

AUGUSTA, GA INFORMATION TECHNOLOGY



CHANGE MANAGEMENT POLICY & PROCEDURES

September 28, 2012

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AUGUSTA IT CHANGE MANAGEMENT

This Change Management Policy & Procedures Manual defines the steps necessary to implement and maintain Change Management (CM) processes for the City of Augusta, GA Information Technology (IT) Department. This document will establish a foundation of what *change* and *change management* are, define the items needed for effective CM, establish the roles of the people involved, describe the actual steps of the CM process, and specify how they can be accomplished.

OBJECTIVE OF CHANGE MANAGEMENT

The objective of CM is to minimize the adverse impact of required changes on system integrity, to preserve security, to honor service level agreements, to enable the coordination and planning of changes in order to provide a stable production environment, and to maximize the productivity of persons involved in the planning, coordinating, and implementation of quality changes.

AUGUSTA IT PHILOSOPHY OF CHANGE MANAGEMENT

Augusta IT is responsible for dozens of servers and hundreds of software applications (including related modules, services, and interfaces) that are used by a diverse group of end users with responsibilities encompassing all areas of municipal government. Technology is thoroughly ingrained in most city departments, and therefore any change has the potential to be significant. It is therefore critically important to manage change in a proactive and effective manner.

Conversely, Augusta IT also has limited resources with which to work, and the philosophy that IT is adopting to deal with change has been maximized to ensure that the resources (personnel and otherwise) that can make a effective impact on the CM process are incorporated into the process. Extraneous and productivity-disabling Change Management procedures have been streamlined in order to reduce the negative impact on IT staff and end users.

DEFINITIONS

It is important to begin with common definitions for certain Change Management concepts in order to establish a foundation for what change and change management are.

Change - the addition, modification or removal of anything that could have an effect on IT Systems and/or Services.

Change Advisory Board (CAB) - The Change Advisory Board oversees change procedures, validates and approves documented changes (TOPS) and reviews and approves all system changes. The CAB is responsible for reviewing the information provided in every change request in order to ensure that the changes are sufficiently researched, documented, planned, and executed.

Change Coordinator (CC) – The Change Coordinator is responsible for initiating the change and managing it through to its completion by researching the need for change, gathering input from the Technical Advisory Committee (TAC), presenting the changes to the Change Planning Review Team

(CPRT), providing information and getting approval from the Change Advisory Board (CAB), and then executing, evaluating, and documenting the change. For most IT projects, the CC also serves in a communications role, and therefore takes on the responsibilities of the *Customer Communicator* that is defined later.

Change Management (CM) – the process of documenting a change, reviewing the potential impact of that change, controlling the timing of the change and, upon completion, verifying the completeness of the change.

Change Manager (CMGR)- The Change Manager is a member of the IT staff who is responsible for changes in a particular area of responsibility (specifically, the three major divisions of IT). In addition, based upon the information provided, the Change Manager should verify that all scheduled changes do not conflict with each other. The Change Manager has the authority to at any time defer any change which they feel to be improperly classified, lacking information or which in any way represents a potential problem that will affect Augusta's systems availability or network integrity.

Change Planning Review Team (CPRT) – A group that meets to review project planning, evaluate and determine a resolution method for technical conflicts, and identify potential CM concerns before they become problems. The CPRT will review projects that the various ad-hoc TAC groups are working on and determine if there are additional steps that need to be taken to ensure that the planned change is handled effectively. Problems identified by the CPRT will be remanded to the TACs so that they can resolve them. In all cases, the status of projects will be reported to the CAB.

Customer Communicator (CC) - The Customer Communicator is a member of the TAC for a given project. Usually the Customer Communicator and Change Coordinator are the same person if the project is initiated from the BAS Group, but it may fluctuate depending on the type of project that is being planned. The CC is responsible for making sure that the customer is informed of a change and any potential outage it may cause before the change is made. Each change request should contain a communication plan that if necessary, is coordinated with the CC and contains information on when and how any affected users are to be contacted and informed about the change. The Customer Communicator has the authority to at any time defer any change for which they believe the communication plan has not been followed or is insufficient for further review by the CPRT and the CAB.

Change Request (CR) – A broadly-defined term that describes the overall process of requesting validation of a change. The CR is composed of different pieces depending on the type of change and the Project Management documentation method.

Emergency Change – A change to systems that requires circumvention of the specific change management process in order to meet an immediate and critical need. Such a change should still involve as much approval and management as is practical, and in all cases should be recorded appropriately.

Implementation – A major change to a system or systems that is typically planned in advance and requires a lengthy procedure and associated documentation. This usually applies to new software packages or major changes to existing packages that require a coordinated planning effort.

Master Project Management Guide (MP) – The Master Project Management Guide is a lengthy document that is intended to provide explicit management steps for most of the projects managed by IT. A project leader will create a MP for a project that they are responsible for, place it on a portal site that they have created specifically for the project, and then populate the MP with information related to the parameters and progress of the project. The MP has specific task items included that are related to Change Management concerns for the project. Templates for the various types of MP are located on the IT Portal in the Policy and Forms Management section (coded as Project Management documents).

Modification – A minor alteration to a system that is brought on by a change in user requirements or a technical problem. Typically only affects one process or function in a system.

Normal Change – For purposes of record-keeping in Track-IT, a Normal change is a change to end-user or IT systems that requires adherence to the standard change management process as defined in this policy. Change types classified as Minor, Moderate, and Major should all be classified as Normal changes, with Emergency changes being the only exception.

Service Level Agreement (SLA) – is a part of a service agreement where the expected level of service is formally defined. In everyday practice, the term *SLA* is sometimes used to refer to the contracted delivery time (of the service) or performance based on the type of problem or change that is encountered.

Subject Matter Expert (SME)- The Subject Matter Expert is the person who will coordinate a change and provide information for the Change Management Process. This does not mean that the SME is necessarily the one who is implementing the change, just that they are knowledgeable about the change, can provide any information needed and will make sure that the process is followed by the actual person or persons implementing the change. In most cases the SME enters the change information to the Change Management System and attends the Change Advisory Board meetings regarding the change.

System Modification – A change to source code, system tables, reports, etc. that represents a departure from the original version of software that was originally implemented.

Technical Advisory Committee (TAC) - The technical advisory committee is not a “fixed” body of persons at Augusta IT. The TAC is a body that can fluctuate depending on the scope of the change which is being planned, and operates on an Ad-Hoc basis based on a specific initiative or project. The TAC reviews the change-related issues for each project regarding their technical correctness and their possible impact on the production environment. The TAC provides recommendations to the Change Manager, who documents technical concerns so they can be addressed and reported to the CAB during the project planning process. The TAC for a project/initiative meets regularly.

The TAC will involve more or fewer personnel as CM issues are discovered and resolved. As the TAC proceeds with its work, it will filter information to the Change Planning Review Team (CPRT), which is a group of personnel that meets monthly to review major IT technical initiatives. If the CPRT reviews the TAC’s recommendations regarding a project and sees no technical issues that have been left unresolved, then the matter will be reported to the CAB as “ready to proceed”.

It has been stated that the TAC fluctuates depending on the scope of the change being planned. IT maintains default lists of personnel that should be involved for each major change based on the type of change. For business software CM, this list is stored in the BAS Application List which is located on the IT intranet portal site in the BAS area. A link is provided in the IT policy and documentation home page for these lists to provide easy access to all IT personnel.

Trusted Operating Procedure (TOP) - a routine change that has been proven to be performed the same way every time and should not require the same level of review each time. It should be sufficient to conduct these changes according to an agreed upon, well-documented and well-tested procedure.

Update – A group of minor alterations or modifications to an existing system that is brought on by a change in user requirements or a technical problem. Typically affects multiple processes or functions within a system.

Upgrade – A major change to an existing system, similar to an Implementation defined above.

