Georgia College & State University

Milledgeville, GA

Change Management Control Procedures

Change Management Control

Table of Contents

Table of Revisions

Original Date : April 29, 2013

Revision Number:	Description:	Date:	Revised By:
1	CAB & RFC Tracking Changes	July 12, 2017	Harrison Hopkins

Section 1: Introduction

The Georgia College & State University's Department of Information Technology (DoIT) maintains a change management process. The process is designed to control the implementation of all changes made to any device or application within the Georgia College information technology production environment. The academic and administrative requirements of the university demand highly available and functional technology services. The DoIT change management process exists to ensure Georgia College can provide a high level of availability and integrity in the delivery of technology services.

1.1 Scope and Objective

The scope of the DoIT change management process includes all technology infrastructure, applications, and services used by Georgia College's client community for business or academic purposes.

The objectives of the IT Change Management Process are to ensure that:

- All Changes are properly analyzed, documented, and communicated to IT staff and to all functional groups and clients potentially affected by or involved in their execution.
- Procedures required before, during, and after Change execution and the respective areas of responsibility are clearly documented and published.
- The proper analysis and testing is performed to assess the need for a change versus the potential impact of the change.
- With the exception of Immediate Changes, no Changes are executed without first being properly planned, documented, tested, and approved.

1.2 Terms and Definitions

Change is any modification to the systems, infrastructure, or applications that comprise the Georgia College production environment with the exception of basic object administration tasks that do not affect service functionality.

Change Manager is the individual responsible for the overall Change Management Process and its proper execution. In most environments this individual will be the Department Director.

RFC (Request for Change) is a request to implement a Change within the Georgia College production environment.

DoIT (Division of Information Technology)

Serve (Serve Helpdesk)

Production Environment contains all system, network, infrastructure, and software that support the technology services utilized by Georgia College's client community for business and academic purposes. Environments utilized for testing and development are not considered to be production.

Section 2: Change Management Process

To ensure the integrity, consistency, and availability of technology services, all changes to the Georgia College production environment will be handled by the Change Manager. The Change Manager will be responsible for managing RFCs to ensure they are tracked, approved, reported, and enforced in a reliable and consistent manner. RFCs must be reviewed and approved by the Change Manager prior to execution to ensure a proposed Change does not compromise the stability of the production environment.

Changes to the production environment are:

- Implemented using the appropriate Change Management Process.
- Documented in a reliable and consistent manner by the Change Manager.
- Approved by the Change Manager to ensure the environments' stability is not compromised for standard changes and Change Approver during immediate changes.
- Communicated effectively that all responsible parties are aware of the change assignment and all user communities are aware of potential impact.

2.1 Roles and Responsibilities

Specific roles and functions within the Change Management process have been defined. Each role is ultimately responsible for completing specific tasks within this process.

2.1.1 Change Approver

The Change Approver is the director or manager who is notified of the potentially necessary change and obtains the facts, justification, and full description of that change. Responsibilities of the Change Approver include:

- Reviewing all change request notifications submitted by staff members or systems owners.
- Obtaining all communication and documentation necessary for the Change prior to submitting any request to the Change Manager.
- Providing input concerning priority, risk, and impact of change.
- Submitting the information regarding the change to the Change Manager for deliberation.
- Ensuring the user community affected by the change is notified prior to and after the change implementation.

2.1.2 Change Manager

The Change Manager is responsible for the overall facilitation of the Change Management process. This individual is responsible for the initial approval/rejection of all standard RFCs and is also responsible for change release approval.

The Change Manager has the authority to:

- Cancel or reject Changes that affect the stability of the production environment.
- Reassess the risk, impact, or priority level of a change.
- Approve RFCs as presented.

Responsibilities of the Change Manager include:

- Facilitating the resolution of any schedule conflicts that may arise.
- Maintaining the policies and procedures.
- Granting access to the Change Management documentation.

2.1.3 Change Assignee

The Change Assignee will manage the technical analysis and development stage of the Change. This person will work with the Change Approver or Change Manager to plan and coordinate testing and implementation. Responsibilities of the Change Assignee include:

- Meeting with the Change Approver or Change Manager, as needed, to resolve any questions or problems with a proposed change.
- Coordinating Change testing and facilitating implementation.
- Obtaining the name and signature of the appropriate individual(s) during acceptance testing.
- Communicating with the Change Approver or Change Manager to provide status on the implementation success or failure.
- Providing release signature and closure status in the CMS.
- Submitting necessary documentation, which may be helpful for historical purposes e.g. documenting information related to implementation.

2.2 Process Implementation

While the Change Management process begins with the initial user request for change, the information presented in this section focuses primarily on those tasks necessary for the implementation of a production change.

