management Expedited Approval Policy and Process document for detailed information on how to submit and approve an expedited change request.

Approval Exemptions

* Non-Impacting (Internal) Changes can be approved for execution as approved by the CMRB (at their approval/discretion).

Authorization

Note: Changes can be requested by the customer or by an internal resource.

Authorization for Customer Changes

For customer requested changes, only an authorized representative, known as the signatory, can request a change. Instruction to perform a change is only valid if submitted through the portal-based ticket system or if authorized by e-mail. The customer must authorize any change affecting data or application functionality.

Authorization for Internal Changes

For internally initiated changes, the appropriate authorization is granted by an internal resource, not the customer. There is currently no restriction on any internal resource that may authorize and internal change (aside from the CMRB – see below)

Change Management Review Board

The Change Management Review Board (CMRB) reviews all change requests that are submitted to the CMRB via Remedy.

The CMRB meets weekly to review any changes that have been submitted to the CMRB (and are in a Submitted state (CMRB Approval = “Submitted”) in Remedy).

The purpose of the meeting is to:

* Identify potential problems.
* Identify scheduled conflicts.
* Provide intergroup discussion.
* Ensure customer communication is planned
* Ensure approvals are secured.
* Ensure communication of all changes within the organization is planned.

The scope of the CMRB review is to ensure that the change control process has been followed such that the Remedy ticket is filled out properly (Implementation, Testing, and Back-out plans exist), all management approvals have been obtained, and all necessary communications are planned before implementing a change.

Failed CMRB Approved Tickets

The CMRB-approved change request must be completed between the Maintenance End Date and Maintenance End Date stated on the CMRB-Approved CR.

* If for any reason (perhaps, an availability issue with an internal resource or vendor resource) the change request cannot be completed between the Maintenance End Date and Maintenance End Date stated - the CR must be updated in the following manner:
  + The Status must be marked as Closed / Closed Canceled.
  + The Change Successful Flag (in the Write-Up tab) must be set to “No”
    - Then, if the Change Owner would like to reschedule the change they must resubmit an updated or new change request (CR) and submit to the CRMB for approval.

To clarify

* + If a change is starting late for some reason, but can be executed between the Maintenance End Date and Maintenance End Date stated on the CMRB-Approved CR – the change must proceed as planned/approved.

Note: Change Approval and Rejection

Some key elements to review prior to approval or rejection of a change ticket are as follows:

* When is the change scheduled to be implemented?
* What asset/system is being affected?
* How long will the change take?
* What is the change being implemented? (Change Description)
* What is the customer impact?
* Is there a documented implementation plan?
* Is there a written back out plan?
* Is suitable time allocated for implementation?
* Is there a communication plan?

Roles and Responsibilities

* Change Requestor – This person is appropriately authorized to instruct a change to be performed. They may be an internal resource or external customer.
* Change Initiator – This is an Internal Corporate resource responsible for the entire life of the change. They will confirm authority, determine acceptance contact, create and update the CR, and assign to the Change Author. The Change initiator may defer to the engineers as needed.
* Change Author - Internal Corporate resource responsible for the technical scope and results of the change
  + System Preparation, Advanced Testing & Rollback plan
  + Implementation & Test plan
  + Acceptance Plan
  + Gain CMRB approval, as needed
  + Schedule implementation resources
  + Ensure successful completion of the change
  + Own non-successful change to repeat or not
  + Verify the CI as well as change window
  + Assigns Implementer

Change Implementer – This is the individual responsible for executing the change as defined in the CR.

Post-Implementation Steps

Note: for tickets with a “Write Up” tab

Successful Change

Definitions & Exceptions

| **Term** | **Definition** |
| --- | --- |
| Approved Change | A change that has been reviewed and accepted by all assigned approvers. |
| Change Ticketing System | A client software tool used for recording, tracking, and communicating change request information. |
| Change Management | The process that protects our customers from changes that are potentially disruptive or have unacceptable risk associated with it. |
| Change Author | Internal Corporate resource responsible for the technical scope and results of the change |
| Change Implementer | Internal Corporate resource responsible for performing the change |
| Change Initiator | Internal Corporate resource responsible for the entire life of the change, ensuring progress and completion |
| Change Requester | Person appropriately authorized to instruct a change to be performed |
| CMRB | The Change Management Review Board |
| Critical Infrastructure | A CORPORATE team charged with executing facilities changes |
| Customer - External | This is a customer that is a customer of Corporate. |
| Customer - Internal | This is an internal team with Corporate – or one of it’s vendors. |
| DCW | Daily Change Window |
| ECW | End Change Window |
| Emergency Change | A change being implemented to correct a documented problem. |