PROCESS CONSIDERATIONS

In order to effectively accomplish the objectives defined in this standard, the CM Process must incorporate the safeguards listed below. From a business software CM perspective, many of these are addressed in the MP document:

- Ensure the documentation of all proposed changes prior to the modification of the production environment.
- Confirm technical completeness: accuracy of technical impact and risk analysis plans for final test, install, back-out and recovery, and identification and review of all technical dependencies including effect on concurrent changes.
- Guarantee that the timing of change executions does not conflict with the business cycles or priorities.
- Verify the documentation of actual change installations and/or change back-outs; to enable communication of change results, to provide a history of changes, and to support the maintenance of systems documentation.
- Service Level Agreements / Vendor Maintenance Agreements (since many changes must be coordinated with Vendors and their cooperation is critical).
- Scheduled Maintenance
- Monitoring and Alert Escalation
- Scheduled Backups
- Control of Emergency Changes

CHANGE MANAGEMENT TOOLS

Augusta uses the following tools to facilitate Change Management processes and record-keeping:

- Track-It
 - Inventory of Desktop Equipment
 - Inventory of Network Resources (servers, switches, etc)
 - Change Calendar (Subset of Project List)
 - Tickets for Change Management events
 - Priority 7-Normal Change
 - Priority 8-Emergency Change
- BAS Application List (SharePoint)
 - Inventory of applications, modules, interfaces, services, etc. supported by BAS Group
- IT Structure
 - Project Leaders within the BAS Group communicate regularly with the end users and serve as liaisons with business software vendors that are under contract with Augusta.
- Change Management Portal Page
 - Trusted Operating Procedure List (SharePoint custom list)
 - Change Planning Review Team Agenda
 - Microsoft Updates List (SharePoint custom list)
 - Change Management Policy (this document)
 - Change Management Checklist Template

The Change Management Portal Page looks like this:

Home - Change Management - Windows Internet Explorer

http://augwebv017:8080/sitemap/itdept/ITPolicyMgt/ChangeManagement/default.aspx?PageView=Shared

City of Augusta

Change Management

City of Augusta > Site Map > Information Technology Department > IT Policy Management Home > Change Management

Site for tracking and managing IT change management issues and topics

Announcements

There are currently no active announcements. To add a new announcement, click "Add new announcement" below.

[Add new announcement](#)

Change Planning Review Team (CPRT) Agenda

Assigned To

Title

There are no items to show in this view of the "Change Planning Review Team (CPRT) Agenda" list. To create a new item, click "Add new item" below.

[Add new item](#)



Information Technology
Augusta Georgia

Sites of Interest

There are currently no favorite links to display. To add a new link, click "Add new link" below.

[Add new link](#)

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TECHNICAL ADVISORY COMMITTEE (TAC)

The TAC for Augusta projects is composed of all IT personnel who will be involved in /affected by the change. The population of the TAC will change based on the type of project/change is needed. For example, a project involving a major software upgrade which includes vendor access to the system, a web component, custom interfaces to other major systems, and user profiles pulled from Active Directory will be more complex and require more personnel than a minor change like a one-version software upgrade that only requires installation to be satisfied. The Change Coordinator is to use multiple tools (SharePoint, Track-It, and the MP) in order to create groups and apprise personnel of their roles in any change management endeavor.

TAC involvement is understood to be applicable at ANY step of the CM process. The Change Coordinator will report on TAC discussions and proposals at the CPRT meeting(s).

THE CHANGE PLANNING REVIEW TEAM (CPRT)

DESCRIPTION AND PARTICIPANTS

The Change Planning Review Team (CPRT) meets monthly and is composed of multiple personnel within IT, including:

- Deputy Director for Business Application Services
- Deputy Director for Technical & Infrastructure
- Client Support Services Manager
- Project Leaders (all)
- System Administrator(s)
- Database Administrator(s)
- Network Supervisor
- Others as needed

The objective of the CPRT is to review project planning, evaluate and determine a resolution method for technical conflicts, and identify potential CM concerns before they become problems. The CPRT will review projects that the various ad-hoc TAC groups are working on and determine if there are additional steps that need to be taken to ensure that the planned change is handled effectively. Problems identified by the CPRT will be remanded to the TACs so that they can resolve them. In all cases, the status of projects will be reported to the CAB.

MEETINGS AND AGENDAS

The CPRT shall meet monthly in the IT Conference Room (or other specially designated location) on the second Tuesday of each month at 2:00PM. Meetings are to be no longer than one (1) hour except in case of emergency.

The *general* agenda of the meeting is as follows:

1. Emergency Issues

2. Change Calendar Review
3. Old Business (ongoing project issues that were discussed at the previous meetings)
4. New Business (new projects or problems that have come up since the last meeting)

Any member of the CPRT may place a meeting on the agenda for discussion by going to the IT Change Management Portal Page and placing an item on the agenda.

The CPRT can be called together for emergency meetings when issues arise that require input from the group.

CHANGE CALENDAR REVIEW

To see the entire departmental Change Calendar, simply bring up Track-IT, go to the Help Desk module, and filter the list of tickets so that the following are shown:

- Priority = "5-Project"
- IT Internal = "Change Management"
- Status = "Open"

Sort the results by date.

THE CHANGE ADVISORY BOARD

Change Advisory Board (CAB) - The Change Advisory Board oversees the formulation of change procedures, validates and approves documented changes, and reviews and approves all *non-conforming* changes on a regular basis. The CAB is responsible for reviewing the information provided in every change request in order to coordinate those changes and assure as much as possible that each change has only the predicted impact.

The Change Advisory Board (CAB) is comprised of one (1) manager from each major division within the IT Organization. This group is also known as the IT Executive Team. It has the following members.

- Director of Information Technology
- Assistant Director for Business Application Services
- Assistant Director for Technical & Communications
- Client Support Services Manager

CAB meetings are incorporated as-needed into the IT Manager's Meetings that are held weekly. These meetings may be substituted by an exchange of email or a discussion thread via the IT portal (Change Management Tracking page). Matters brought before the CAB must have approval of three of the four members of this team. In the case of a tie, the Director of IT shall make a final decision on a matter.

The standing format for each meeting is:

1. Review all ongoing projects / change management requests
2. Review all new projects / change management requests
3. Review any Trusted Operating Procedure (TOP) approval requests
4. Review all changes that took place the previous week
5. Questions & Answers
6. Recap
7. Adjourn

It is the responsibility of the CAB Member in charge of the project/initiative area of responsibility to address the rationale and ramifications of each proposed change.

The CAB will notify requestors by email of the status of their change.

CHANGE MANAGEMENT APPLICABILITY

This section provides the policy background for the depth of response required for various CM activities.

WHEN DOES CHANGE MANAGEMENT APPLY?

In order to meet Augusta IT's goal of managing change in a practical and responsible manner, the following projects/changes, etc. are all subject to this change management policy and the associated processes:

Project Type	Does it need CM?	How is CM Managed?
Major Business Software Implementation & Upgrade Projects (example: IFAS)	Yes	Master Project Management Plan (Major Project Edition)
Minor Business Software Implementation & Upgrade Projects (example: BalanceAAP)	Yes	Master Project Management Plan (Minor Project Edition)
Major Business Software Modifications & Updates	Yes	If users will be affected, use MPMP (Minor Project Edition) If this should be seamless to users, use Track-It and the CM checklist.
Minor Business Software Modifications & Updates	Yes	If users will be affected, use MPMP (Minor Project Edition) If this should be seamless to users, use Track-It and the CM checklist.
In-House Software Implementation & Upgrade Projects	Yes	Master Project Management Plan (In-House Project Edition)
In-House Software Modifications & Updates	Yes	Track-IT (Project & Assignment entries)
Department-Wide / Enterprise-Wide Desktop Operating System Upgrades	Yes	Track-IT! IT CM Checklist
Department-Wide / Enterprise-Wide Desktop Productivity Software Upgrades	Yes	Track-IT! IT CM Checklist

