The Oregon Department of Transportation

IS PROCEDURE

SUBJECT	VERSION	SUPERCEDES
Information Technology Change Management	Version 5.0	Version 4.0
THIS PROCEDURE APPLIES TO	EFFECTIVE DATE	PAGE NUMBER
Information Systems Branch (ISB) employees	03-28-2012	Page 1 of 14
REFERENCE	APPROVED SIGNATURE	
IT Change Management - Policy	Virginia Ellwanger, CIO	
FILE NAME	PROCEDURE OWNER	
IS_Change_Management_Procedure.doc	Gerald Fahrenkopf	

Purpose

The purpose of this procedure is to identify the steps involved in introducing and executing changes in the ODOT technical infrastructure and application systems. The purpose of IT Change Management is to facilitate efficient and prompt handling of infrastructure and application system changes in order to minimize the impact of change-related incidents upon IS service quality, and consequently to improve the day-to-day operations of the IS organization. Change Management is a shared process between the State Data Center (SDC) and the agencies, in this case ODOT.

ODOT-initiated change requests will be handled through the ODOT Change Management process and then forwarded to the SDC Change Approval Board (CAB) for review and approval, if the change will impact equipment housed at the SDC.

SDC-initiated change requests will be posted for review by all agencies Tuesday morning and the ones that impact ODOT will be brought to the ODOT Change Management (CM) Team for review on Wednesday. The ODOT Change Management Team allows for SDC Changes to be discussed without SDC representation. Questions generated from the ODOT CM Team review will be sent to the SDC by end of business Wednesday. Those questions will be sent to the appropriate technical staff. Any questions that can be answered before the meeting will be, but the SDC CAB on Thursday at 2 p.m. will be the single point where we will reach consensus on whether to proceed with the Request For Change (RFC) or not. ODOT will have a representative that will participate at the SDC CAB meetings. ODOT is responsible for internal agency communications regarding change requests.

Definitions

Business System Manager – The individual with responsibility over the infrastructure or application area being changed. This person confirms that project work and maintenance results are compliant with stated requirements; reviews and signs off on project deliverables; and recommends and approves the priorities assigned to change requests.

Change – The process of moving from one defined state to another. The addition, modification or removal of approved, supported, or baseline hardware, network, software, application, environment, system or associated documentation.

Change Approver – Those identified as responsible and accountable for the technical component or system being changed. For emergency changes, this is an IS manager. For all other changes, this is the system manager and system contact for the component or system being changed.

Change Communicator – This individual notifies those who could be impacted by impending change and keeps them informed of progress of the change. Change communicator is frequently the help desk staff or the change requestor.

ODOT Change Coordinator – Person designated as the primary contact for the Change Management process. This individual is responsible for logging requests, distributing new requests, facilitating Change Management meetings, maintaining the calendar of proposed RFCs, updating change implementation status and archiving completed requests.

Change Implementer – Those individuals responsible for making changes to the technical infrastructure or applications.

Change Log – A log that contains all the proposed, approved, pending, completed, and not approved RFCs. This is the Change Management process audit trail.

ODOT Change Management (CM) Team – Those individuals designated by ODOT IS Management who participate in Change Management as request reviewers providing expert advise. Their responsibility is to assure that requests are reasonable and will be executed with the least impact on infrastructure and application users.

Change Requestor – This individual will prepare and submit RFC requests in a timely manner; acquire team lead or manager approval as appropriate; assure that someone is available to answer questions about the request at the Change Management meeting(s); follow through to assure the change is implemented with minimum impact to State Data Center/ODOT technical infrastructure and application users.

Customer – This person or group of people use the system or technical component that is to be changed. They must be notified of any potential impacts to availability of those resources.

Emergency Change Request - An unforeseen combination of circumstances or the resulting state calling for immediate change that cannot wait for the next scheduled Change Management meeting. Historical notification of the change must be submitted to Change Management after implementation. An example of this type of change would be a network router has stopped working leaving users are unable to access the network, and the fix requires a hardware, software, or firmware change, not just a reboot of the device.

Help Desk Representative- Participates as a member of Change Management Team and tracks critical changes to detect impact on users

Implementation Owner – Individual or team responsible for implementing a requested change.

IS Manager – The individual with managerial responsibility over staff responsible for maintenance of the infrastructure or application area being changed.

