**Synopsis:**
This procedure implements the Change Control Policy established to control changes introduced into the production operating environments under the direct control of the DTI in a way that appropriately balances the risk of disruption to DTI customers and the effective introduction of necessary changes. It describes the methodology for introducing change into the DTI production environment. These changes can affect applications, networks, hardware, software, databases, physical infrastructure, and other technology assets used by the state of Delaware and the DTI. The guiding principle of Change Control Policy is to protect the DTI's customers from undue risk of service disruption.

**Authority:**
Change Control Policy, 1/29/2003, as revised Aug 2016,

**Applicability:**
This procedure applies to all employees of the Department of Technology and Information (DTI) as well as contractors, agents, vendor service representatives and other state employees authorized to implement changes to DTI's production operating environments (hereafter referred to as Change Agents).

**Recension Information:**
Supersedes all previous versions.

**Effective Date:**
8/21/2003  
**Expiration Date:**
None

**POC for Changes:**
DTI System Control Team

**Approval By:**
Architecture/Data Management Team Leader

**Approved On:**
2/17/2017
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M:\Team Web\DTI Websites\DTI Extranet\pdf\processes\ChangeControlProcess.docx, DTI/CTO/SC, DTI/CPC/OCM, dmk/2/17/2017
Overview
This procedure supports the Department of Technology and Information’s (DTI’s) Change Control Policy (http://extranet.dti.state.de.us/information/dtie_information_policies.shtml). Some Documents associated with this procedure are located on DTI internal servers with limited access. If you are not able to access a specific resource, contact a member of the Systems Control Team. The Change Control Procedure provides a structured method of controlling, reporting, and measuring changes to the production-operating environment. A change is any action that results in an addition to, alteration of, and/or deletion of but not limited to one (1) or more of the following: hardware, software, application, network, or infrastructure of a computer environment or configurable item. It can be any change made to the existing system, application, configuration, or other configurable item, whether the change is a system upgrade, hardware/software addition or deletion, modification to code, or an alteration of networks or infrastructure.

The automated tool, ServiceNow enhances facilitation of the Change Control procedures and process described in this document.

Federal Tax Information Requirement
When Federal Tax Information (FTI) and related systems are involved in a requested change, the retention period of information and handling of the change document is available in the IRS Publication 1075, Tax Information Security Guidelines for Federal, State and Local Agencies. The publication is located on the IRS website at https://www.irs.gov/forms-pubs.

Procedural Framework
The Change Advisory Board (CAB) conducts business and makes decisions using the following framework:

• Initiation (Acceptance)
• Classification (Prioritize and Categorize)
• Approvals (Assess, Authorize, and Schedule)
• Coordination (Build, Test, Implement, and Post-Implementation Review Retention)
• Management Information
• Retention

Roles and Responsibilities
Roles include the Change Manager, Changer Requester, Implementer, Approver(s), and Work Manager(s). See Appendix: Change Control Process Flow – High Level
Change Manager
Leads the CAB and has accountability for the change review meetings along with having final approval for all changes except for Emergency changes.

<table>
<thead>
<tr>
<th>Change Manager Responsibilities</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Receive Request</td>
<td>Log Request</td>
</tr>
<tr>
<td>Assigns coordinator to the change ticket</td>
<td>Convene CAB/EC meetings</td>
</tr>
<tr>
<td>Gives final approval on all changes</td>
<td>Communicates with all necessary parties to coordinate change</td>
</tr>
<tr>
<td>Reviews all change requests for consideration or awaiting action</td>
<td>Produces regular and accurate change control management reports</td>
</tr>
<tr>
<td>Allocates the Change Ticket Number</td>
<td></td>
</tr>
</tbody>
</table>

Change Requester (Initiated by)
This is the resource requiring the change and opening the Request for Change (RFC) ticket (also known as the change request or change ticket). The Change Requester can be the resource opening the change ticket (as the Initiator) or they could be the resource that does not have the authority to submit a RFC and they therefore must work through a change Initiator (ticket owner).

Implementer (Assigned to)
This is the resource implementing the change. This resource is responsible for documenting the change request and for getting approval from the client on the testing results prior to implementation. The Implementer creates the Implementation plan, the Back-out plan, and all other required documentation to support the implementation of the change. The Implementer is responsible for reporting status on the change to the Change Manager after implementation.

Initiator (Ticket Owner)

<table>
<thead>
<tr>
<th>Initiator (Ticket Owner) Responsibilities</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Opens the change request</td>
<td>Can be the same person as the Change Requester</td>
</tr>
</tbody>
</table>
Provide names and information on:
Requestor; Initiator; Requesting Organization; Telephone Number;
Implementer and implementer’s work manager (supervisor); Impacted group(s), customer(s), and/or organizations(s); Approver group(s) to be notified (if known)

<table>
<thead>
<tr>
<th>Provide names and information on:</th>
<th>Annotates support staff requirements and escalation contact names and include vital information</th>
<th>Identifies Change Type: Scheduled Alert Fast Track Emergency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identifies Change Category</td>
<td>Identifies technology affected</td>
<td>Provides Dependencies and Requirements</td>
</tr>
<tr>
<td>Identifies platforms – impacted and exclusively being used for the change</td>
<td>Proposed implementation date and time</td>
<td>Provides Back Out Requirements</td>
</tr>
<tr>
<td>Identifies which Data Center(s) is/are impacted</td>
<td>Provides business and/or technical justification</td>
<td>Provides all necessary documentation is attached according to the Change Type</td>
</tr>
</tbody>
</table>

**Approvers**
This role represents the different functional areas in DTI and applicable agencies and or school districts. Approvers review the change request to ensure the implementation will not have an adverse impact on their area of responsibility and the client they support.