Project Type	Does it need CM?	How is CM Managed?
Database Upgrades	Yes	Track-IT! IT CM Checklist
Network Equipment changes that require end-user / application downtime	Yes	Track-IT! IT CM Checklist
Server changes that require end-user / application downtime	Yes	Track-IT! IT CM Checklist
Desktop Computer Replacements (department-wide related to replacement cycle)	Yes	Track-IT! IT CM Checklist
Push of security and other system patches from Operating System and Hardware Vendors	Yes	Track-IT! or notice on CM Portal page
New Construction / Major Renovations	Yes	Track-IT! IT CM Checklist
Business Analysis	No	This type of project may inspire or identify a need for a change, but it is not a change itself.
Minor Tweaks, changes to Desktop System Settings	No	Track-IT! ticket only
Individual desktop equipment (computer, printer, scanner, etc.) repairs and/or replacements	Yes	Track-IT! ticket only
MAC (Move-Add-Change) Processes involving <i>minimal</i> modifications or effort	Yes	Track-IT! ticket only
Implementing Social Media for a Department (as long as the type (twitter, Facebook, etc.) has been done before)	Yes	Master Project Management Plan (Web Project Edition)
Mobile Application Development	Yes	Master Project Management Plan (Mobile Project Edition)

Project Type	Does it need CM?	How is CM Managed?
Simple Modifications to a Web Site	Yes	Track-IT! ticket only

SYSTEM MODIFICATIONS

A *System Modification (SM)* is any change to source code, system tables, reports, etc. that represents a departure from the original version of software that was originally implemented. There are two types of System Modifications that we are concerned with:

- In-House: A SM that takes place on an in-house developed and maintained application, interface, program, etc.
- Vendor: A SM that takes place on a vendor-developed and maintained application, interface, program, etc.

Typically, SMs arise when there is a technical problem that requires a modification to correct or an end user identifies new functionality that they would like to see in a software package. IT has different responses based on the originator of the application, as described below.

IN-HOUSE SYSTEM MODIFICATIONS

Implementations and Upgrades

Implementations of new in-house software and upgrades of existing in-house software are to be governed according to the *Master Project Management Plan* process that is referenced in this policy. These are treated as Normal changes.

Modifications / Updates

Planned modifications existing in-house software are to be recorded in Track-IT and managed accordingly. These are treated as Normal changes.

Emergency/Unplanned Modifications & Updates Changes

These changes can be treated as Emergency Changes and should be implemented according to the Emergency Change requirements found later in this document.

VENDOR-DEVELOPED SYSTEM MODIFICATIONS

Planned Implementations and Upgrades

Implementations of new vendor software and upgrades of existing vendor software are to be governed according to the *Master Project Management Plan* process that is described in this policy. These are treated as Normal changes.

Modifications / Updates

Planned modifications of existing vendor software are to be recorded in Track-IT and managed accordingly. These are treated as Normal changes.

Emergency/Unplanned Modifications & Updates Changes

Often, end users experience problems with their software and/or systems that require a vendor to gain access to the server on which their application software resides. The relationship between Augusta IT and Vendors is predicated on our Vendor Access Policy, which dictates how they are to connect to us. Typically, the Project Leader (PL) is the key person that initiates the Vendor Access Request. In some

cases (but not all), the vendor may determine while they are remotely connected to a server that a change is necessary. These changes can be treated as Emergency Changes and should be implemented according to the Emergency Change requirements found later in this document.

BUSINESS SOFTWARE PROJECTS

HOW ARE CHANGES AND PROJECTS INTERRELATED?

Changes and Projects can be very closely related. Almost all IT projects will spawn change requests because the projects are related to implementing or upgrading software or equipment.

In addition to being a work order tracking system, Track-IT is IT's project tracking system. All projects that IT performs have a record in Track-IT, along with many of their subordinate tasks. Track-IT does indeed have a Change Management Module, but it has been developed for a "ticket-based" model of Change Management rather than a "project-based" model, which reduces its utility in our environment since so many of our changes are related to ongoing, multi-step/phase projects. For instance, if a new project is created, and Track-IT recognizes the format as one that should spawn a change management work order, then it will do so immediately, even though the project might not be due for a year. For this reason, it is the responsibility of the CC to create a change management ticket in Track-IT in the appropriate timeframe during the planning of the project.

If a project will involve coordination among multiple IT groups or personnel, the person who creates the project entry in Track-It should 1) go to the "IT Internal" drop down box on the "Classification and Schedule" tab, and 2) choose the "Change Management" option. This will be discussed in more detail later.

PROJECT DOCUMENTS

Even though Augusta IT uses Track-IT for project *tracking*, Track-IT is NOT capable of performing the detailed level of work needed to be an effective project *management* system. Multiple documents have been created in order to support IT project management tasks. These documents are referred to as "Master Project Management Plans" (MP) and they exist for multiple kinds of IT projects. The templates for these projects are located on the IT Policy and Forms Management portal.

Gathering information about customer needs, assembling system requirements, putting together details about the technical environment, and developing plans to change or implement a technology solution are all covered in the various MP documents. These details are also crucial for effective Change Management. It is the responsibility of the project leader/manager to assemble all the details related to the project in the Master Plan, since that document is the long-term resource for storing the project-related data. Since the data gathered for project and change management overlaps, it should be handled according to the following steps:

1. The PL / CC should create a portal site for the project and put all project-related document into the site for use by the project team. The Project Leader / Change Coordinator should compile the project management information in the MP document or portal page *first*. This may include meetings with the TAC, etc. in order to get all the information put together.
2. The PL / CC should create a Track-It ticket for the project (Priority = 5-Project). If this is a long-term project and we are multiple months away from implementation, then at this time there is no

need to put in a Change Management event, since the purpose of this step is simply to get the project on the project list. To indicate that this should go on the Change Calendar, the Project Leader should choose “Change Management” from the “IT Internal” drop-down on the Track-It entry screen for this project. This puts the event on the calendar (even though it has not been officially “approved”) so that it can be assessed against other projects and resources.

3. When all relevant data for the change management process has been gathered and is unlikely to change, the PL should create a ticket in Track-It, associated with the main project, for 7-Normal Change or 8-Emergency Change (not usually associated with projects). This will initiate the approval process for the Change Managers. This may take place many months after the project entry in Track-It has taken place.
4. Any changes in Change Management parameters for the project should initiate a new ticket on the project so that the Change Managers can be apprised of the new information and have the opportunity to approve of the changes.
5. Once approval is received from the Change Managers, the project can be carried out according to its requested timetable. Prior to that time, the project is in a “provisional” state where planning and resource assignment can (or must) take place, but it should not be implemented until the Change Managers approve.
6. At ALL points of this process, the MP document / project portal page is the ultimate authority for the details related to the project and associated changes. It is the responsibility of the PL to keep this information current.

The steps described above can take place over several months for large projects.

CHANGE MANAGEMENT CHECKLIST TEMPLATE

A Change Management Checklist Template exists for events / projects that do not need a full-fledged tracking mechanism. The checklist is suitable to be filled in and attached to the Track-It ticket for the change so that the Change Manager(s) and the Change Advisory Board (CAB) can have the information handily available. The checklist is located on the IT Change Management portal page. It is also included in this document as Appendix 1.

SECURITY AND SYSTEM PATCHES

When it is necessary to automatically distribute or “push” a release of a security or other system patch for an operating system, it is the responsibility of the Technical & Infrastructure Group to manage the event. In everyday, there are very few changes that ever take place which cause technical problems with city systems, so these are generally regarded as “trusted operating procedures”. Even though these are typically routine events, there are occasions where system problems arise after a patch is applied. For that reason, documentation is necessary and the following sequence of events should take place with each push. Please note that entry onto the Change Calendar as well as advance approval of the CAB is NOT required for these events.

1. Receive notice that a patch is ready to be applied.
2. Create an email that includes the following information:
 - a. A list of update packages that must be installed
 - b. When they will be applied
3. Send the email to the following locations:

- a. Assistant Director for Business Application Services
 - b. Assistant Director for Technical and Infrastructure
 - c. Client Support Services Manager
 - d. SharePoint email group *MSchange@augustaga.gov*
4. Apply patches to servers & desktops as needed

The link below goes to the Microsoft Change Management Communications library:

<http://augwebv017:8080/sitemap/itdept/ITPolicyMgt/ChangeManagement/Microsoft%20Change%20Management%20Communications/Forms/AllItems.aspx>

THE CHANGE MANAGEMENT PROCESS

It has already been established that IT supports many applications with a varied customer and vendor base, meaning that a one-size-fits-all CM Process is not only impractical, but it is crippling and detrimental to the effectiveness of the department. To compensate for this situation while still maintaining effective control over CM, IT has developed the workflow model described in the following pages.

