# IT: CHANGE MANAGEMENT PROCEDURE

| | | | |
|---|---|---|---|
| **Procedure Type:** | Institution | **Initially Approved:** | April 01, 2011 |
| **Procedure Sponsor:** | VP Administration | **Last Revised:** | August 11, 2020 |
| **Administrative Responsibility:** | Computing & Technical Services (CTS) | **Review Scheduled:** | August 2025 |
| **Approver:** | President and CEO | | |

## A. INTENT

This document provides the management authority and control process to initiate, execute, implement and control changes to Information Assets at AUArts.

## B. SCOPE

This procedure applies to all requests for changes to AUArts information assets.

## C. PROCEDURES

### 1. Initiate, Review, and Evaluate the Impact

1.1 A Change Requestor sends an email to the helpdesk requesting a change and providing as much information as possible. A Helpdesk Ticket is created.
1.2 The Helpdesk Ticket is reviewed and assigned to an IT person who will act as the Change Initiator throughout the RFC process.
1.3 The IT person enters a dialogue with the Change Requestor to review the RFC.
1.4 The Requestor and C+TS evaluate the Change Type as Standard, Significant, or Emergency.

### 2. Authorize the Change

2.1 Standard changes are typically low impact and low risk to the AUArts production environment and may be pre-authorized by the ITSC.
2.2 Significant changes are presented to the ITSC for pre-authorization. Significant changes are reviewed by the ITSC.
2.3 Emergency Changes are presented to the ITSC, but due to the urgency, may be implemented quickly without pre-authorization. Emergency changes are reviewed by ITSC.

### 3. Coordinate and Implement the Change

3.1 An RFC is created in the Helpdesk Ticket System for review by the ITSC. A standard title naming convention “C+TS | [System Name] | [Change Title]” is used.
3.2 A review of the change plan, approvals, and progress is tracked via the Helpdesk Ticket System throughout the life of the change.
3.3 Communications are sent to business users with any relevant documentation retained and attached within the Helpdesk Ticket System.

### 4. Review and Close the Change Request

4.1 A review process shall be conducted for non-standard changes to ensure the change was implemented as planned and has met the requirements from the original change request. In most cases, the post implementation review will be very brief.
4.2 The Change Initiator will document the results of the change in the Change Log. ITSC members shall review non-standard changes on closed tickets and conduct follow up where required.

## Roles and Responsibilities

### 5. Change Requestor

5.1 Initiates a change dialogue by requesting a change in an email to the helpdesk.
5.2 Ensures the information submitted is correct and complete.
5.3 Monitors the impact of the change along with the Change Approver and Change Initiator.
5.4 Participates in a review of the RFC with the Change Initiator and Change Approver (Information Asset Owner).

### 6. Change Approver/Information Asset Owner

6.1 Approves the change request, understanding the impact to the Information Asset.
6.2 Contributes to, and approves, the test plans.
6.3 In consultation with the Change Initiator, develops a restoration plan should testing fail.
6.4 Ensures completeness of the RFC.
6.5 Monitors the impact of the change along with the Change Requestor and Change Initiator.

**7. Change Initiator**

7.1 Ensures the change management process (i.e., approval requirements and testing) is followed.
7.2 Reviews the RFC and presents it to an ITSC meeting for approval, if required.
7.3 Manages the Change Log stages of review, evaluate, approve, implement and close.
7.4 Monitors the impact of the change along with the Change Requestor and Change Approver.

**8. ITSC**

8.1 Evaluates, schedules and coordinates change requests based on business need, priority, and impact to other systems or processes.
8.2 Approves significant changes in consultation with the Change Initiator and Change Approver.
8.3 Publishes a list of pre-approved or pre-authorized standard changes.
8.4 Regularly reviews changes to the environment.

**9. Emergency Team (ET)**

9.1 Assesses and approves Emergency Changes.
9.2 Reviews the status of the Emergency Change throughout the change management process.

**10. C+TS Personnel**

10.1 Implements approved changes to the production environment.
10.2 Assists the Change Initiator in developing and completing tests to ensure the stability and functionality of the change.

## D. DEFINITIONS

| | |
|---|---|
| Change: | A modification to the existing code, configuration or parameters; the addition of a new configuration; or the disabling/enabling of modules that may affect the production environment or one of its components. |
| Request for Change (RFC): | A Request for Change may include the change description, business need, change category, change priority, cost estimates, risk assessment, resource requirements, and approval status. In all cases, a Helpdesk ticket is used to initiate an RFC. |
| Change Requestor: | Individual who initiates the RFC. The Change Requestor may or may not be the Information Asset Owner. |
| Change Initiator: | IT individual assigned to review, evaluate, coordinate and close an RFC. |

| | |
|---|---|
| Change Approver: | Information asset owner or designate. |
| Information: | AUArts data in any form or media, including databases and computer files, which is collected, transmitted, stored or maintained on AUArts' information systems or elsewhere. |
| Information Systems: | AUArts' Information Technology (IT) networks, systems and applications. |
| Information Assets: | Information and Information Systems. |
| IT Steering Committee (ITSC): | Membership for the ITSC is defined in the ITSC Terms of Reference. The ITSC meets regularly to evaluate change requests and coordinate IT management responsibilities. |
| Helpdesk Ticket System: | An automated tracking system for information, change, and trouble inquiries that assigns ticket numbers and maintains records of actions. |
| Helpdesk Ticket: | An entry within the Helpdesk Ticket System, identified by a unique ticket number. |
| Change Type: | A change classification that determines the impact on the business process or operation as defined below: |

- *Standard* Change:
  - Tasks are well known and proven
  - Has been pre-approved by IT Steering Committee
  - Change process is usually initiated by the C+TS group (i.e., version & patch management)
  - Budgetary approval is within the control of the Change Requestor and/or Change Approver
- *Significant* Change:
  - Requires careful management and coordination between the IT asset owner and C+TS.
  - Has significant implications when completed and the possibility of significant disruption if it fails.
- *Emergency* Change
  - Of a critical nature.
  - Reserved for situations where the physical safety of an individual is in jeopardy, or students are pre-empted from receiving training, or students are blocked from registering in courses, or time critical financial transactions are blocked.
  - Reserved for situations requiring immediate remediation to prevent further disruption to AUArts computing environment.

| | |
|---|---|
| Change Log: | Change details maintained in the Helpdesk Ticket System |
| Emergency Team: | At least 2 members of the ITSC responsible for approving emergency changes; preferably including an available Director. |
| Information: | AUArts data in any form or media, including databases and computer files, which is collected, transmitted, stored or maintained on AUArts' information systems or elsewhere. |
| Information Systems: | AUArts' Information Technology (IT) networks, systems and applications. |
| Information Assets: | Information and information systems. |
| Information Asset Owner: | The AUArts employee responsible for the management of an information asset. |

## E. RELATED POLICIES

- Information Security Policy

## F. RELATED LEGISLATION

## G. RELATED DOCUMENTS

- IT Change Request Form
- ITSC Meeting Minutes

## H. REVISION HISTORY

| Date (mm/dd/yyyy) | Description of Change | Sections | Person who Entered Revision (Position Title) | Person who Authorized Revision (Position Title) |
|---|---|---|---|---|
| 07/31/2020 | Template Update and Content Revisions | | Director, CTS | |