**Work Manager**
The workload manager listed on the change request should be the immediate supervisor of the Implementer.
## Change Type Criteria

<table>
<thead>
<tr>
<th>Scheduled</th>
<th>Alert</th>
<th>Fast Track</th>
<th>Emergency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Impacts a production operating environment</td>
<td>Impacts a production operating environment</td>
<td>Low impact change to the production operating environment</td>
<td>Unscheduled change to the production-operating environment</td>
</tr>
<tr>
<td>Tasks are well known</td>
<td>Time-Bound implementation required outside of a scheduled changer</td>
<td>Does not follow the standard Scheduled Change Procedure</td>
<td>May be required as the result of an unscheduled outage</td>
</tr>
<tr>
<td>Attendance at the CAB meeting is required</td>
<td>Break/Fix Situations</td>
<td>Must be pre-approved on the Fast Track list</td>
<td>Change ticket is entered after the Emergency Change is completed</td>
</tr>
<tr>
<td>Follows an established path and is the accepted solution to a specific requirement or set of requirements</td>
<td>Requires justification describing how the issue is affecting the business along with the rationale for the change (i.e. legislative change)</td>
<td>Allows for a streamlined approach to implementing all pre-approved low-to-no-risk changes</td>
<td>Requires immediate corrections to a system application, hardware, telecommunication, security vulnerability and/or software prevent disruption of the daily production-operating environment</td>
</tr>
<tr>
<td>Requested and approved at least 14 days in advance of implementation date</td>
<td>Attendance at the CAB meeting is required</td>
<td>Attendance at CAB meeting is NOT required</td>
<td>May be preventative corrective action to avoid an outage where no workaround is available</td>
</tr>
</tbody>
</table>

### Appendix:
- **Scheduled Change Workflow**
- **Alert Change Workflow**
- **Fast Track Change Workflow**
- **Emergency Change Workflow**

### Documentation Required:
- Implementation Plan
- Back Out Plan
- Client Sign-off test results
- Other documentation, as needed or requested

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**Automated Change Request – ServiceNow**

The Request for Change (FRC) is captured with the below listed information as entered by the Initiator and will be verified and or assigned by the Change Manager.

<table>
<thead>
<tr>
<th>Information</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Change Ticket Number</td>
<td>Generated Number</td>
</tr>
<tr>
<td>If the change ticket is being generated to solve a problem</td>
<td>Problem is annotated and/or linked to the change ticket</td>
</tr>
<tr>
<td>Name of the Change Requester, Initiator, requesting organization, and telephone number</td>
<td></td>
</tr>
<tr>
<td>Name of the Implementer (assigned to) and the Implementer’s Work Manager (direct supervisor)</td>
<td></td>
</tr>
<tr>
<td>Name of the organization, customers, and or groups impacted by or during the implementation (Impact Analysis Assessment)</td>
<td></td>
</tr>
<tr>
<td>Annotate support staff requirements and escalation contact names with phone numbers and/or beeper numbers</td>
<td></td>
</tr>
<tr>
<td>Name of Approver groups to be notified of the change</td>
<td></td>
</tr>
<tr>
<td>Change Type</td>
<td>Scheduled                                               Fast Track</td>
</tr>
<tr>
<td>Alert</td>
<td>Emergency</td>
</tr>
<tr>
<td>Change Category (Configurable Item)</td>
<td>System Application                                      Facilities</td>
</tr>
<tr>
<td>Note: It is the responsibility of the Change Manager to ensure the correct categorization of the request. The change initiator is only responsible for the first level of the categorization process.</td>
<td>Hardware                                               Inquiry</td>
</tr>
<tr>
<td></td>
<td>Software                                               Output</td>
</tr>
<tr>
<td></td>
<td>Telecommunication                                      Web</td>
</tr>
<tr>
<td></td>
<td>Documentation                                          Decommission</td>
</tr>
<tr>
<td></td>
<td>Administration                                          Data Security</td>
</tr>
<tr>
<td></td>
<td>Go-live                                               Email</td>
</tr>
<tr>
<td>Technology service or facility being affected</td>
<td></td>
</tr>
<tr>
<td>Platforms on which exclusive use is required during the implementation</td>
<td></td>
</tr>
<tr>
<td>Platforms impacted during implementation</td>
<td></td>
</tr>
<tr>
<td>Information</td>
<td>Details</td>
</tr>
<tr>
<td>-----------------------------------------------------------------------------------------------</td>
<td>----------------------------------------------</td>
</tr>
<tr>
<td>Proposed implementation date and time (planned start and end times)</td>
<td></td>
</tr>
<tr>
<td>Back-out time requirements</td>
<td></td>
</tr>
<tr>
<td>Annotate the dates and times of the scheduled outage for the change, if applicable</td>
<td></td>
</tr>
<tr>
<td>List the location(s) impacted by and or during implementation</td>
<td>William Penn – Dover</td>
</tr>
<tr>
<td></td>
<td>DEMA</td>
</tr>
<tr>
<td></td>
<td>Biggs – New Castle</td>
</tr>
<tr>
<td></td>
<td>DOT (various locations to be selected)</td>
</tr>
<tr>
<td></td>
<td>Carvel – Wilmington</td>
</tr>
<tr>
<td></td>
<td>DNREC</td>
</tr>
<tr>
<td>Business and or technical justification (problem resolution, project, benefit gained, etc.) –</td>
<td>System Support Guide</td>
</tr>
<tr>
<td>Only applicable to Alert Changes</td>
<td>Implementation &amp; Back Out Plan</td>
</tr>
<tr>
<td></td>
<td>Data Media Storage Retention Form</td>
</tr>
<tr>
<td></td>
<td>Job Entry Form</td>
</tr>
<tr>
<td></td>
<td>Risk Assessment and Mitigation Plan</td>
</tr>
<tr>
<td></td>
<td>Client Approval of Test Results</td>
</tr>
<tr>
<td>Attach all the necessary documentation based on the change type - documents need to be</td>
<td></td>
</tr>
<tr>
<td>attached with every change request electronically and or manual. If it exceeds the size, then</td>
<td></td>
</tr>
<tr>
<td>include the location of the hard copies of the documents in the ticket manually (via e-mail</td>
<td></td>
</tr>
<tr>
<td>with the appropriate change ticket number stated)</td>
<td></td>
</tr>
<tr>
<td>The Change Manager allocated to the Change Ticket will review it for the applicable detail</td>
<td></td>
</tr>
<tr>
<td>accepting or denying based on whether or not the information in the ticket is complete.</td>
<td></td>
</tr>
<tr>
<td>If the change is denied, the Change Manager is responsible for notifying the Change Initiator</td>
<td></td>
</tr>
<tr>
<td>that the ticket is denied and the reason for denial.</td>
<td></td>
</tr>
<tr>
<td>The Initiator makes the necessary adjustments and notifies the Change Manager that the ticket</td>
<td></td>
</tr>
<tr>
<td>is ready for review once again.</td>
<td></td>
</tr>
<tr>
<td>Change Ticket Number</td>
<td>Generated Number</td>
</tr>
</tbody>
</table>