2.2.1 Standard Changes and Immediate Changes

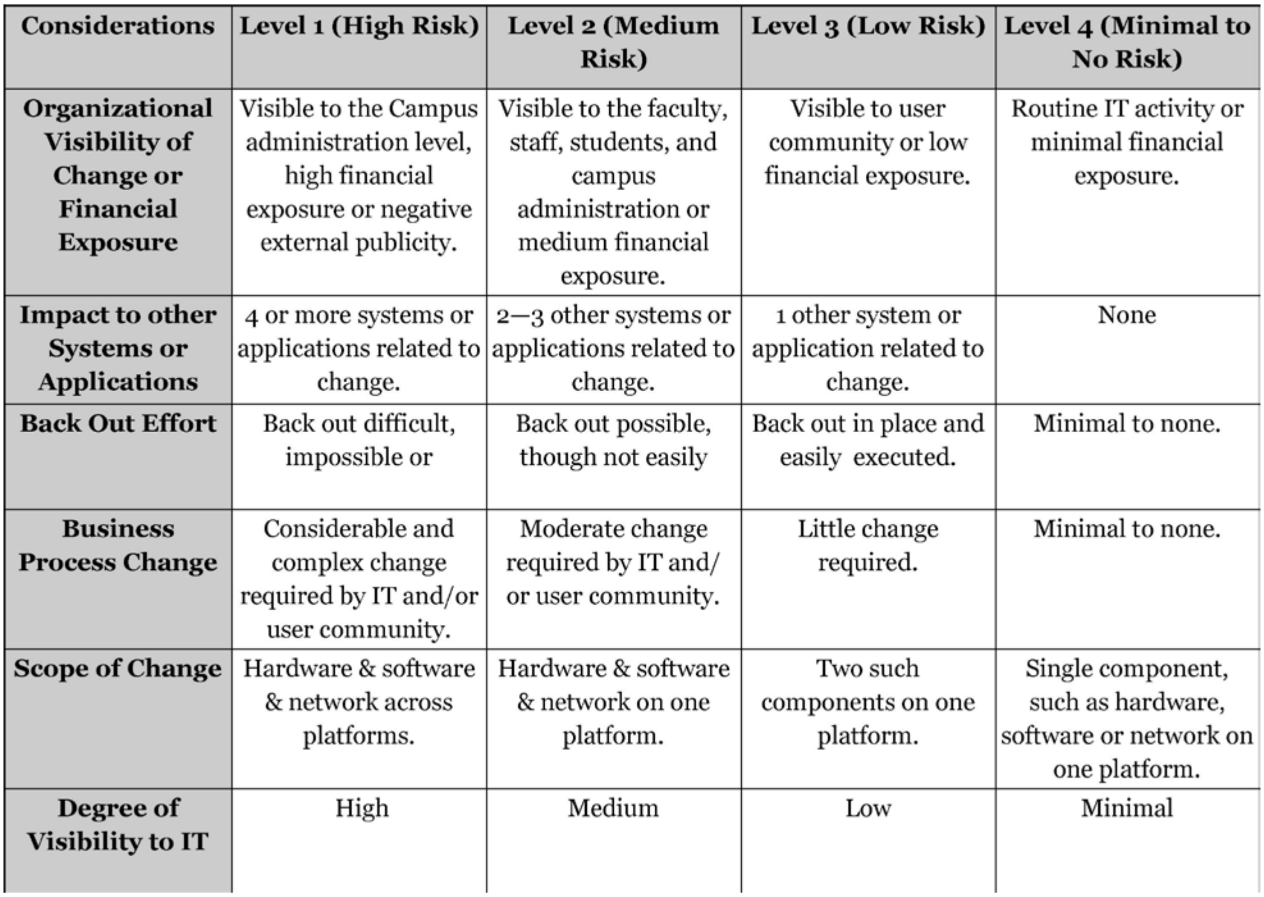
There is a need to define standards to differentiate between Standard Changes and Immediate Changes. Timing, impact, and other factors vary due to the urgency and nature of the Changes. For the purpose of IT processes, these definitions are the following:

Standard Change - Any Change that is scheduled and receives approval for execution.

Immediate Change (e.g. break/fixes and outages) - Any Change requiring a level of urgency that necessitates its execution to take place prior to proper review or approval. Immediate changes must have a valid business justification and receive approval from an IT director/CIO or Change Approver in the absence of director/CIO.