GENERAL PROCESS OVERVIEW

The complete change management process consists of the following steps.

1. Identify the Need for a Change
 - 1.1 Determine who is the Change Coordinator
 - 1.2 Determine who is the Change Manager
 - 1.3 Determine who should be on the TAC
 - 1.4 Identify which systems are affected by the change
 - 1.5 Identify the customers that are affected by the change
2. Project entered into Track-IT and coded as “Change Management”
3. Determine the Risk
4. Determine the Impact
5. Determine the Type of Change
6. Determine the Change Schedule and Record in Project Plan
 - 6.1 Confirm with all IT personnel resources that the proposed LIVE Date works with their schedules
 - 6.2 Confirm with all end users that the proposed LIVE date works with their schedules
 - 6.3 Set Service / Software Outage Time / LIVE Date (if needed)
 - 6.4 Start Date and Time of outage
 - 6.5 Start Date and Time of change (record in project tasks the actual tasks that will need to be done and who is responsible)
 - 6.6 End Date and Time of change
 - 6.7 End Date and Time of outage
7. Develop Test Plan
8. Develop Rollout Plan
9. Develop Change Confirmation Plan
10. Develop Rollback Plan
11. Implement Test Plan

12. Review Change Information
13. Create a Change Management Work Order in Track-IT
14. Approval / Rejection of the Change or Return to an Earlier Step to Correct Problems
15. Communicate the Impending Status of the Change to the TAC & Customers
16. Implement the Change or Reschedule as Needed
17. Record Change Status (Successful or Not)?
18. Communicate the Completion Status of the Change to the TAC & Customers
19. Close any open Track-IT tickets related to the change as appropriate

STEP 1: IDENTIFY THE NEED FOR A CHANGE

As soon as it is determined that a change to the Production Environment will be required, the staff member in charge of the change needs to begin the Change Management Process as defined here. The staff member who will address all aspects of the change is called the *Change Coordinator (CC)*. The CC is responsible for keeping the change request updated with any additions or changes.

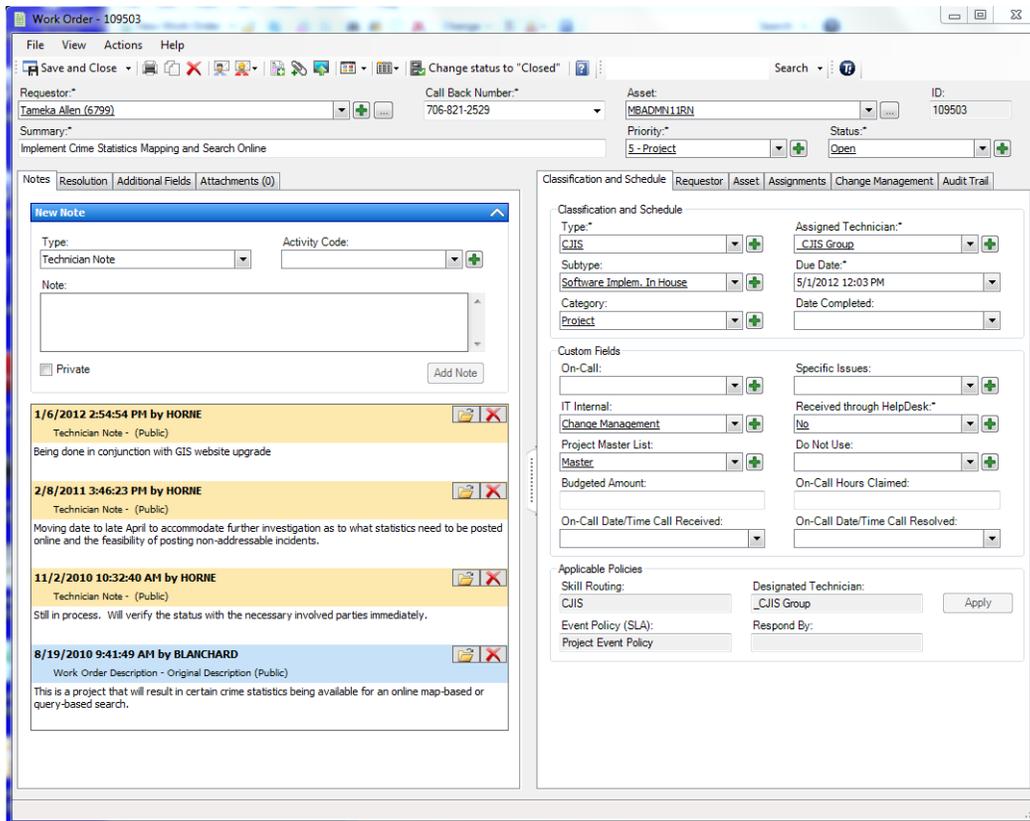
It is important that the Change Management Process be started as soon as the need for the change is identified, even if the full details of the change are not yet known. Early entry into the Change Management Process assures the change is captured on the IT Project List and/or in Track-It so that all affected parties can be apprised of the need for cooperation. "Affected Parties" refers to the potential members of the TAC, who should be identified here, as well as the customers and systems that will be affected by the projected change.

The change request can be altered and expanded as required as the date of the change gets closer.

The CC will need to tailor the CM process to account for the various characteristics of the change, including Change Type, Risk, Impact, Testing, etc. For example, a Major Change Type will require multiple planning meetings and regular updates to the CAB. The initial presentation of the need for a change should be presented to the CPRT Meeting, and then reported to the appropriate manager(s) so that the change can be reported to the CAB.

STEP 2: CREATE A CHANGE CALENDAR ENTRY

In this context, the "Change Calendar" is defined as the IT project list in Track-IT, with projects marked as "Change Management" in the "IT Internal" drop down box that is on the Classification and Schedule tab. For example, the project below has been marked for Change Management.



To see the entire departmental Change Calendar, simply bring up track it and filter the list of tickets so that the following are shown:

Priority = "5-Project"
 IT Internal = "Change Management"
 Status = "Open"

Sort the results by date.

It is the responsibility of the Change Coordinator to enter the project and make changes to the dates (as needed). Additionally, the Change Coordinator is expected to enter the following information in their *project plan*, or on the *Change Management Checklist* if they are not preparing a full-fledged BAS-style project plan:

- Change Coordinator Contact Information
- Risk Level
- Impact Level
- Change Window
- Change Type
- Description of the Change

- General list of applications impacted by the change
- General list of assets impacted by the change
- General list of users impacted by the change
- Start Date and Time of change
- End Date and Time of change
- Checklist of actions to be performed including rollback points and criteria
- A Communication Plan including information for the Service Desk to send to the users
- Test Plan to validate the change was successful
- Rollback Plan in case the change is not successful
- Justification or reason for change

If the Change Coordinator is using the Master Project Management Guide (or a variation thereof), there are places in the document where this information can be filled in. If the project is not of that magnitude, the change can be tracked using the CM Checklist template located on the Change Management portal.

Fill in the plan / checklist with as much detail as you have available at this time. If you are tracking your project events and providing the details in a separate document (such as the Master Project Management Guide used by the BAS Group, you can indicate “See Project Plan” on the Track-It ticket. You should be prepared to paste the link to your project in this calendar event so that everyone who needs to review it can do so.

At this point in the process, the **CC does not need to seek approval for this project.** This is the gathering place for project-related information that will be needed going forward as we plan the project. Once the project is on the Change Calendar, it becomes a potential subject for the monthly CPRT meetings. When all the details are in place, this will be submitted for approval by the CAB. This will be done via a Track-It ticket that will be created at the appropriate time (in a step that will be discussed shortly).

STEP 3: DETERMINE THE RISK

Risk is a measure of how the proposed change will affect the actual components of the Production Environment being changed, the remainder of the Production Environment, and the any resources required to complete the change or to recover from the change should a rollback be necessary.