Maintenance Team Lead – The individual responsible for assignment and review of maintenance work done on an existing system.

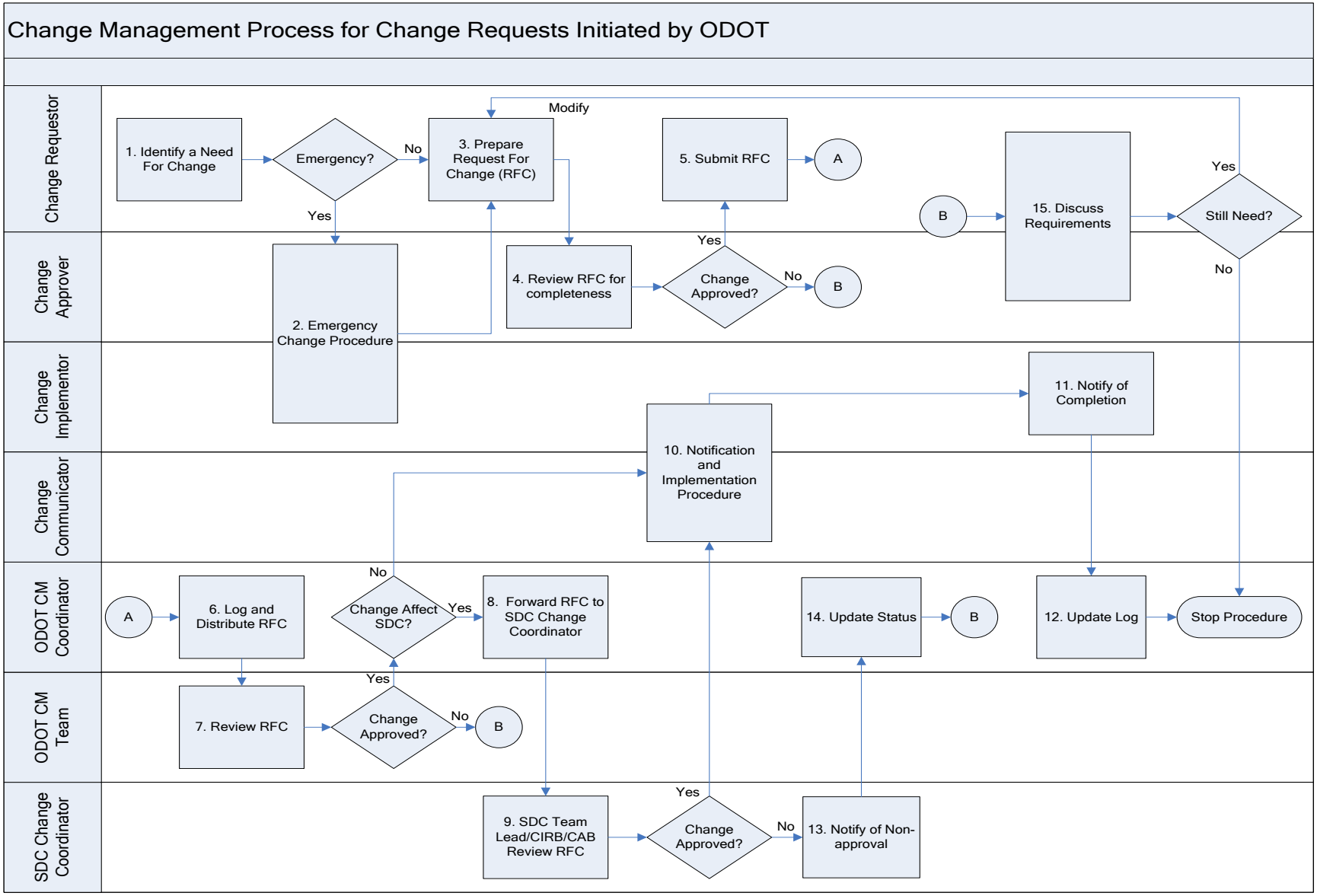
Project Manager – The individual responsible and accountable for the overall planning, execution, and control of the project that introduces a change.

Change Request/Request For Change (RFC) – Form used to record details of a request for a change to any component within the infrastructure or to procedures and items associated with the infrastructure. The component may vary widely in complexity, size, and type, from an entire system (including all hardware, software, and documentation) to a single module or a minor hardware component.