2.2.2 Risk Assessment

An assessment of risk is completed on any Change prior to its approval. In assessing the risk level of a change, the following factors may be considered:



Considerations	Level 1 (High Risk)	Level 2 (Medium Risk)	Level 3 (Low Risk)	Level 4 (Minimal to No Risk)
Organizational Visibility of Change or Financial Exposure	Visible to the Campus administration level, high financial exposure or negative external publicity.	Visible to the faculty, staff, students, and campus administration or medium financial exposure.	Visible to user community or low financial exposure.	Routine IT activity or minimal financial exposure.
Impact to other Systems or Applications	4 or more systems or applications related to change.	2—3 other systems or applications related to change.	1 other system or application related to change.	None
Back Out Effort	Back out difficult, impossible or	Back out possible, though not easily	Back out in place and easily executed.	Minimal to none.
Business Process Change	Considerable and complex change required by IT and/or user community.	Moderate change required by IT and/ or user community.	Little change required.	Minimal to none.
Scope of Change	Hardware & software & network across platforms.	Hardware & software & network on one platform.	Two such components on one platform.	Single component, such as hardware, software or network on one platform.
Degree of Visibility to IT	High	Medium	Low	Minimal

2.2.3 Priority Levels

P1 – Immediate: An immediate priority Change request is considered to be imperative to the success of the project/system, and it may have a detrimental impact to the project/system if not addressed immediately. An immediate change triggers the immediate change process, which we will deal with separately.

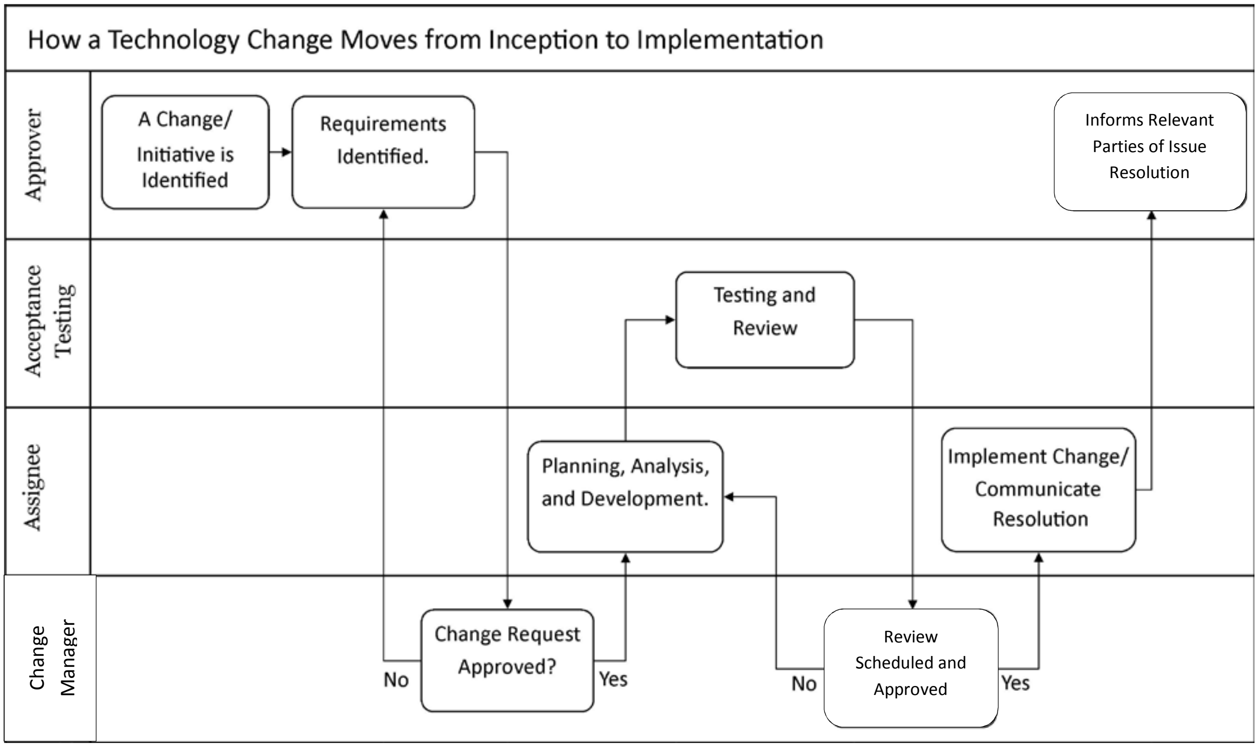
P2 – High: A high priority Change request is considered to be important to the success of the project/system. High priority changes are associated with known errors that are significantly degrading service quality. These Changes should be made without delay. The Change Manager should assess this Change and take the relevant measures to enable a rapid solution. Examples of high priority change requests are issues and problems resulting from data integrity, legal mandates, and add-ons to improve data quality.