The risk level definitions provided here are only meant as guidelines to establish a common terminology to be used in assessing risk and assigning a value. It is the responsibility of the Change Coordinator to fully justify in the change request their reasoning for assigning a particular risk level to their change and failure to do so may result in their change being deferred until such an explanation is provided or clarified to the Change Advisory Board’s satisfaction.

None – The change, communication and back out procedures have been well documented, repeatedly tested and proven to have no impact on any production software or hardware. Work is to be performed strictly according to the pre-approved documented instructions. (TOP)

Low – The change, communication and back out procedure have been tested and proven to impact only part of a single application and/or a single piece of hardware. Work is to be performed outside of a defined maintenance window but the production software or hardware to be changed will not be significantly affected by the change and the remainder of the production environment will not be affected. The user has agreed to the change and the time. All required resources have been contacted and are confirmed to be available for the change timeframe.

Medium – The change, communication and back out procedure have been tested and proven to impact a single application or piece of hardware. Work is to be performed in a predefined application maintenance window, the production software or hardware to be changed will not be significantly affected by the change and the remainder of the production environment will not be affected. All required resources have been contacted and are confirmed to be available for the change timeframe.

High – The change may or may not have been tested and likely impacts more than one, possibly not clearly defined, application or piece of hardware. Work is to be performed in a predefined system maintenance window. The production software or hardware to be changed could be significantly affected by the change or the remainder of the production environment could be affected. All required resources have been contacted and are confirmed to be available for the change timeframe.

Unknown – The change could not be tested or the tests did not clearly show the risks. The users and/or hardware impacted by the change are unknown or not easily defined. The change will impact the production software or hardware to be changed and could significantly affect the production environment. The change will likely impact the production environment outside of predefined maintenance windows. All required resources have been contacted and are confirmed available for the change timeframe.

Emergency – Change is to fix a problem that is, or is soon likely to, impact the production environment. The existing situation does not allow for the normal CM process to be followed.

STEP 4: DETERMINE THE IMPACT

Impact is a measure of how the proposed change will affect the users' ability to access and use the system and thereby their ability to perform their job, both directly and indirectly.

The impact level definitions provided here are only meant as guidelines to establish a common terminology to be used in assessing impact and assigning a value. It is the responsibility of the Subject Matter Expert to fully justify in the change request their reasoning for assigning a particular impact level to their change and failure to do so may result in their change being deferred until such an explanation is provided or clarified to the Change Advisory Board's satisfaction.

None – The change has been repeatedly tested, documented, and proven to have no impact on the users. The work is to be performed according to the pre-approved documented instructions.

Low – The change has been tested and proven to impact only a small, well defined group of users, a single function of an application and/or a single piece of hardware. Work is to be performed outside of a defined maintenance window but the user's normal work will not be significantly impacted by any downtime the change may cause and the user has been informed of the change in advance and agreed to the change and the time.

Medium – The change has been tested and impacts a clearly defined group of users, a single application and/or a single piece of hardware. Work is to be performed in a predefined application maintenance window when users are not normally using the application or hardware. User's normal work will not be

significantly impacted by any downtime the change may cause. User is informed in advance that the maintenance window will be used.

High – The change has been tested; impacts clearly defined multiple groups of users, multiple applications, and/or multiple pieces of hardware. Work is to be performed in a predefined system maintenance window when users are not normally using the affected applications or hardware. User’s normal work *may* not be significantly impacted by any downtime the change may cause. User is informed in advance of when the changes will occur.

Unknown – The change has not been tested or tests do not clearly show the impact on the users. The users and/or hardware impacted by the change are unknown or not easily defined. Change likely to impact users outside of the predefined maintenance windows. User’s normal work could be impacted by the downtime the change may cause.

Emergency – The change is to fix a problem that is, or is soon likely to, impact the users. The existing situation does not allow for the normal CM process to be followed.

STEP 5: DETERMINE THE CHANGE TYPE

Use the following table to assign a Change Type to a CM event. The highest level of Risk and Impact will determine what the Change Type is. For instance, if the Risk is “Medium”, but the Impact is “Unknown”, then the Change Type is automatically “Major” since the Unknown Impact causes IT to have additional resources available and conduct additional planning, etc. to account for the unknown aspects of the change.

Change Type	Risk	Impact
TOP	None	None
Minor	Low	Low
Moderate	Medium	Medium
Major	High	High
	Unknown	Unknown
Emergency	Emergency	Emergency

SUMMARY OF STEPS FOR DIFFERENT CHANGE MANAGEMENT TYPES

A ✓ indicates that the Change Coordinator should execute this step of the process for the given type. An “O” means that the step is optional.

Step	TOP ¹	Minor	Moderate	Major	Emergency ²
1. Identify the Need for a Change	✓	✓	✓	✓	✓
2. Create a ticket in Track-IT	✓	✓	✓	✓	✓
3. Determine the Risk		✓	✓	✓	
4. Determine the Impact		✓	✓	✓	
5. Determine the Type of Change		✓	✓	✓	
6. Determine the Change Schedule		✓	✓	✓	
7. Develop a Test Plan		✓	✓	✓	
8. Develop a Rollout Plan		✓	✓	✓	
9. Create a Change Confirmation Plan		✓	✓	✓	
10. Create a Rollback Plan		✓	✓	✓	
11. Implement Test Plan		✓	✓	✓	O ⁴
12. Review Change Information		✓	✓	✓	✓
13. Create a Change Management Work Order in Track-IT (this will submit change information to the CMGR and CAB) for approval		✓	✓	✓	✓
14. Receive Approval or Rejection of the Change		✓	✓	✓	
15. Communicate the Change to the Users		O ³	✓	✓	
16. Implement the Change	✓	✓	✓	✓	✓
17. Record Change Status	✓	✓	✓	✓	✓
18. Communicate the Final Status Status of the Change to the TAC & Customers	✓	✓	✓	✓	✓
19. Close the Change Request	✓	✓	✓	✓	✓

- Note 1: For a TOP, the “skipped” steps should all be documented elsewhere so that the process is executed the same way, every time.
- Note 2: For an Emergency Request, the Change Coordinator should be prepared to discuss and justify why an Emergency change was required even though full documentation is not required until after the fact.
- Note 3: This step is optional when the change from the user perspective is seamless (i.e. they will not be aware that the change happened because it is “behind the scenes”)
- Note 4: When possible under the circumstances, an emergency change should be tested.

A full justification of the risk and impact level and the change type must to be entered by the CC on the change request for review by the Change Manager(s) and the Change Advisory Board. The CM and the CAB have the right to alter the change type of a change request if they feel the justification provided does not meet the type selected.

STEP 6: DETERMINE THE CHANGE SCHEDULE

If at all possible, all changes should be made during a declared application maintenance window or a declared system maintenance window. Please check with the System Administrators to determine the calendar for the current year to determine the scheduled maintenance days.

For all types of changes, the CC should attempt to provide staff with as much lead time as possible for planning a change. Deadlines for the submission of a change request are established to ensure that staff has sufficient time to review and comment on the change and that the CAB has sufficient time to review the change before the CAB meeting.

Change Type	Minimum Lead Time
TOP	Should be scheduled events, and typically notification should therefore be optional.
Minor	Minimum 5 Business Days, but that is for FINAL approval of the project. <i>In reality, a Minor change should have been in the planning process for months and all TAC and CAB members should be aware of the ramifications of the project.</i>
Moderate	10 Business Days, but that is for FINAL approval of the project. <i>In reality, a Moderate change should have been in the planning process for months and all TAC and CAB members should be aware of the ramifications of the project.</i>
Major	20 Business Days, but that is for FINAL approval of the project. <i>In reality, a Major change should have been in the planning process for months and all TAC and CAB members should be aware of the ramifications of the project.</i>

Change Type	Minimum Lead Time
Emergency	Notification at time of change is permissible but users should be provided with as much notice as possible.