State Data Center Change Approval Board (SDC CAB) – A team of individuals from the SDC who provide expert advice regarding the implementation of requested changes. This board is designed to be made up of representatives from every domain within the SDC organization, in addition to representatives from impacted agencies. This board will review all proposed changes to determine if there are any conflicts or issues with the proposed work.

Urgent Change Request - Failure, impending failure, or unacceptable degradation in performance of an IT infrastructure component, calling for change actions before the normal processing of a change request can be completed, but is not considered an emergency change. Urgent issues typically can wait for proper customer notification and an acceptable maintenance window to perform the change and does not immediately impact production services to the point that changes must be made immediately. A change request must be approved by the System Manager and System Contact prior to the change. Change requests must be submitted and distributed through the Change Management process before the change is implemented, but does not require the normal 48-hour customer notification. An example of this type of change would be an application fix that must be implemented quickly to correct a processing error.

Tracking Only/Informational Requests – This type of request may include minor updates for programs, applications, non-infrastructure with low risk, and the developer has already notified the customer. These changes would be briefly mentioned at the Change Management meeting and only discussed if someone on the call has questions. The requester is not required to attend the meeting.


Change Management Process for Change Requests Initiated by ODOT
Change Requestor
Change Approver
Change Implementor
Change Communicator
ODOT CM Coordinator
ODOT CM Team
SDC Change Coordinator
1. Identify a Need For Change
Emergency?
No
Yes
Modify
3. Prepare Request For Change (RFC)
5. Submit RFC
A
B
15. Discuss Requirements
Still Need?
Yes
No
2. Emergency Change Procedure
4. Review RFC for completeness
Change Approved?
Yes
No
B
11. Notify of Completion
10. Notification and Implementation Procedure
A
6. Log and Distribute RFC
Change Affect SDC?
No
Yes
8. Forward RFC to SDC Change Coordinator
14. Update Status
B
12. Update Log
Stop Procedure
7. Review RFC
Change Approved?
Yes
No
B
9. SDC Team Lead/CIRB/CAB Review RFC
Change Approved?
Yes
No
13. Notify of Non-approval

#	Procedure Step Summary	Responsibility
START	**Start Procedure** The entry criteria for this procedure is that an ODOT person becomes aware of an event that requires a change to be made to the ODOT or Oregon State Data Center (SDC) technical infrastructure or application systems.	
1.	**Identify a Need for Change** A change is identified as necessary to be made to technical infrastructure or application systems on supported infrastructure. There are three types of changes, Emergency, Urgent, and Routine/Planned changes.	Change Requestor
2.	**Emergency Change Procedure** Implement an immediate change due to unexpected stoppage or incorrect performance of the infrastructure or applications. When possible, management approval and customer notification take place prior to implementing the change.	Change Implementer Change Approver
3.	**Prepare Request For Change (RFC)** Acquire the RFC form from the ODOT IS Change Management webpage and fill it out with the specifics of the change.	Change Requestor
4.	**Review RFC for Completeness** Acquire Business System Manager and Project Manager/Maintenance Team Lead approval for routine changes. Acquire IS Manager's approval for Urgent or Emergency Change Requests.	Change Approver
5.	**Submit RFC** Submit the RFC to "ODOT ISB Change Management" mailbox. Normal RFCs must be submitted by 2:00 pm on the day prior to Change Management meetings.	Change Requestor
6.	**Log and Distribute RFC** Enter the RFC in the Change Management Log and send out email of all new RFCs to the ODOT IS Change Management distribution group.	ODOT CM Coordinator
7.	**Review RFC** Evaluate impact of request and modify request as appropriate to minimize impact on infrastructure and application users. Approve or deny all RFCs. If RFC is denied, go to step 15.	ODOT CM Team
8.	**Forward RFC to SDC Change Coordinator** If change will affect the SDC, forward the approved RFC to the SDC Change Coordinator	ODOT CM Coordinator
9.	**SDC Team Lead/CIRB/CAB Review RFC** The SDC Change Coordinator will forward RFC to the domain team lead for review. Team lead will evaluate impact of request and RFCs with potential impact will be added to the SDC CIRB agenda and follow the SDC change process. SDC CIRB and CAB can approve or deny all RFCs. If RFC is denied, go to step 13.	SDC Change Coordinator