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If the change ticket is being generated to solve a problem | Problem is annotated and/or linked to the change ticket
---|---
Name of the Change Requester, Initiator, requesting organization, and telephone number
Name of the Implementer (assigned to) and the Implementer’s Work Manager (direct supervisor)
Name of the organization, customers, and or groups impacted by or during the implementation (Impact Analysis Assessment)
Annotate support staff requirements and escalation contact names with phone numbers and/or beeper numbers
Name of Approver groups to be notified of the change
Change Type | Scheduled | Fast Track | Alert | Emergency
---|---|---|---|---
Change Category (Configurable Item)
Note: It is the responsibility of the Change Manager to ensure the correct categorization is used. The change initiator is only responsible for the first level of the categorization process.
System Application | Facilities
Hardware | Inquiry
Software | Output
Telecommunication | Web
Documentation | Decommission
Administration | Data Security
Go-live | Email
Technology service or facility being affected
Platforms on which exclusive use is required during the implementation
Platforms impacted during implementation
Proposed implementation date and time (planned start and end times)
Back-out time requirements
**Annotate the dates and times of the scheduled outage for the change, if applicable**

**List the location(s) impacted by and or during implementation**
- William Penn – Dover
- DEMA
- Biggs – New Castle
- DOT (various locations to be selected)
- Carvel – Wilmington
- DNREC

**Business and or technical justification (problem resolution, project, benefit gained, etc.) – Only applicable to Alert Changes**

**Attach all the necessary documentation based on the change type - documents need to be attached with every change request electronically and or manual. If it exceeds the size, then include the location of the hard copies of the documents in the ticket manually (via e-mail with the appropriate change ticket number stated)**
- System Support Guide
- Implementation & Back Out Plan
- Data Media Storage Retention Form
- Job Entry Form
- Risk Assessment and Mitigation Plan
- Client Approval of Test Results

**The Change Manager allocated to the Change Ticket will review it for the applicable detail accepting or denying based on whether or not the information in the ticket is complete.**

**For a denied change, the Change Manager is responsible for notifying the Change Initiator the reason for denial.**

**The Initiator makes the necessary adjustments and notifies the Change Manager that the ticket is ready for review once again.**
Definition of Documents

System Support
The System Support Guide details information such as the system’s purpose, architecture, criticality, Second Level Support contact, and client contact information. For new systems introduced into the Data Center, a System Support document will be completed and accompany the change. Any modifications to an existing production system will require an updated System Support document to accompany the change. Refer to for System Support Request Template.

Implementation and Back Out Plan
Refer to Appendix: Implementation & Back-Out Plan Sample. The Implementation Plan is a detailed systematic plan that the Implementer follows to move the change request into production. The plan should include Go/No-Go points. Go/No-Go points are established based on the following criteria:

- The implementation time requires more than 1/2 of the allotted change timeframe
- The back-out requires more than 1/3 of the implementation timeframe
- The back-out impacts the entire system (e.g., IPL or server reboot)

The Back-out Plan is detailed with the conditions under which a back out must be executed, the timeframe needed to perform the back-out, the back-out risk assessment, a step-by-step procedure for reversing the change, and a plan to mitigate the severity of any potential negative impact resulting from implementation reversal.

Risk Assessment and Mitigation Plan
The Implementer must document the known risk and prepare a mitigation strategy to overcome the risks. All requests will include a risk assessment score. Refer to the Change Control Risk Assessment Chart to calculate this score. This is only for scheduled changes and alerts.

Test Results
Test Results include evidence the testing is complete and the client is satisfied with the results. A communication from the client stating that testing successfully completed is required prior to approval for implementation. Attach the client signoff on testing results to the change request. Prior to implementation, all security aspects of a change are tested.
Change Classification – Priority and Risk Level

Priority
The assignment of priorities is determined based on the impact of the problem and the urgency for a remedy. The CAB uses the priority rating in the assessment process. While the Change Requester initially sets the priority, the Change Manager can change it. Four (4) priority ratings are available for assigning to a change request.

<table>
<thead>
<tr>
<th>Priority Rating</th>
<th>Priority Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Immediate</td>
<td>An event that affects multiple users or has the potential to disrupt vital state business processes. Immediate action is required. The CAB or CAB/EC meeting may be convened.</td>
</tr>
<tr>
<td>High</td>
<td>An event that severely affects users or impacts a large number of users.</td>
</tr>
<tr>
<td>Medium</td>
<td>An event with no immediate impact on the customer(s); however, rectification cannot be deferred until the next scheduled release cycle or upgrade.</td>
</tr>
<tr>
<td>Low</td>
<td>A change which has is justified/planned, necessary, and can wait until the next scheduled release cycle or upgrade.</td>
</tr>
</tbody>
</table>

Risk
Six risk levels (0-5) are available for assigning to any change request. The appropriate risk level is determined using the Risk Assessment Chart.

Assign a risk score for each of the functional areas and then use the total number to assign the change risk level. For example, a change with a risk score of “1” for the Risk Impact; “3” for Customer Impact; “3” for Business Impact; and “2” for User Impact, receives a score of “9” resulting in a Change Risk Level of “Significant” with a ServiceNow entry of “3 – Moderate Risk.”

<table>
<thead>
<tr>
<th>Risk Score</th>
<th>Risk Impact</th>
<th>Customer Impact</th>
<th>Business Impact</th>
<th>User Impact</th>
<th>Change Risk Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Change cannot be backed out.</td>
<td>Impacts all Agencies/ Organizations and/or Impacts all DTI managed facilities</td>
<td>Service outage causes impact to revenue and/or client services</td>
<td>Impacts 75 percent or more users</td>
<td>Very High</td>
</tr>
</tbody>
</table>
### Risk Assessment Chart

<table>
<thead>
<tr>
<th>Risk Score</th>
<th>Risk Impact</th>
<th>Customer Impact</th>
<th>Business Impact</th>
<th>User Impact</th>
<th>Change Risk Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Detailed Implementation plan includes group coordination. Black Out plans &gt; 30% of the outage window.</td>
<td>Impacts use of entire platform or network and/or Impacts multiple platforms/networks and/or Impacts multiple systems or Agencies/Organizations</td>
<td>Service outage impacts a critical platform or device</td>
<td>Impacts 50 to 75 percent of users</td>
<td>Somewhat high</td>
</tr>
<tr>
<td>2</td>
<td>General implementation plan. Black Out plans &gt; 20% of the outage window</td>
<td>Impacts single Agency/Organization or DTI managed site and/or Impacts use of major component and/or Impacts use of major sub-system</td>
<td>Service outage impacts a non-critical platform or device</td>
<td>Impacts 25 to 50 percent of users</td>
<td>Moderate</td>
</tr>
<tr>
<td>1</td>
<td>Easily validated plan that can be backed out &lt;10% of service window</td>
<td>Users still able to use system during implementation</td>
<td>No service outage</td>
<td>Impacts less than 25 percent of users</td>
<td>Some</td>
</tr>
<tr>
<td>0</td>
<td>Routine jobs performed on a regular basis.</td>
<td>No risk to network</td>
<td>Not even considered</td>
<td>No user impact</td>
<td>Low or None</td>
</tr>
</tbody>
</table>