IMPORTANT SCHEDULE EVENTS

When you are developing your schedule, you should confirm with all of the stakeholders that the proposed LIVE Date works with their schedules. Some important consideration are:

- Confirm with all IT personnel resources that the proposed LIVE Date works with their schedules
- Confirm with all customers that the proposed LIVE date works with their schedules
- Set Service / Software Outage Time / LIVE Date (if needed)
 - *Start Date and Time of Outage.* This is the time when the existing system will no longer be available to the customers. For instance, this might be the time when we take the system down to do a pre-implementation backup.
 - *Start Date and Time of Change.* This is when we will actually be performing the work tasks related to the change. Depending on the project size and scope, it may be advisable to record in Track-IT the actual tasks that will need to be done and who is responsible for completing them.
 - *End Date and Time of Change.* This is when we are completed with the change.
 - *End Date and Time of Outage.* This is the time when the customers are allowed back in the system.

COMMUNICATIONS

Once the schedule is determined, it is important to formulate a communication plans that establishes how the parameters of the change will be communicated to the customers and to IT personnel as well. The details and frequency of communications is influenced by the type of project that you are implementing.

- Each **TOP** must contain a communication plan defining who should be contacted, the information they should receive and who should carry out the communication plan. The plan, along with all of the other steps of the TOP, should be followed every time the TOP is used.
- **Minor** change requests require a communication plan to inform staff and the proper user parties in advance of the change and obtain their agreement with the change and its time. This plan should be developed, reviewed with the Customer Communicator and executed prior to the submission of the change request. Details of the communication plan and its execution should be included in the change request and will be reviewed by the Change Manager as part of their approval.
- **Moderate** change requests require a communication plan to inform staff and the user in advance of the changes that will be made and of the maintenance window that will be used. The communication plan should be developed in advanced, reviewed with the Customer Communicator and included in the change request. The CAB will review the communication plan as part of their approval of the change request.
- **Major** change request require significant communications with staff and users. The communication plan for the change request should be developed and implemented as early as

possible, reviewed with the Customer Communicator and included in the change request. The CAB will review the communication plan as part of their approval of the change request.

STEP 7: DEVELOP TEST PLAN

The Test Plan or Procedure is the method by which the change can be implemented in a test environment in order to determine if it will work. The change should not be implemented until it has been tested and the results are validated in the test environment.

If the test plan has been prepared as part of Project Management documents, then this entry can simply reference the project management site for the project.

STEP 8: DEVELOP ROLLOUT PLAN

A Rollout plan or procedure is the method by which a change will be implemented in the Production Environment. The details of the rollout plan will be dependent on the size of the project, how many systems are affected, how many users are impacted, etc.

If the rollout plan has been prepared as part of Project Management documents, then this entry can simply reference the project management site for the project.

STEP 9: DEVELOP CHANGE CONFIRMATION PLAN

The Change Confirmation Plan or Procedure is the method by which the success of a change can be demonstrated to have been successfully implemented.

If the Change Confirmation plan has been prepared as part of Project Management documents, then this entry can simply reference the project management site for the project.

STEP 10: DEVELOP ROLLBACK PLAN

A Rollback plan or procedure is the method by which a change will be undone, and the system set back to its pre-change state.

If the Rollback plan has been prepared as part of Project Management documents, then this entry can simply reference the project management site for the project.

STEP 11: IMPLEMENT TEST PLAN

Prior to submitting the change for approval, you should ensure that the change has been tested and is successful in a test environment.

STEP 12: REVIEW CHANGE INFORMATION

This step is simply a checklist item to indicate that all Change information has been recorded in the Project Management documents or the Change Management Checklist. At this point, staff should know

everything about the planned change, including what is changing, when it will change, what the risk/impact will be, how to test the change, how to make the change, and how to roll back the change. There may be additional changes that take place as the project nears implementation, but for all intents and purposes the CC should be confident that the change will happen in a certain way, at a certain time, with certain resources.

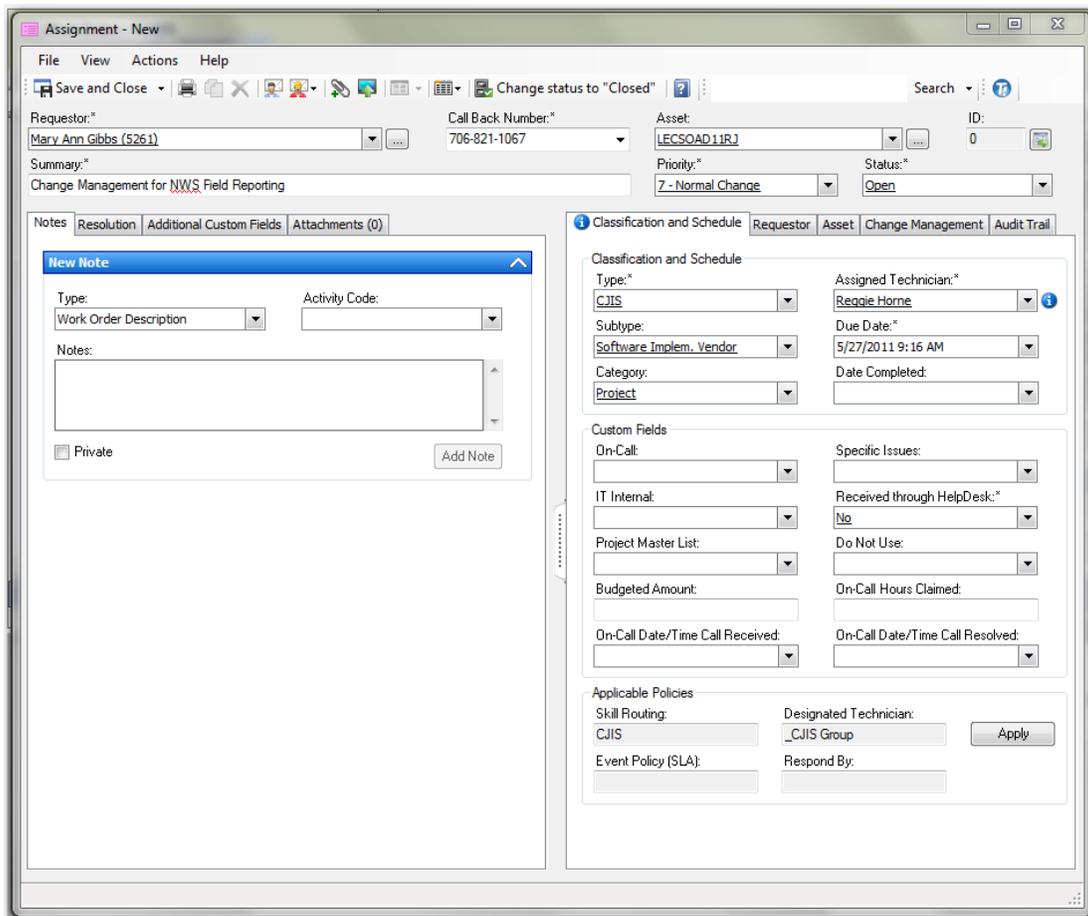
STEP 13: CREATE A CHANGE MANAGEMENT WORK ORDER IN TRACK-IT

As mentioned before, Track-IT is the IT work order management software. In order for the change to be approved, there must be a record of the change event in Track-It. The Change Coordinator will create a ticket as normal, but will assign the priority for this ticket as a “7-Normal Change”, “8-Emergency Change”, or “9-Trusted Operating Procedure”. Indicating a priority of 7 or 8 will initiate an approval process (the next step).