#	Procedure Step Summary	Responsibility
10.	**Notification and Implementation procedure** Communicate the planned change to the customer and implement the change.	Change Communicator Change Implementer
11.	**Notify of Completion** Communicate change completion to the ODOT CM Coordinator.	Change Implementer
12.	**File Requests** Promote submitted requests to appropriate areas for filing.	ODOT Change Coordinator
13.	**Notify of Non-Approval** Communicate decision of non-approval by the SDC CAB to the ODOT Change Coordinator.	SDC Change Coordinator
14.	**Update Status** Update the status of the RFC in the Change Log.	ODOT Change Coordinator
15.	**Discuss Requirements** Discuss the change requirements to determine if the request should be modified and resubmitted.	Change Requestor Change Approver
STOP	**Stop Procedure** The exit criteria for this procedure are change requests have been implemented and associated change request documents have been appropriately filed.	

Procedure Step 1 – IDENTIFY A NEED FOR CHANGE

#	Procedure Step Detail	Responsibility
1.1	Infrastructure or application element is in need of change: • Emergency – element has broken or is performing poorly and is in need of immediate repair. • Urgent – element must be changed according to a schedule with less than standard notification lead-time. • Routine/Planned – element is to be changed according to a schedule with sufficient notification lead-time. • Tracking Only/Informational Requests – minor updates for programs, applications, non-infrastructure with low risk. The developer has already notified the customer.	Change Requestor

Procedure Step 2 – EMERGENCY CHANGE PROCEDURE

#	Procedure Step Detail	Responsibility
2.1	Get approval for change from IS Manager. Notify System Manager and System Contact of change.	Change Implementer Change Approver
2.2	Repair broken elements of infrastructure or application.	Change Implementer

Procedure Step 3 – PREPARE REQUEST FOR CHANGE (RFC)

#	Procedure Step Detail	Responsibility
3.1	The RFC document is a Word template. The form and instructions can be found on the ODOT IS Change Management webpage. Complete the form recording the details of the needed change.	Change Requestor

Procedure Step 4 – REVIEW RFC

#	Procedure Step Detail	Responsibility
4.1	For routine requests, acquire approval from Business System Manager and either the Maintenance Team Lead for an existing infrastructure element or application system, or the Project Manager for a new infrastructure element or application system. If this is an urgent request, the IS Manager will review and approve.	Change Approver

Procedure Step 5 – SUBMIT RFC

#	Procedure Step Detail	Responsibility
5.1	E-mail the completed and approved RFC to the ODOT CM Coordinator at ISB.Change.Management@odot.state.or.us. Cut off for submission is 2:00 PM on Tuesday and Thursday to guarantee review at the next scheduled Change Management meeting held on Wednesdays and Fridays at 10:30 a.m. If this is an urgent request, it should be submitted by an IS Manager.	Change Requestor or IS Manager

Procedure Step 6 – LOG AND DISTRIBUTE REQUESTS

#	Procedure Step Detail	Responsibility
6.1	Check ODOT ISB Change Management inbox for new messages.	ODOT CM Coordinator
6.2	Review the RFC for completeness and accuracy. Return it to the author if not filled out correctly or completely, if it is unclear or if the proper approval documentation has not been obtained.	ODOT CM Coordinator
6.3	If this is a new RFC: • Assign the next available tracking number to the RFC. • Add request information to the Change Management Log. • Save numbered RFC in "Outstanding Requests" ~~public~~ folder.	ODOT CM Coordinator
6.4	If this is a revised RFC: • Modify Change Management Log to reflect changes. • Save RFC in "Outstanding Requests" ~~public~~ folder.	ODOT CM Coordinator

6.5	If this is an emergency or urgent request: • Mark the request as urgent or emergency if not already marked. • Indicate the request as urgent or emergency in the Change Management Log. • If the change has not yet been implemented, immediately send the RFC to the ODOT IS Change Mgmt e-mail distribution list.	ODOT CM Coordinator
6.6	After 3:00 PM on the day prior to Change Management meeting: • Prepare log for next day's meeting and save in the shared folder. • Update Change Calendar with new or revised requests. • Send log and calendar to ODOT IS CHANGE Mgmt-Distribution Group as well as a link to the "Outstanding Requests" public folder.	ODOT CM Coordinator