**Risk Impact + Customer Impact + Business Impact + User Impact = Change Risk Level**

<table>
<thead>
<tr>
<th>Total</th>
<th>Change Risk Level</th>
<th>ServiceNow Entry</th>
</tr>
</thead>
<tbody>
<tr>
<td>14-16</td>
<td>Very High</td>
<td>→ 5 – very high risk</td>
</tr>
<tr>
<td>11-13</td>
<td>High</td>
<td>→ 4 – somewhat high risk</td>
</tr>
<tr>
<td>8-10</td>
<td>Significant</td>
<td>→ 3 – moderate risk</td>
</tr>
<tr>
<td>5-7</td>
<td>Moderate</td>
<td>→ 2 – some risk</td>
</tr>
<tr>
<td>2-4</td>
<td>Low</td>
<td>→ 1 – low risk</td>
</tr>
<tr>
<td>0-1</td>
<td>No Risk</td>
<td>→ 0 – no risk</td>
</tr>
</tbody>
</table>

---

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Change Approval

*Impact and Resource Assessment*
This CAB meeting members assess the impact on the customer’s business operations and services due to the change; the impact on other services that are dependent on same infrastructures such as a software development project; and the impact on the non-IT infrastructure.

*Authorization*
The Change Manager is responsible for reviewing all Request for Change (RFC) submissions. Part of this review is to ensure that different individuals are not making multiple changes to the same software, hardware, and or application at the same time. For situations with change conflicts the following will occur:

- Whenever possible, the Change Manager will review the priority rating of the change to assist in resolving conflicts and reaching an agreement for a path forward prior to the CAB meeting.
- The Change Requester, owner or a representative for the change is responsible for negotiating resolution with the Change Manager.
- The Change Manager communicates conflict resolution to the appropriate parties.
- If additional support is required to resolve the conflict, the Change Manager will convene a meeting of the CAB/EC. The meeting will include the Change Manager, Requester and or Implementer, the DTI Site Supervisor, the implementer’s team leader and other Team Leaders as needed.
- The Implementer’s Team Leader has final approval authority for conflict resolution.

*Approval*
The approver(s) assess the impact of a change on their group and customers, and must either approve or deny a change request. Customer approved, correctly completed change requests are evaluated based on information included in the change request:

- Date/Time/Duration of change
- Description of change
- Impact to customers/organizations and to other scheduled changes
- Priority rating
- Potential conflicts—if concurrent changes are occurring, schedule a separate meeting to discuss
- Security relevance
- Attached, relevant documentation
- Any other information included with the change ticket
For denied change requests, the Change Managers annotates issues surrounding the denial in the change ticket. All issues require resolution prior to resubmitting the request.

**Appealing for Denied Change Request(s)**
The Change Requestor may submit a Change Control Appeal Form to appeal the decision of the CAB.

- The Appeal Form is submitted to the Change Manager
- The Change Managers schedules a CAB/EC meeting to discuss the appeal
- A decision is reached
  - If the appeal is successful, an implementation timeframe will be assigned
  - If the appeal is not approved the request is closed with a completion code of cancelled
- The Change Manager communicates to the Requester the status of the appeal

**Delaying a Change Window**
There may be Instances when a change request has met all the criteria outlined in this document, but the change is delayed to not allowed is not allowed in a specific change window of time. Examples when this may occur are:

- A particular change window has a large number of changes scheduled, and allowing additional changes may cause the environment to become unstable or cause the change window to be missed.
- During Instances of a change freeze. All change freezes will be communicated to the affected customers and DTI at least 14-days in advance.
  - The installation of new mainframe or a major upgrade to an existing mainframe
  - The Data Center & Operations Team Leader implements a necessary change freeze

**Scheduling**
Every member of the CAB is required to review all change requests.

Internal DTI Users: Refer to Location: T:\CAB Minutes and Reports\ (select WP Reports or Biggs Reports) for a Sample of a Forward Schedule Report (Change to Be Reviewed).

For those that do not have access to the DTI Shared Drive please contact the DTI System Control Group via the assigned mailbox resource at: DTI_System_Control@state.de.us

**Coordination**
Coordination includes the facilitating of Test, Implementation, and Post-Implementation Review

**Implementation**

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### Activity | Activity Definition
--- | ---
Report Start/End Times | The implementer notes the actual start and end time of the change.
Implement the Change | The change execution follows the implementation plan attached to the change request.
Go or No-Go | The Implementer makes the decision on going ahead with the change or backing it out.
No-Go or Back Out | The Implementer notifies the Change Manager immediately of a decision to stop or back out the change.
Post Implementation Testing | If multiple components change, each component is tested to verify success.
Status Update | The Change Manager follows up with the Implementer to obtain status.
Major Implementations Follow up | (e.g. PHRST) – Change Manager follows up with the Implementer immediately following the change.
Change requiring an Outage | The Implementer follows up with the Change manager regarding the status of the change.

### Post-Implementation Review

#### Post Implementation Activity

The final stage of a change is the post implementation review, which includes the Change Manager and the Implementer. The purpose is to follow up on the implementation of the change. The Change Manager completes the following steps:

<table>
<thead>
<tr>
<th>Obtain information required to close out the change:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actual start and end times</td>
</tr>
<tr>
<td>Actual outage start and end times (if applicable)</td>
</tr>
<tr>
<td>Change results</td>
</tr>
</tbody>
</table>

Verify success or failure of the change:

| Change implemented in accordance with the implementation plan |
| Change implemented within the planned implementation start and end times |
| Change caused no unplanned customer impact |
| Change did not require the execution of the back out plan |
| If the change was unsuccessful or was aborted after starting document reason(s) in the change ticket |
| If there minor issues or deviations from the implementation plan occurred use the completion code: Successful with Issues. |
Assign the appropriate completion code for all closed change requests (see Completion Codes).

