Change Management Departmental Policy
Health Sciences Center

Document Control
Change log

<table>
<thead>
<tr>
<th>Name</th>
<th>Version</th>
<th>Date</th>
<th>Action or change</th>
</tr>
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<tbody>
<tr>
<td>Michael Campbell</td>
<td>1.00</td>
<td>5/6/2013</td>
<td>Rewrite to be HSC centric.</td>
</tr>
<tr>
<td>Michael Campbell</td>
<td>1.1</td>
<td>7/3/2013</td>
<td>Inserted special exception in 3'd policy statement to allow UNMH IT Clinical Department to use their home grown system to record changes until they fully move to using the Help.HSC system.</td>
</tr>
<tr>
<td>Sally Bowler-Hill</td>
<td>1.2</td>
<td>1/30/2014</td>
<td>Updated policy to incorporate feedback from change management maturity assessment and to move procedures into a separate procedures document.</td>
</tr>
<tr>
<td>Michael Campbell</td>
<td>1.3</td>
<td>6/2/2015</td>
<td>Minor changes from Steve Stockdale. Changed Change Management Process Owner to Change Process Owner. Added Change Manager, Change Process Owner and Change Advisory Board to key definitions. Changed wording around the special exception for the UNMH IT Clinical Department to better define the exception.</td>
</tr>
<tr>
<td>Rick Adcock</td>
<td>1.4</td>
<td>5/16/17</td>
<td>Change the Purpose and Objectives sections to be broader that just the major IT providers</td>
</tr>
<tr>
<td>Rick Adcock</td>
<td>1.5</td>
<td>10/13/17</td>
<td>Added change model definition</td>
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<tr>
<td>Rick Adcock</td>
<td>1.6</td>
<td>12/12/17</td>
<td>Added clause for re-approval while EOC is active</td>
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Introduction

Managing change within the Information Technology (IT) environment is critical to delivering quality IT services to the UNM HSC community. Change management is the process for controlling changes to the live production environment while minimizing service disruptions. According to the IT Infrastructure Library (ITIL), “the goal of the Change Management process is to

- Respond to the customer’s changing business requirements while maximizing value and reducing incidents, disruption and re-work
- Respond to the business and IT requests for change that will align the services with the business needs.”

Purpose of this Departmental Policy

The purpose of this policy is to define a consistent approach to managing changes to Information Technology services and increase the awareness and understanding of proposed changes. This policy applies to all changed implemented by IT service providers within the UNM Health Sciences Center.

Policy Objectives

- Minimize the introduction of new incidents and errors due to unplanned, untested changes
- Ensure that standardized methods and procedures are used for the efficient and prompt handling of all changes to quickly incorporate new user requirements, without negatively affecting service quality.
- Ensure that changes follow a standard process of:
  - Planning
  - Documentation
  - Evaluation
  - Review
  - Approval
  - Communications
  - Testing
  - Implementation
  - Post-change Review

Effective Dates

- UNMH IT will implement this policy effective 5/1/2013.
- HSLIC will implement this policy effective 1/1/2013.

Policy Statements

All IT employees and departments are required to fully adhere to all provisions of this policy and are responsible for insuring compliance by the suppliers, contractors and temporary staff they work with.
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All participating departments and their IT employees should be familiar with and follow the published change management procedures.

All changes to the IT production environment must follow this policy.

All Requests for Change (RFCs) will be created in and processed within Help.HSC. SPECIAL EXCEPTION: The UNMH IT Clinical Department will use their homegrown change management system to create and process their internal RFC’s and will use Help.HSC for all interface and system wide downtime RFC’s.

A Change Process owner will be designated by the HSC CIO’s office. The process owner, in consultation with the HSC PSMC Change Advisory Board, will oversee changes to the overall Change Management process, will maintain up to date change management procedures, and will name one or more Change Managers responsible for overseeing the overall operation of the Change Management process work flow within the overall organization or within designated work groups.

The Change Advisory Board (CAB) will approve or reject all RFCs evaluated during that CAB meeting.

The Change Manager is accountable for gaining and recording the approval of each change. The Change Manager will take into account the input of all appropriate stakeholders.

Change Managers are accountable to coordinate with each other on an as needed basis, to ensure that IT stakeholders are included for changes that cross organizational boundaries. Coordination may include change impact analysis, scheduling, and communication.

Approved changes that are scheduled while an Emergency Operations Center (EOC) is activated must be re-approved by Directors/Administrator for a new risk determination with the EOC context. Otherwise the change must be re-scheduled and processed through the CAB.

Normal Changes
A Normal Change is one which will affect services in the production environment, either by:

□ Causing a service outage, or
□ Running a significant risk of causing an outage, or
□ Introducing a significant security risk or security profile change, or
□ Creating a significant change in the end user experience

regardless of whether the change is made during a normal maintenance window or not. All Normal Changes must be approved by the appropriate CAB, and communicated to the appropriate stakeholders prior to implementation.

Change models for normal changes will be submitted to a CAB to follow the normal approval process.

If a Change initiated from a Change model results in an unplanned production outage or service disruption, the Change Manager will call the Change model back to the CAB for review.

The appropriate Change Manager or CAB may decide that the scope or risk of a particular Normal Change requires senior leadership approval, and escalate it to the appropriate leadership group.

Expeditied Changes
An Expedited Change is a Normal Change that must be expedited for approval more quickly than the normal CAB process allows, due to critical business requirements or risk.
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Expedited Changes must be approved by the appropriate Change Advisory Board (CAB).

The CAB will review and approve the Expedited Change via email or other collaborative tools.

The Change Manager will ensure that all RFCs processed by the CAB are properly documented in Help.HSC as soon as possible.