Procedure Step 7 –REVIEW RFC

#	Procedure Step Detail	Responsibility
7.1	When emergency or urgent requests are received: • Review request for potential impact on users. • If there are immediate questions or concerns, contact Change Requestor.	ODOT CM Team
7.2	When Change Management log is received, prepare for next Change Management meeting by: • Reviewing Change Management calendar. • Reviewing Outstanding Requests.	ODOT CM Team
7.3	Facilitate Change Management Meeting. Current schedule for meetings is 10:30 AM on Wednesdays and Fridays. The meeting is held in the TLC Crater Lake conference room. The meeting can be attended via teleconference by calling 888-895-4286; participant code 277919 (host code 980010) Order of business for meeting is: • Record attendance. • Review the RFCs in tracking number sequence. There must be someone present in person or by phone to represent the request or it will be marked as PENDING and held for the next Change Management meeting. ODOT CM Coordinator calls for questions, comments or concerns. The request is discussed and revised as needed to assure minimal impact on users. After the Change Request is discussed, the ODOT CM Coordinator identifies and documents the request as approved, approved as revised, or denied. • Announce upcoming events such as standing changes, office closures, time change or periods of unattended operation. • Meeting attendees report on upcoming events such as new requests to be sent.	ODOT CM Coordinator ODOT CM Team Change Requestor

#	Procedure Step Detail	Responsibility
7.4	If the Change Request was revised during discussion, the Change Requestor will send revisions to the ODOT CM Coordinator after the meeting.	Change Requestor
7.5	At the conclusion of the meeting, the ODOT CM Coordinator and Computer Support Desk Representative will review all approved routine requests to determine if there is a minimum of 48-hour lead-time allowed between notification of the customers and execution of the change, as required by the ODOT Service Level Agreement.	ODOT CM Coordinator Computer Support Desk Manager Representative
7.6	After Change Management meeting: • Update Change Management Log to indicate requests with the date they were presented. • Move requests for "RFCs" that have already taken place from the "Outstanding" to "Past" folder. When "Past" folder exceeds about 50 postings, move the oldest excess postings to the archive folder for the year. File the request with its original e-mail message in the "Processed" folder. • Move requests for changes that were presented but have not taken place yet, from the "Outstanding" folder to the "Pending" shared folder.	ODOT CM Coordinator

Procedure Step 8 – FORWARD RFC TO SDC CAB

#	Procedure Step Detail	Responsibility
8.1	Add "Approved" to the Status field on the RFC and then forward any approved ODOT Change Requests that impact the SDC or other state agencies to the SDC by sending the RFC to sdc.changemanagement@state.or.us for processing. SDC change request submission criteria: Change impacts 1) hardware or system software located at the SDC, 2) hardware or system software supported by the SDC, or 3) hardware or system software that may impact hardware or system software located at the SDC. The SDC is responsible for coordinating and communicating all change requests for shared service equipment, network, and other infrastructure items which may potentially have an impact on other agency systems. Currently the SDC deadline for RFCs is Wednesday at 5 p.m. to ensure that the RFC is reviewed at the CAB meeting on Thursdays at 2:00 P.M.	ODOT CM Coordinator

Procedure Step 9 – SDC CAB REVIEW OF RFC

#	Procedure Step Detail	Responsibility
9.1	Review the RFCs per the SDC Change Management Process which is documented on the SDC S3 site below: https://www.oregonsdc.org	SDC CAB
9.2	If the RFC is approved, notify the ODOT CM Coordinator. If the RFC is not approved, go to step 13.	SDC CAB

Procedure Step 10 – NOTIFICATION AND IMPLEMENTATION PROCEDURE

#	Procedure Step Detail	Responsibility
10.1	Change Communicator contacts customers with information about impending change. Change Communicator will keep customers informed with the progress of the change and whether it was successful or had to be backed out.	Change Communicator
10.2	All routine RFCs with potential customer impact are required to have at least a 48-hour customer notification period before implementation. The 48 hour time period starts at Noon on the day of the Change Management Meeting. If the RFC has gone to the SDC CAB but will only impact ODOT, the change can be implemented as soon as there is SDC CAB approval. If the RFC will impact other agencies, there will need to be a 48-hour customer notification period following the SDC CAB approval.	Change Implementer
10.3	Implement change as scheduled. Backout change if necessary. If the change is unsuccessful, the request can be rescheduled for a later time by submitting a revised request and looping back through the review process.	Change Implementer
10.4	For changes that impact customers, the Computer Support Desk will track customer inquiries and complaints related to the change.	Computer Support Desk