Implement a post implementation review as required to discuss issues or deviations

### Completion Codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Completion Status</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Successful</td>
<td>Implemented according to the implementation plan</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Meets the requirements of the request</td>
</tr>
<tr>
<td>2</td>
<td>Successful with Issues</td>
<td>Implemented with minor deviations from the implementation plan due to issues</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Change meets business requirements</td>
</tr>
<tr>
<td>3</td>
<td>Unsuccessful</td>
<td>Cannot be implemented due to issues</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Change was backed out</td>
</tr>
<tr>
<td>4</td>
<td>Rejected</td>
<td>Denied by the CAB or approvers</td>
</tr>
<tr>
<td>5</td>
<td>Cancelled</td>
<td>Not implemented because the Requester withdrew the change request</td>
</tr>
</tbody>
</table>

### Management Information

The System Control Team is responsible for tracking Key Performance Indicators (KPI). The Statistics Cycle is from Sunday to Saturday (cumulative monthly, fiscally and annually).

<table>
<thead>
<tr>
<th>Criteria A</th>
<th>Criteria B</th>
<th>Number (Criteria A)</th>
<th>Percentage (Criteria B)</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Tickets Submitted</td>
<td>Weekly, Monthly, Fiscally, Annually</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Total Successful Changes</td>
<td>Total Submitted</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Total Successful with Issues</td>
<td>Total Submitted</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Total Unsuccessful</td>
<td>Total Submitted</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Total Withdrawn</td>
<td>Total Submitted</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Total Cancelled</td>
<td>Total Submitted</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Total Emergency</td>
<td>Total Submitted</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Total Scheduled</td>
<td>Total Submitted</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Total Alert</td>
<td>Total Submitted</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Total Fast Track</td>
<td>Total Submitted</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Total Changes Implemented</td>
<td>Last 14 Calendar Days</td>
<td>X</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Retention

<table>
<thead>
<tr>
<th>Record Type</th>
<th>Retention</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records pertaining to Change Request</td>
<td>Kept for a period of three (3) years from the date of entry of the Change Ticket</td>
<td>Shredded and/or electronically purged for confidentiality purposes</td>
</tr>
<tr>
<td>IRS Federal Tax Information</td>
<td>Per IRS Publication 1075, 9.3.5.3. Configuration Change Control (CM-3)</td>
<td></td>
</tr>
<tr>
<td>Configuration Controlled Changes</td>
<td>Per IRS Publication 1075, 9.3.5.3. Configuration Change Control (CM-3)</td>
<td></td>
</tr>
</tbody>
</table>

Definitions

See Appendix: Glossary

Listing of Appendices

Appendix: Change Control Process Flow – High Level
Appendix: Change Advisory Board (CAB)
Appendix: Change Advisory Board Emergency Committee (CAB/EC)
Appendix: Scheduled Change Workflow
Appendix: Alert Change Workflow
Appendix: Fast Track Change Workflow
Appendix: Emergency Change Workflow
Appendix: Fast Track and Exempt Lists and Additions
Appendix: Implementation and Back Out Plan
Appendix: Change Control Appeal Form
Appendix: Inventory Process Workflow
Appendix: Glossary

Development and Revision History

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**Reviewers and Updates**

<table>
<thead>
<tr>
<th>Reviewer</th>
<th>Update</th>
<th>Version #</th>
<th>Version Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dorothy Kope</td>
<td>Revised Version</td>
<td>7.0</td>
<td>2/2/2017</td>
</tr>
</tbody>
</table>

**Approval**

*Original Signed and maintained in the OPR.*

**Name & Title:**
Rhonda Lehman  
Architecture/Data Management Team Leader  
Department of Technology and Information

**Date of Signature:**
2/17/17

---

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Appendix: Change Control Process Flow – High Level

Change Control Process Workflow
High Level

Change Initiator

Change Manager
Filters Request

Change Manager
Validates Priority

Change Manager
Validates Category

Change Manager
Authorizes and Schedules Changes, Reports actions to CAB

Configuration Manager
Initial Logging of RFC

Configuration Manager
Updates Log

CAB Members
Estimate impact and resources, confirm agreement to Change, confirm priority, Schedule Changes

Authorized

Configuration Manager
Updates Log

Change Manager
Coordinates implementation of Change after receipt of testing results

Working?

Change Manager
Post implementation review

Success

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Appendix: Change Advisory Board (CAB)

The CAB is a group of people with the decision authority to deny, delay or approve changes. Members include:

- Change Manager (a member of the System Control Team)
- Application developers, as needed
- Technical consultants from each area (Operations, Mainframe, Applications, Telecommunications, Systems Engineering, Security, etc.) as needed
- DTI Service Desk representative
- Customer Relationship Specialist
- Approvers from each functional area within DTI
- Disaster Recovery
- Agency Representation as needed

The CAB chairperson is the Change Manager and is a member of the System Control Team. The Change Manager is responsible for CAB meeting agendas and minutes and will schedule and facilitate the meeting.

The purpose of CAB meetings is to review the changes planned for implementation in the upcoming change window and the status of changes implemented in the previous change window.

Each DTI technology area should send a representative to the CAB meeting. Each representative is responsible for reporting on all changes implemented by their area and communicating back to their team any pertinent changes implemented by others.

The Change Manager will distribute an agenda one day prior to each CAB meeting and will post CAB meeting notes by the close of business on the day of the meeting.

The Change Initiator will attend the CAB and explain the reason for the change, discuss planned start and end times, provide a brief description of events, summarize the impact assessment, and provide required inventory updates, and implementation, and back out plans.