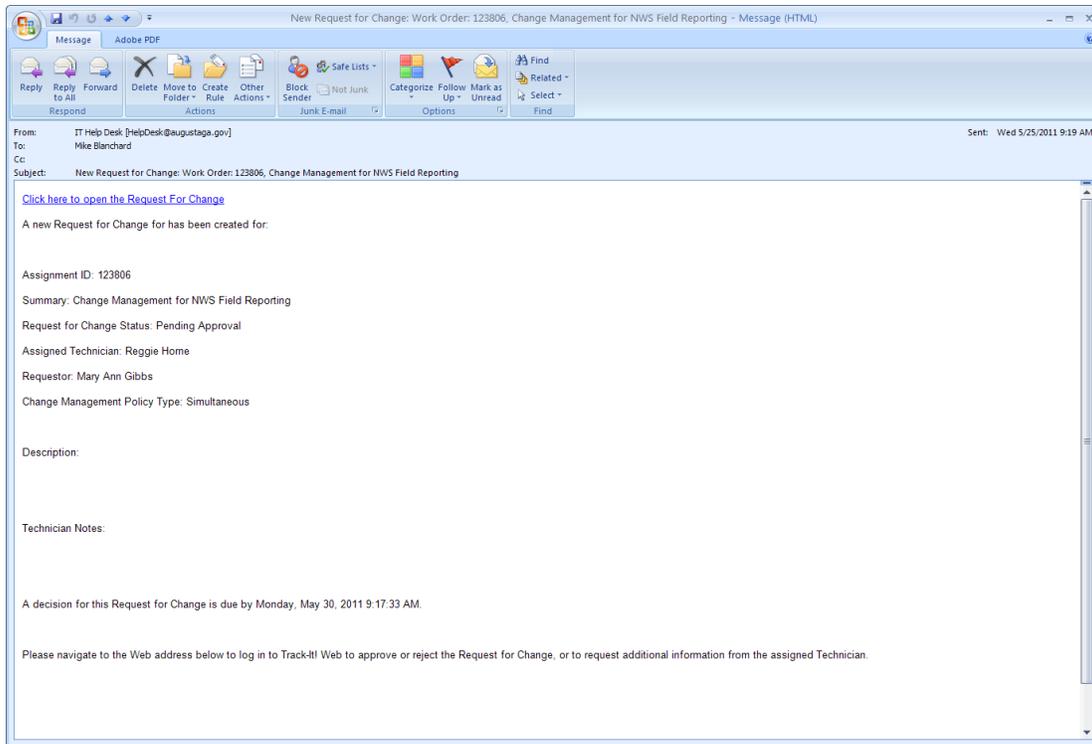
Trusted Operating Procedures (priority 9) are actually NOT forwarded to the CMs for approval. Once a procedure is designated as a TOP, it can proceed without approval every single time that it is implemented.

Depending on the type of Change Management event, the parameters for entering the Change Management Work Order may change. See the preceding section entitled *Projects and Change Management Documentation* for details.

The typical change management ticket in Track-It will look like this:



Creation of a Track-It ticket will automatically notify the Change Manager(s) that there is a change that needs to be evaluated (provided that the priorities of 7 or 8 are used). The CMs will receive a message that, when opened, looks like this:



STEP 14: APPROVAL/REJECTION OF THE CHANGE

The CMGRs will review the request via the information in the PM documents or in the attached CM checklist in order to confirm that all change parameters have been satisfied according to policy. The actual approval will take place in Track-It Web when the CMGR clicks on the link that appears in the screenshot above.

The CMGRs have the liberty to discuss the proposed changes with any members of the IT and/or end user staff in order to validate the information that is in the change request. Depending on the type of change, the following options are available:

- For a **TOP** request type, approval is automatic provided the proper information is supplied.
- For a **Minor** change type, approval is given by the Change Manager(s). The CMGRs are responsible for reviewing the change request and must either approve or defer to the full CAB any minor changes on the list. The Change Manager will inform the CC of the decision on each change request.
- For a **Moderate** change type the full CAB will review the change request at their weekly meeting. The CAB must approve, reject or defer the moderate changes and inform the SME of their decision. The Change Managers
- For a **Major** change type the full CAB will review the change request at their weekly meeting. The CAB will conduct reviews as needed until the CM process is finalized, at which time it will be approved. The CAB has the right to either approve the change request or defer the change

request until their next meeting, and require the CC to supply any requested information before that meeting.

- For an **Emergency** change type a Change Coordinator will have the authority to approve a change request provided that 1) the change is in accordance with policy, 2) the appropriate TAC personnel are consulted and 3) a Change Manager is not available. Documentation will be completed as though the change was a Normal Change, but documentation can be completed after the change takes place.

STEP 15: COMMUNICATE THE IMPENDING STATUS OF THE CHANGE TO THE TAC & CUSTOMERS

Communication to the customer, IT support staff and the IT Help Desk is an essential and critical part of every change. Each CM request should include a plan on how to communicate information about the change and when it will be made. When possible, communication of this information should come from a single source, which may vary depending on the IT Group that is responsible for managing the change. In any case, end users (customers) should not receive conflicting communications from multiple IT personnel. All communication plans should be coordinated with and approved by the Change Coordinator prior to being included in the change request.

STEP 16: IMPLEMENT THE CHANGE OR RESCHEDULE AS NEEDED

The change request should be completed within the stated time frame.

If for any reason the change cannot be completed the change request should be updated to show a new time for the change. The new time should be selected in accordance with the change request deadlines / lead-times policies described earlier.

If for some reason, the change date is not met and the change request is not updated the change request will be closed. When the change is ready for implementation, a new change request must be entered and approval by the Change Manager and/or CAB depending on the type of change.

STEP 17: RECORD CHANGE STATUS

The status of all change requests needs to be recorded upon completion or back out. As soon as possible on the next business day following the change it is the responsibility of the CC to update the change request with the status of the change.

Details of the work performed, any problems encountered and any notes or observations on the change or something related to the change should be entered into the change request. The Change Manager will review the change request the next business day and, if it is determined that the change was implemented successfully, the change request can be closed.

STEP 18: COMMUNICATE THE FINAL STATUS OF THE CHANGE TO THE TAC & CUSTOMERS

Inform the customer and IT personnel that the change has been completed.

STEP 19: CLOSE THE CHANGE REQUEST

The Change Coordinator will close the change through the following actions:

- In Track-IT, change any tickets related specifically to the implementation of the change to “Completed”
- In the PM documentation, update tasks related to the change to indicate the completed status.

EMERGENCY CHANGE PROCESS

There are times when changes are immediately required to fix a problem that is, or is soon likely to, impact the production environment and the users. When this type of situation does not allow for the normal CM process to be used, the Emergency Change process can be followed.

1. The first step of an Emergency Change is to identify the need for a change, which in emergency cases means that there is an event such as a network outage, a server problem, or a the failure of an application that requires quick action to restore the usability of the technology resource.
2. The person who identifies the need for a change will open a request in Track-IT with a Change Type appropriate to the type of change that is needed. Typically, emergency changes for BAS Group changes will be coded as Subtype: "System Modification" and the CC will be the Project Leader. If someone else besides the PL identifies the need and creates that ticket, it should be assigned to the PL or someone else in the appropriate IT project group as soon as possible.
3. If the Track-IT ticket already exists (because it was called in to the Help Desk, etc), then the Change Coordinator will access the Track-IT ticket that initiated the need for the change. For example, if a call was made to the Help Desk by an end user stating that a particular error message was occurring, the CC would open the ticket that serves as the record for that call. The CC will change the Track-IT ticket so that the subtype is "System Modification" and choose the appropriate software package as the Category. This particular combination will create a Change Management event in Track-IT.
4. The Change Coordinator assembles change information and alerts other personnel (an impromptu TAC, depending on the situation). The change information should be the same as the information required for a regular change. In addition, the ramifications and rippling effects on the production environment of making this change must be thoroughly considered and recorded in the change request. If a change must be applied during the business day it is recommended that it is deferred to a time when there are fewer users on the system. It is strongly recommended, unless absolutely necessary, that any emergency changes are deferred until after close-of-business at 5:00 PM.
5. The CC will attempt to alert the prospective Change Manager (based on area of responsibility) by phone or in person. Even though this is an emergency, simply creating and routing a Track-IT ticket without any additional follow-up is unacceptable. The assignment of Change Manager responsibility will generally follow the IT organizational structure.
6. The Change Manager will make a policy-based judgment decision on the recommendation: either to proceed, modify the plan, or do nothing pending further review. If the Change Manager is not available, the CC will make a policy-based judgement decision and implement the change.
7. If approval is granted, the CC acts on the decision of the Change Manager and implements the change.
8. The CC will close the change management ticket in Track-IT.
9. The CC will fill out the Change Management Tracking Form for this change.
10. The CC will record the cause, effects, and resolution of the change in Track-IT solutions if the specific solution does not already exist.

Details regarding problems in specific areas are described below. If there is an issue that “falls between the cracks”, either Assistant Director can be tasked with assigning responsibility for an emergency change.