P3 – Medium: A medium priority Change request has the potential to impact the project/system's successful completion, functionality, or stability, but is neither an immediate help nor hindrance. This change should be made provided it does not get in the way of a higher priority change.

P4 – Low: Low priority change requests need to be addressed if the time and budget permit. Low priority Change requests are managed as resources are available. Examples of low priority change requests are cosmetic changes or "fixes" that do not affect business functional requirements or deliverables.

Section 3: DoIT's Change Management Process

3.1 Process Flow Chart


How a Technology Change Moves from Inception to Implementation
Approver
Acceptance Testing
Assignee
Change Manager
A Change/ Initiative is Identified
Requirements Identified.
Informs Relevant Parties of Issue Resolution
Testing and Review
Planning, Analysis, and Development.
Implement Change/ Communicate Resolution
Change Request Approved?
No
Yes
Review Scheduled and Approved
No
Yes

1. **Approver**- A change/ initiative is identified.

2. **Approver**- Requirements identified.

3. **Change Manager**- Change Request Approved? (If "no", go back to step 2).

4. **Assignee**- Planning, Analysis, and Development.

5. **Acceptance Testing**- Testing and Review.

6. **Change Manager**- Review scheduled and approved (If "no", go back to step 4).

7. **Assignee-** Implementation.

8. **Change Approver**-Informs relevant parties of issue resolution.

Section 4: Change Management Procedures

Change Management procedures that have been developed and implemented take into account the impact changes may have on administrative and academic activities including system availability, user impact, system efficiency and currency/usability of documentation. The process development effort establishes a set process that facilitates the coordination of changes within the Georgia College production environment. This process will be changed as needed.

4.1 Change Request

4.1.1 Immediate Change

Immediate Changes are usually the result of actual or imminent hardware or software failures impacting or threatening to impact a Georgia College technology service. They are implemented without going through the formal Change Management Procedure. These Changes must be communicated and documented in the Change Management process within 1 business day from the time of execution.

The creation and submission procedures for an Immediate Change are listed below, by area of responsibility:

1. Change Assignee

   Notifies a manager or above of the situation and that an Immediate Change is needed and receives email approval to execute the Change.

2. Change Approver

   Provides sufficient project details to Serve, Directors, and CIO that will enable them to respond to calls from users who may be impacted by the change, as well as, identify monitoring alarms that may be associated with the Change. The Change Approver will also reasonably coordinate any campus communications necessary through the approving manager or above.

3. Change Assignee

   Executes the Change.

4. Change Approver

   Notifies Serve advising them of the success or failure, as well as, the current state of the impacted environment and initiates all campus communications.

5. Change Approver

   Completes the proper documentation within 1 business day of Change execution and submits it to manager or above involved for approval. The Change Approver also ensures relevant parties are notified about Change resolution.

4.1.2 Standard RFCs

The creation and submission procedures for a Standard RFC are below, by area of responsibility:

1. Change Approver
   - Receives notification concerning the potentially necessary Change and collects all important information (i.e. justification, description, risk, impact, priority).
   - Initiates the RFC documentation process in the CMS and submits the change for initial Change Manager approval.
2. Change Manager
   - Reviews the details of the RFC and approves or rejects the request. Approval will advance the RFC to the "Planning, Analysis, and Development" stage. Rejection will send the RFC back to the Change Approver stating that it has been rejected.
3. Change Approver
   - Investigates and corrects the issues that lead to Change rejection.
   - Contests the Change rejection.

     or
   - Forwards RFCs to the Change Assignee.
   - Ensures all necessary actions take place.
4. Change Assignee
   - Conducts a technical analysis to plan and develop the required change.
   - Initiates acceptance testing to be completed by the user group.
   - Notifies Change Approver of test finding.
5. Change Manager
   - Ensures change management functions/processes have been carried out.
   - Communicates with the Change Approver to ensure all necessary support and client personnel are notified about the RFC.
6. Change Advisory Board
   - Conducts a final review of Change and approves for release.
7. Change Assignee
   - Implements the Change and reports status to Change Approver. (*cont.*)

8. Change Approver
   - Ensures relevant parties are notified about Change resolution.

4.3 Communicating Standard Changes

All Standard Changes that will impact or have the potential to impact a production service must be communicated to the users of that service prior to execution.

4.4 Information Security

Ensure the information security implications of all RFCs are reviewed are shared with the Change Manager:

- Implications to the security of personal information (Social Security Number, Date of Birth, etc.).
- Implications to the security of university sensitive or confidential data.
- Implications to the security of university equipment.
- Compliance implications (HIPAA, FERPA, etc.).