Procedure Step 11 – NOTIFY OF COMPLETION

#	Procedure Step Detail	Responsibility
11.1	When the change is successfully implemented, notify ODOT CM Coordinator of completion date and time.	Change Implementer

Procedure Step 12 – UPDATE LOG

#	Procedure Step Detail	Responsibility
12.1	Update the Change Management Log with the change completion date.	ODOT CM Coordinator

Procedure Step 13 – NOTIFY OF NON-APPROVAL

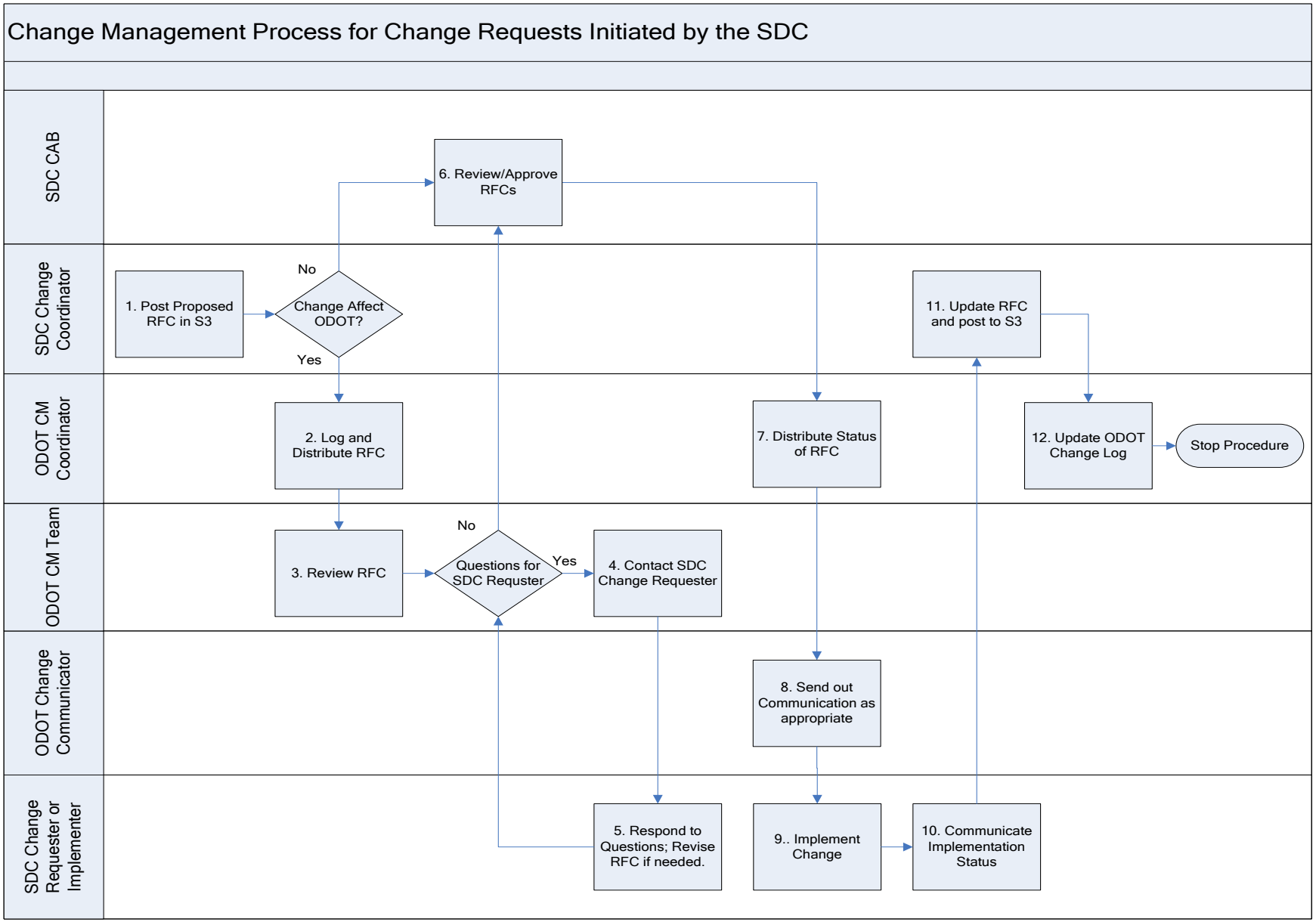
#	Procedure Step Detail	Responsibility
13.1	If the SDC CAB does not approve the RFC they are to notify the ODOT CM Coordinator.	SDC CAB