Emergency Changes (approved after the fact)

A Change that must be made before a CAB can be convened to review and approve it due to a repair or error in an IT service that is causing a negative impact. Incident resolution may sometimes require Emergency Changes. Examples include a critical service-down that requires a quick hardware swap-out, or a late-night system emergency when the Change Manager or others may not be available.

An Emergency Change must follow these steps:

- If time allows, the Change Initiator must make a good-faith effort to contact their manager or the appropriate Change Manager to give them the opportunity to approve the change prior to making it.

- Once the change is deployed and the incident is resolved, the Change Initiator must document the change in Help.HSC as a Emergency Change.

- The Change Manager and the CAB will review all Emergency Changes at their next scheduled meeting.

Standard Changes

A type of change that follows an established procedure or work instruction and is relatively common. Their risk profile is the inverse of the Normal Change, meaning they do not:

- Cause a service outage,
- Run a significant risk of causing an outage, or
- Introduce a significant security risk or security profile change, or
- Create a significant change in the end user experience.

Change Models for Standard Changes will be defined by each IT group making production changes. IT personnel may submit a Change Model for each proposed Standard Change for review by the appropriate CAB, using a Normal RFC.

Once a Change Model is approved by the CAB, subsequent changes of that type may be done without bringing an RFC to the CAB.

If a Standard Change results in a production outage or service disruption, the Change Manager will call the Change Model back to the CAB for review.

Service Requests which trigger changes to configuration items (CI's) in the production environment will also be authorized via Change Management. Normally these are Standard Changes using a Change Model, and only the Change Model requires approval, not each individual change.
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Local Review Changes

A Local Review change is a Standard Change which requires some form of approval. The team manager will determine whether a team member or a manager must review the Standard Change prior to implementation.

Log-Only Changes

A Standard Change Model which has been reviewed and approved by the CAB, and which the team manager agrees can be made without further review.

Unauthorized Changes

Any change in the scope of this policy which does not follow an approved process is an Unauthorized Change.

IT Directors and Managers are accountable for any unauthorized changes implemented by staff in their units.

Change Models

Change models are pre-defined and establish the steps for handling a specific type of change in an agreed way.

- Change models may be very complex with many steps that may require authorization by a CAB (e.g.: a major software release) or may be very simple with only the need for local authorization

The change model includes:

- The steps (in chronological order) that should be taken to handle the change including how to handle issues and unexpected events
- Responsibilities (who should do what)
- Time scales and thresholds for completion of actions
- Escalation procedures – who should be contacted and when

Continual Improvement

The Change Process Owner and Change Manager(s) will regularly review the health of the Change process to ensure that it is clearly defined, designed, and performing to meet the needs of the customer. They will collect suggestions for improvement as part of this review.

The Change Process Owner will

- approve the scope and definition of the revised process;
- approve metrics used to measure the process improvements;
- ensure a design team with the necessary skills is formed; and
- approve the revised process for rollout.
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Key Definitions

Change – The addition, modification or removal of an IT service or service component and its associated documentation.

Change Model – The step-by-step process to be followed to record, review and implement a Change.

Change Record – The record within Help.HSC that contains all of the information relative to a change. This information includes justification, risk and impact analysis, communication, approvals, phases, and tasks associated with accomplishing the change.

Change Manager – This person has overall operational responsibility for the change management process in the IT department or designated sub-department. Accountable for vetting that the change request is accurate and complete and includes enough information for the CAB to approve or reject the proposal. May make the determination regarding categorization and classification of the request. Publishes metrics and the Change Schedule.

Change Process Owner - A manager who provides management control and guidance for the process in the IT department. Accountable for process design, operation, and improvement. Approves process rollout and changes to the process. Coordinates with Change Process Owners in other IT departments to ensure common practices where appropriate.

Change Advisory Board (CAB) – The CAB is a cross-functional team responsible for assessing change requests in terms of business need, cost benefit, viability, and potential impacts to existing systems or processes. The CAB instructs the Change Manager to approve, defer, return, reject or cancel changes. Also, the CAB makes recommendations related to change implementation. Each organization will define their CAB or CABs depending on their own change management process.

Change Schedule (CS) - The CS shows when all changes are to take place within the entire IT infrastructure. This at-a-glance change schedule makes it possible to see available change windows and possible conflicts.

Configuration Item (CI) – An IT component that is significant enough to be under Configuration Management control. Each CI can be composed of other CIs. CIs may vary widely in complexity, size, and type from an entire system (including all hardware and documentation) to a single software module or a minor hardware component.

Request for Change (RFC) – This is the formal change request, including a description of the change, components affected, business need, cost estimates, risk assessment, resource requirements, and approval status.
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Changes to the Policy

This policy is subject to review and any stipulation may be permanently changed if a formal request is approved. Anyone wishing to make a change may submit the change to the Change Manager in writing. Once reviewed by the Change Process Owner(s), the change will require approval of the CIOs of the sponsoring organizations.

This policy shall be reviewed annually by the Change Process Owner and the ITIL Program Managers to look for opportunities for improvement and to ensure that practice continues to match the policy.

Supporting Documentation

- Change Management Procedures

Acceptance

The undersigned have reviewed this document and approve its contents and agree to enforce this policy in their organization, including determining appropriate corrective action for non-compliance.

<table>
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<th>Change Management Departmental Policy APPROVAL</th>
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<tbody>
<tr>
<td><strong>Signature</strong></td>
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<tr>
<td><strong>Matt Braun</strong></td>
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<tr>
<td>HSC CIO</td>
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<td><strong>Dawn Harrington</strong></td>
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