### Meeting Guidelines

- Meeting starts promptly
- Reviews are done on a “first come-first serve” basis
- Participants are free to excuse themselves after their review is completed
- Participants are to be prepared to explain changes in an open forum
- Participants can join remotely

### Agenda includes:

- Review of Changes with issues since last CAB meeting
- Review of Pending Requests for Change (RFC)
- Outstanding Business and or Action Items
- Outage Reminders for the Next 14-days

### Minutes include:

- Meeting date, time, location, and facilitator
- DTI Attendance
- Attendance of implementers and guests
- Review of Changes previously approved (Next 14-days)
- Review of Pending Requests for Change
- Outstanding Business and or Action Items
- Outage Reminders for the Next 14-days
Appendix: Change Advisory Board Emergency Committee (CAB/EC)

Change Control Board Emergency Committee (CAB/EC)

The Change Manager, DTI Site Supervisor, and Teams Leaders from the technical area within DTI comprise the Change Advisory Board Emergency Committee (CAB/EC). The Committee handles emergency change requests, appeals, and intervenes in conflict resolution when needed.
Appendix: Scheduled Change Workflow

Scheduled Change Workflow

1. Initiator logs into Service Now and begins a change request in the OPEN phase

2. Implementer completes all necessary info and places change request into the READY FOR REVIEW phase

3. Implementer submits change request to Change Mgr. Change Mgr reviews all request in the READY FOR REVIEW phase for content & completeness

4. CAB Meeting Impact Assessed. Inventory updated by Change Mgr.

5. Implementer must complete form and/or provide necessary answers to questions

6. Change Mgr moves request to APPROVAL phase and automatically sends email notification to Approvers

7. Change window determined.

8. Change is implemented within change window

9. Implementer notifies Change Mgr. or Change Mgr makes follow-up call to implementer to determine outcome

10. Post Implementation Review (within team)

11. Change closed, closed type = successful

12. Update Inventory (if applicable) See appendix for Inventory flow

13. RCA Required Invoke PM

14. Change Closed, closed type = unsuccessful

15. Post Implementation Review required (within team)

16. RCA, if necessary, Invoke PM

17. Change Closed, closed type = successful w/ problems

18. Implementer completes appeal form

19. Appeal form is submitted to Change Manager

20. CRB/EC meeting is held to discuss and decide on change

21. Change window assigned

22. Decision Point

23. Change window determined without one or more of the following: customer signoff on testing, Service Desk documentation completed

24. All signoffs & documentation received 3 days prior to change

25. Change is implemented within change window

26. Post Implementation Review (within team)

27. Determine success

28. Yes, successful w/ problems

29. No, Backed out

30. Change Closed, closed type = successful

31. Update Inventory (if applicable) See appendix for Inventory flow

32. RCA Required Invoke PM

33. Change Closed, closed type = unsuccessful

34. Post Implementation Review required (within team)

35. RCA, if necessary, Invoke PM

36. Change Closed, closed type = successful w/ problems

37. Decision Point

38. Yes

39. No

40. Stop
1. The Initiator logs into ServiceNow, accesses the Change Request module, and begins a change ticket with Scheduled selected as the change type. The change request is initially in the OPEN phase.

2. The Implementer completes all necessary information, attaches required documentation, and places the change request into the READY FOR REVIEW phase, submitting the change request to the Change Manager.

3. The Change Manager reviews all requests in the Ready for Review phase for content and completeness.

4. The Change Control Board (CAB) reviews the change request. Review and update the Impact Assessment. The Change Manager updates the inventory.

5. For deferred changes, the Implementer must complete any missing forms and answer questions from the CAB.

6. The Change Manager moves the change request to the APPROVAL phase and an email notification is sent to the Approvers.

7. For approved changes, the implementation timeframe within the change window is determined.

8. The Change Manager moves the change to the implementation phase. The change is implemented within the approved implementation timeframe.

9. The Implementer notifies the Change Manager, or Change Manager makes a follow-up call to the Implementer to determine the outcome of the implementation.

10. When a successful change is determined, a Post-Implementation Review within the Implementation team may be required.

11. The Change Manager closes the change (CLOSE phase) with the completion code successful.

12. The Change Manager updates the Inventory Control Module (if applicable).

13. For changes that are not successful or that had to be backed out, the notification will be sent to the Problem Manager to invoke the problem management process.

14. The Change Manager closes the change (CLOSE phase) with the completion code unsuccessful.

15. For changes that are successfully, but with problems, a Post-Implementation Review within the implementation team is required.

16. A Root Cause Analysis (RCA) may be required if a change is successfully implemented with problems. The Change Manager will determine if the RCA is necessary and notify the Problem Manager to invoke the Problem Management Process.

17. The Change Manager closes the change (CLOSE phase) with the completion code successful w/problems.

18. For Denied changes, the Implementer may accept the decision of the CAB and the change request is closed. If the decision is not accepted, the Implementer will, within three (3 business days of the denial) complete an Appeal Form to begin the appeal process. Refer to Change Control Appeal Form.

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19. Submit the Appeal Form to the Change Manager.

20. A Change Advisory Board/Emergency Committee (CAB/EC) meeting convenes to discuss the appeal and determine the outcome of the appeal.

21. If the CAB/EC agrees with the appeal, a change window is assigned within the implementation timeframe.

NOTE:

A change request goes into a pending approval state if the request is missing the required documentation such as the customer sign-off of test results, or the Service Desk documentation. The Change Manager notifies the customer that they are to upload the missing documentation in ServiceNow at least three calendar days prior to the implementation date.
Appendix: Alert Change Workflow

1. Initiator logs into Service Now and begins a change request in the OPEN phase.

2. Implementer completes all necessary info and places change request into the READY FOR REVIEW phase.

3. Implementer submits change request to Change Mgr. Change Mgr reviews all request in the READY FOR REVIEW phase for content & completeness.

4. CRB Meeting/Impact Assessed. Inventory updated by Change Mgr.

5. Change Mgr moves request to APPROVAL phase and automatically sends email notification to Approvers.

6. Change window determined.

7. Change is implemented within change window.

8. Implementer notifies Change Mgr, or Change Mgr makes follow-up call to Implementer to determine outcome.


10. Change closed, closed type = successful.

11. Update Inventory (if applicable). See appendix for Inventory flow.

12. RCA Required. Invoke PM.

13. Change Closed, closed type = unsuccessful.


15. RCA, if necessary. Invoke PM.

16. Change Closed, closed type = successful w/ problems.

Stop
1. The Initiator logs into ServiceNow, accesses the Change Management module, and begins a change ticket with Alert selected as the change type. The change request is initially in the OPEN phase.

2. The Implementer completes all necessary information, attaches required documentation, and places the change request into the READY FOR REVIEW phase, submitting the change request to the Change Manager.

3. The Change Manager reviews all requests in the Ready for Review phase for content and completeness.

4. The Change Control Review Board (CAB) Meeting reviews the change request and updates the Change Manager updates the Impact Assessment and the inventory, as required.

5. The Change Manager moves the change request to the APPROVAL phase and an email notification generates to the Approvers.