Procedure Step 14 – UPDATE STATUS

#	Procedure Step Detail	Responsibility
14.1	Update the Change Management Log of non-approval.	ODOT CM Coordinator
14.2	Notify the Change Requestor and Change Approver of non-approval.	ODOT CM Coordinator

Procedure Step 15 – DISCUSS REQUIREMENTS

#	Procedure Step Detail	Responsibility
15.1	Concerns about the RFC should be discussed and a determination made as to whether the need for change still exists or not. If still needed, the RFC should be modified to accommodate the concerns and resubmitted.	Change Requestor Change Approver


Change Management Process for Change Requests Initiated by the SDC
SDC CAB
SDC Change Coordinator
ODOT CM Coordinator
ODOT CM Team
ODOT Change Communicator
SDC Change Requester or Implementer
6. Review/Approve RFCs
1. Post Proposed RFC in S3
No
Change Affect ODOT?
Yes
11. Update RFC and post to S3
2. Log and Distribute RFC
7. Distribute Status of RFC
12. Update ODOT Change Log
Stop Procedure
3. Review RFC
No
Questions for SDC Requster
Yes
4. Contact SDC Change Requester
8. Send out Communication as appropriate
5. Respond to Questions; Revise RFC if needed.
9.. Implement Change
10. Communicate Implementation Status

#	Procedure Step Summary	Responsibility
START	**Start Procedure** The entry criteria for this procedure is that a SDC staff member becomes aware of an event that requires a change to be made to the ODOT or Oregon State Data Center (SDC) technical infrastructure or application systems.	
1.	**Post Proposed RFCs in S3** All proposed RFCs are posted to the shared SDC Change Management communication point. Currently this is in S3. .	SDC Change Coordinator
2.	**Log and Distribute RFCs** Review the proposed RFCs and identify the ones that may impact ODOT and process Change Request as appropriate.	ODOT CM Coordinator
3.	**Review RFC** Evaluate impact of request. There will be no representation from the SDC on the RFC. Any questions prior to granting approval will be sent to the SDC for clarification.	ODOT CM Team
4.	**Contact SDC Change Requester** Any concerns or questions that need to be addressed may be sent to the SDC Change Initiator or SDC Change Management for clarification.	ODOT CM Coordinator ODOT CM Team
5.	**Respond to Questions; Revise RFC as needed** Respond to individual questions regarding the change.	SDC Change Requester
6.	**Review/Approve RFC** Evaluate impact of request and modify request as appropriate to minimize impact on infrastructure and application users. Approve or deny all RFCs. ODOT will participate in the SDC CAB meeting and bring any unanswered questions or concerns.	SDC CAB ODOT CM Coordinator
7.	**Distribute Status of Changes** Distribute the status of the RFCs to the ODOT IS Change Management Distribution Group.	ODOT CM Coordinator
8.	**Send out Communication as appropriate** Communicate the changes to the appropriate audience in the appropriate manner (may be Change Requestor, Computer Support Desk or DMV Help Desk)	ODOT Change Communicator
9.	**Implement Change** Implement change as scheduled. Backout change if necessary. If change is unsuccessful, the request can be rescheduled for a later time by submitting a revised request and looping back through the review process.	Change Implementer
10.	**Communicate Implementation Status** When the change is successfully implemented, notify SDC CM Coordinator of completion date and time.	Change Implementer
11.	**Update RFC and post to S3 site** Update the status of the RFC in SDC S3 site.	SDC Change Coordinator
12.	**Update ODOT Change Log** Update the status of the RFC in the ODOT Change Log.	ODOT CM Coordinator

#	Procedure Step Summary	Responsibility
STOP	**Stop Procedure** The exit criteria for this procedure are RFCs have been implemented and associated change request documents have been appropriately filed.	