TRUSTED OPERATING PROCEDURES (TOP)

Many changes IT staff performs are repetitive and routine, so subjecting them to the full Change Management review process every time is inefficient and unnecessary. If a change is proven to be preformed the same way every time it should not require the same level of review as a more complex item would. For these types of routine changes it should be sufficient to conduct them according to an agreed upon, well documented, and well tested procedure. This procedure is known as a Trusted Operating Procedure, abbreviated as TOP.

Once the procedure has been well documented, proven to work successfully and repetitively (including the back-out procedure), and proven to not impact the production environment, a procedure can be submitted to the CAB as a TOP candidate. Once the procedure has been proven to the CAB to work as documented a minimum of 3 times the Change Advisory Board can approve the procedure as a TOP.

TOPs are located on the IT portal Change Management page in SharePoint.

HOW TO CREATE A TRUSTED OPERATING PROCEDURE

The first step to creating a new TOP is to properly document all aspects of the change and provide clear, easy to follow instructions for others to be able to follow. Each TOP requires all of the following areas to be filled out on the IT Change Management page, on a custom list entitled “Trusted Operating Procedures”.

FORMAT

Title: Name the TOP is to be referenced by.

Description: Describe what the TOP actually does.

Scope: The TOP must describe which activities are permitted by this particular TOP. For example, certain DNS changes such as adding a record may be permitted, while adding a new zone may not.

Status: The current status of the TOP (Draft, Candidate, Adopted)

Author: Who is the SME representing the TOP

Last Modified Date: When was the last change made to the TOP

Required Skills: What must you know in order to use this TOP

Audit History: When was this TOP last reviewed including CAB approvals?

Related Standards: From what standards documents does this TOP draw?

Resources Required: Other than the person executing the TOP what other resources are required in order to complete it?

Overview: Give a summary of the change and what is required to accomplish it.

Required Information: What must the person performing the change know before they start it.

Execution: All the steps required to conduct the operation must be enumerated. Enough detail should be provided so any member of the TOP's audience (not just the author) can conduct the TOP. Steps should also explain why they are required, and should reference other TOP's and standards as appropriate.

Rollback Plan: What must be done if for any reason the change is not successful? Again enough detail should be provided so any member of the TOP's audience (not just the author) can conduct the rollback.

Testing: What standard tests must be conducted after the change to ensure the change was conducted successfully.

Communication Plan: Who must be contacted and informed of the change? How will the Service Desk know about the change? When should they be contacted?

Logging: Execution of a TOP must generate a logging trail in the Change Management module in addition to any logging that may be unique for that particular TOP. Besides the Change Management entry what is the process for logging changes preformed under this TOP?

LOCATION

Trusted Operating Procedure documents should be available to the entire IT staff. To accomplish this all TOP documents should be stored on the IT Change Management Portal Page.

HOW A PROCEDURE BECOMES A TRUSTED OPERATING PROCEDURE

A procedure is a candidate to become a TOP when the following criteria have been met:

- The procedure has been well-documented
- The documentation has been proven to work successfully and repetitively (at least 3 times)
- The rollback procedure has been tested
- There is no impact to the production environment

When these requirements are met, the procedure document should be submitted to the Change Advisory Board as a TOP candidate. The CAB will review the contents of the document to make sure that it meets the requirements of a TOP. Once satisfied, the CAB will approve the procedure document as a TOP Candidate that is ready for testing.

When the document is approved as a TOP Candidate, the procedure itself must be proven to work strictly as documented. In order to demonstrate this proof, the change procedure should be tested according to the following steps:

1. The change should be performed as a Minor Change, strictly following the TOP Candidate document a minimum of 3 times without any deviation from the documented procedure.
2. After each of the three change attempts the SME should review the results with the Change Manager.
3. The SME and Change Manager must agree the procedure worked as documented and the change succeeded. If not the CM should provide suggested changes to the SME about the TOP document and the change attempt should be repeated.
4. When the SME has preformed the change and the Change Manager has reviewed and agreed with the procedure in the Top Candidate document three times the document is returned to the Change Advisory Board for final approval as a TOP.

Once approved the Trusted Operating Procedure is added to the approved TOP library and included for selection and use in the Change Management System.

The status as an approved TOP is indicated in SharePoint in the “Approved by CAB” column, which includes a date on which the approval was granted by the CAB.

AUDITS OF TRUSTED OPERATING PROCEDURES

In order to assure that Trusted Operating Procedures remain current and effective they need to be subjected to periodic audits. These audits should review the entire TOP document and verify that all instructions provided remain valid and complete.

The CAB will periodically appoint staff to conduct audits of TOP documents. The appointed person will work with a SME to conduct the audit and report any problems or questions identified by the audit process the CAB. The CAB will review the audit result and if necessary forward them to the SME to provided answers or update the TOP document. The CAB will then decide if the corrected TOP document should be returned to candidate status or approved without further testing.

APPENDIX 1: CHANGE MANAGEMENT CHECKLIST

See following pages



AUGUSTA, GA
INFORMATION TECHNOLOGY
CHANGE MANAGEMENT CHECKLIST

PROJECT DESCRIPTION

Project Title / Description of Change			
Customer Department Name		Date	
Department Contact		Phone	
IT Change Coordinator		Phone	
IT Change Manager		Phone	
IT TAC Members		Phone	
Affected Systems			
Affected Customer Group(s)			
Requested Due / Implementation Date <i>(Include Reason)</i>			
Project Objective <i>Instructions: Describe in a sentence or two what problem IT is attempting to solve.</i>			

Project Type <i>Mark an "X" in the appropriate project type below.</i>			
	Replacement Software – Replacing software that we currently use		Software Upgrade – Upgrading existing software
	New Software – Buying new software when none has been used before		Minor Software Upgrade / Build Installation – Upgrade/Build with limited impact on operations
	Development – Building a new software application in-house		Development – Upgrade existing in-house software application
	Create New Internet or Intranet Site for Customer		Major Modification to Existing Internet or Intranet Site
	New Hardware Installation		Obsolete Desktop Equipment Replacement
	New Server Installation		Obsolete Server Equipment Replacement
	New Network Equipment Installation		Obsolete Network Equipment Replacement
	Database Upgrade		Desktop OS Upgrade
	Anti-Virus or other non-business enterprise-wide software upgrade		Server OS Upgrade
	Major Construction / Renovation		Other

CHANGE MANAGEMENT TASKS

Action		Status	Scheduled Start	Scheduled Completion	Actual Completion
1	Identify the Need for a Change				
1.1	Determine who is the Change Coordinator				
1.2	Determine who is the Change Manager				
1.3	Determine who should be on the TAC				
1.4	Identify which systems are affected by the change				

Action		Status	Scheduled Start	Scheduled Completion	Actual Completion
1.5	Identify the customers that are affected by the change				
2	Project entered into Track-IT and coded as "Change Management"				
3	Determine the Risk				
4	Determine the Impact				
5	Determine the Type of Change				
6	Determine the Change Schedule				
6.1	Confirm with all IT personnel resources that the proposed LIVE Date works with their schedules				
6.2	Confirm with all end users that the proposed LIVE date works with their schedules				
6.3	Set Service / Software Outage Time / LIVE Date (if needed)				
6.4	Start Date and Time of outage				
6.5	Start Date and Time of change (record in project tasks the actual tasks that will need to be done and who is responsible)				
6.6	End Date and Time of change				
6.7	End Date and Time of outage				
7	Develop Test Plan				
8	Develop Rollout Plan				
9	Develop Change Confirmation Plan				
10	Develop Rollback Plan				
11	Implement Test Plan				

Action		Status	Scheduled Start	Scheduled Completion	Actual Completion
12	Review Change Information				
13	Create a Change Management Work Order in Track-IT				
14	Approval / Rejection of the Change or Return to an Earlier Step to Correct Problems				
15	Communicate the Impending Status of the Change to the TAC & Customers				
16	Implement the Change or Reschedule as Needed				
17	Record Change Status (Successful or Not)?				
18	Communicate the Completion Status of the Change to the TAC & Customers				
19	Close any open Track-IT tickets related to the change as appropriate				