6. For an approved change, the implementation timeframe within the change window is determined.

7. The Change Manager moves the change to the implementation phase and the change implements within the approved implementation timeframe.

8. The Implementer notifies the Change Manager, or Change Manager makes a follow-up call to the Implementer to determine the outcome of the implementation.

9. A successful change may require a Post-Implementation Review within the implementation team.

10. The Change Manager closes the change (CLOSE phase) with the completion code successful.

11. The Change Manager updates the Inventory Control Module (if applicable).

12. Changes that are not successful or are backed-out require notification to the Problem Manager to invoke the problem management process.

13. The Change Manager closes the change (CLOSE phase) with the completion code unsuccessful.

14. For a successful change that implemented with issues or problems, a Post -Implementation Review within the implementation team is required.

15. A Root Cause Analysis (RCA) may be required if a change was successfully implemented with issues or problems. The Change Manager will determine if the RCA is necessary and notify the Problem Manager to invoke the Problem Management Process.

16. The Change Manager closes the change (CLOSE phase) with the completion code successful with issues.
Appendix: Fast Track Change Workflow

1. Initiator logs into Service Now and begins a change request in the OPEN phase.

2. Implementer completes all necessary info and places change request into the READY FOR REVIEW phase.

3. Implementer submits change request to Change Mgr. Change Mgr reviews all request in the READY FOR REVIEW phase for content & completeness.

4. Change window determined.

5. Change Mgr moves request to APPROVAL phase and automatically sends email notification to Approvers.

6. Change is implemented within change window.

7. Implementer notifies Change Mgr, or Change Mgr makes follow-up call to Implementer to determine outcome.

8. Change closed, closed type = successful.

9. Update Inventory (if applicable) See appendix for Inventory flow.

10. RCA Required Involve PM.

11. Change Closed, closed type = unsuccessful.

12. RCA, if necessary Involve PM.

13. Change Closed, closed type = successful w/ problems.

14. Changes unsuccessful or successful w/problems are reviewed for appropriateness to remain on the Fast Track approved list.
1. The Initiator logs into ServiceNow, accesses the Change Management module, and begins a change request with Fast Track selected as the change type. The change request is initially in the OPEN phase.

2. The Implementer completes all necessary information and places change request into the READY FOR REVIEW phase, submitting the change request to the Change Manager.

3. The Change Manager reviews the request for content and completeness along with ensuring the change is on the approved list. The Change Manager updates inventory.

4. If the change is on the approved list of Fast Track changes, the implementation timeframe within the change window is scheduled.

5. The Change Manager moves the change to the Approval phase so Approvers can approve the change request.

6. The Change Manager moves the change to the IMPLEMENTATION phase and the change implements within implementation timeframe.

7. The Change Manager makes follow-up call to the Implementer after the change to determine the outcome.

8. If the change is successful, the Change Manager closes the change (CLOSE phase) with the completion code successful.

9. The Change Manager updates the Inventory Control Module (if applicable).

10. If the change was not successful and had to be backed-out, send notification to the Problem Manager to invoke the Problem Management Process.

11. The Change Manager closes the change (CLOSE phase) with the completion code unsuccessful.

12. Changes that complete successfully, but with problems, may require a RCA. The Change Manager will determine if the RCA is necessary and notify the Problem Manager to invoke the Problem Management Process.

13. The Change Manager closes the change (CLOSE phase) with the completion code successful with issues.

14. When a Fast Track Change is unsuccessful or successful /w problems, the System Control Team reviews the appropriateness of the change remaining on the Fast Track approved list.
Appendix: Emergency Change Workflow

1. Implementer or designee notifies their Team Lead of the situation

2. Implementer or Team Lead notifies the service desks and system control team via email

3. Change is implemented

4. Implementer creates a change record (details of problem & resolution)

5. Change Mgr makes follow-up call to implementer after change

6. RCA Required
   Invoke PM

7. Change closed, closed type = successful

8. Inventory Updated (if applicable)

9. RCA Required
   Invoke PM

10. Change Closed, closed type = unsuccessful

11. RCA Required
    Invoke PM

12. Change Closed, closed type = successful w/ problems

13. Implementer is provided with denial reason and told to submit the change request as either scheduled or alert

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The Implementer or designee notifies their Team Leader of the situation. If the Implementer is unsuccessful at quickly contacting their management and the situation demands the emergency change to be implemented as soon as possible to recover from or prevent an outage, and the change process is well understood, the change may be implemented with the approval of another team leader.

1. For an approved change, the implementer or Team Leader notifies the Service Desk, System Control Team, and Implementer via email or voice notification.

2. The change is implemented.

3. Implementer creates a change request in the ServiceNow Change Management module with Emergency selected as the category. The change request should provide details of the problem and its resolution.

4. The Change Manager makes follow-up call to Implementer after change.

5. For an Emergency Change completed successfully, the change is forwarded by the Change Manager to the Problem Manager to invoke the Problem Management Process.

6. The Change Manager closes the change (CLOSE phase) with the completion code successful.

7. The Change Manager updates the Inventory Control Module (if applicable).

8. For a change that was not successful and had to be backed-out, notify the Problem Manager to invoke the Problem Management Process.

9. The Change Manager closes the change (CLOSE phase) with the completion code unsuccessful.

10. If an Emergency Change completes successfully, with issues or problems, notify the Problem Manager to invoke the problem management process.

11. The Change Manager closes the change (CLOSE phase) with the completion code successful with problems.

12. The Change Manager will notify the Implementer of a denied emergency change request. The Implementer is required to submit the change request as either scheduled or alert.
Appendix: Fast Track and Exempt Lists and Additions

Exempt List Location:
Internal DTI Users: Refer to Location: refer to location, T:\Change Control Template\ Change Control Exempt List.

For those that do not have access to the DTI Shared Drive please contact the DTI System Control Group via the assigned mailbox resource: DTI_System_Control@state.de.us

Fast Track List Location:
Internal DTI Users: Refer to Location: T:\Change Control Template\ Change Control Fast Track List.

For those that do not have access to the DTI Shared Drive please contact the DTI System Control Group via the assigned mailbox resource: DTI_System_Control@state.de.us

Fast Track/Exempt Additions Approval Procedure:
A request for an addition to the Fast Track/Exempt Change list must meet all of the following requirements:

- Change is simple in nature
- Implementation contains low to no risk as determined by the risk assessment chart
- Potential impact from a failed change is minimal
- Requires no service outage
- Easily validated (change results), implemented, tested and backed out
- Failed fast track change will cause no negative impact or service impact

If the request meets requirements, take the following steps:

- The Requester submits the request with justification to the System Control Team for the change to be added to the Fast Track change list
- The System Control Team reviews the request to ensure it meets the Fast Track Criteria
  - If approved, it is added to the list of approved Fast Track items
  - If the ticket is approved, then the Implementer/Requester is notified through email the same day the ticket is approved
  - If the ticket is denied, then the Implementer/Requester is notified through email the same day stating the reason of denial
  - If denied, it must follow the Alert or Scheduled change request process

All decisions are final. The Fast Track/Exempt List is a living document that requires maintenance and version control. The updated list is maintained with the version control log.
Appendix: Implementation and Back Out Plan Sample

Completed Form Example:

<table>
<thead>
<tr>
<th>Planned Implementation</th>
<th>Date: 9/30/03</th>
<th>Time: 10:00 AM</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>List in detail, the steps required to implement your change:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Mount server in rack and plug in new server.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Connect to the LAN and boot up server.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Test connectivity from NEW server to the Network.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Verify customer’s connectivity to the new server using new IP address and DNS name.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Test the check printing application.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Verify dummy checks printed properly.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Verify customer satisfaction.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. After verification, turn off Old server and leave in place as a spare for the time being. It will be removed at a time TBD.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Back-Out Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>List in detail, the steps required to back-out your change:</strong></td>
</tr>
<tr>
<td>If install of new server fails, then the existing server will continue to be used until the change is rescheduled. Total back-out time should be less than 10 minutes.</td>
</tr>
</tbody>
</table>
A change that affects inventory is a change that includes; but not limited to, the addition, deletion, or changes to the following components: Hardware, Software, Applications, Systems or Facilities.

The following steps and flow shows how the data will be collected any time a change is opened that impacts the Inventory Control Module (ICM). Update the ICM upon the successful completion of the change.

1. Implementer attends a CAB meeting ready to review their change.  
2. During the CAB meeting, the implementer provides the necessary information required for updating the Inventory Control Module.  
3. The change implements within the assigned change window and the Change Manager verifies as successful or successful with issues.  
4. The Change Manager updates the Inventory Control Module after follow-up of the change. Any information populated by the agent will be correct on the first day of each month in ServiceNow.  
5. If the change is not successful, do not update the Inventory Control Module.
Appendix: Glossary

The following acronyms and terms may be used in this or associated documents or within ServiceNow and are provided for clarification.

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>CMDB</td>
<td>Configuration Management Database</td>
</tr>
<tr>
<td>DEMA</td>
<td>Delaware Emergency Management Agency</td>
</tr>
<tr>
<td>DC&amp;O</td>
<td>Data Center &amp; Operations</td>
</tr>
<tr>
<td>DNREC</td>
<td>Department of Natural Resources and Environmental Control</td>
</tr>
<tr>
<td>DOT</td>
<td>Department of Transportation</td>
</tr>
<tr>
<td>DTI</td>
<td>Department of Technology and Information</td>
</tr>
<tr>
<td>RFC</td>
<td>Request For Change</td>
</tr>
<tr>
<td>ICM</td>
<td>Inventory Control Module</td>
</tr>
<tr>
<td>KPI</td>
<td>Key Performance Indicator</td>
</tr>
</tbody>
</table>

**Terminology / Acronym**

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Change</td>
<td>For the purpose of this procedure, a change is any action that results in an addition to, alteration of, and/or deletion of but not limited to one (1) or more of the following: hardware, software, application, network, infrastructure of a computer environment, or a configurable item. The change can involve a system upgrade, hardware/software addition or deletion, modification to code, or an alteration to the network or infrastructure.</td>
</tr>
<tr>
<td>Change Advisory Board (CAB)</td>
<td>See Appendix: Change Advisory Board (CAB)</td>
</tr>
<tr>
<td>Change Advisory Board Emergency Committee (CAB/EC)</td>
<td>See Appendix: Change Advisory Board Emergency Committee (CAB/EC)</td>
</tr>
<tr>
<td>Change Approver(s)</td>
<td>The persons representing internal DTI teams, external agencies or school districts.</td>
</tr>
<tr>
<td>Change Implementer or Implementer</td>
<td>The person that is going to implement the change. The Change Implementer and the Change Requester can be the same person.</td>
</tr>
<tr>
<td>Change Initiator or Initiator</td>
<td>The person that opens the Change Request ticket in ServiceNow. The Initiator can be the same person as the Requester and/or Implementer.</td>
</tr>
<tr>
<td>Change Manager or Manager</td>
<td>A member of the Systems Control Team within the DTI. See Roles and Responsibilities section.</td>
</tr>
<tr>
<td>Change Requester or Requester</td>
<td>The person that is requesting the change. The Change Requester and the Change Initiator can be the same person.</td>
</tr>
<tr>
<td>Change Type</td>
<td>Scheduled, Alert, Fast Track, or Emergency. See Change Type Definitions section.</td>
</tr>
<tr>
<td>Terminology / Acronym</td>
<td>Definition</td>
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<tr>
<td>Change Window</td>
<td>A block of time set aside to perform hardware and software maintenance, upgrades, etc.; the maximum allow duration of a change from start to finish.</td>
</tr>
<tr>
<td>Change Work Manager or Work Manager</td>
<td>The immediate supervisor of the person (Implementer) performing the implementation.</td>
</tr>
<tr>
<td>Configurable Item</td>
<td>Hardware, software, documentation or a set of related products broken down into the smallest manageable unit that requires administrative and change control. Includes but is not limited to system applications software, database, system hardware, system software, network hardware, network software, security, facilities and operating procedures.</td>
</tr>
<tr>
<td>DTI Internal Teams</td>
<td>Department of Technology and information Technology teams, e.g. Applications Delivery, Customer Care, Telecommunications, etc.</td>
</tr>
<tr>
<td>Go/No Go Points</td>
<td>Points in the decision making process where a determination is made to move forward with the change implementation or implement the back-out process.</td>
</tr>
<tr>
<td>Production Operating Environment</td>
<td>A complete integrated set of networks, hardware, and associated software tools used by the customer organization to execute applications. The production environment is different from development, test, and integrated environments.</td>
</tr>
<tr>
<td>System Control Team</td>
<td>The DTI team that is responsible for the management and day-to-day activities of the Change Control Process and associated procedures.</td>
</tr>
</tbody>
</table>