OKLAHOMA
OKDHS
EXCELLENCE

OKLAHOMA DEPARTMENT OF HUMAN SERVICES

CHANGE MANAGEMENT
STANDARDS AND PROCESSES
GUIDE

DRAFT

MOSAIC Project and
OKDHS Enterprise System

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CHANGE MANAGEMENT PLAN APPROVALS

Prepared by _____

Interim Change Management Team Lead

Approved by _____

Program Quality Manager

_____

Quality Team Lead

_____

Program Manager

_____

MOSAIC Project Sponsor
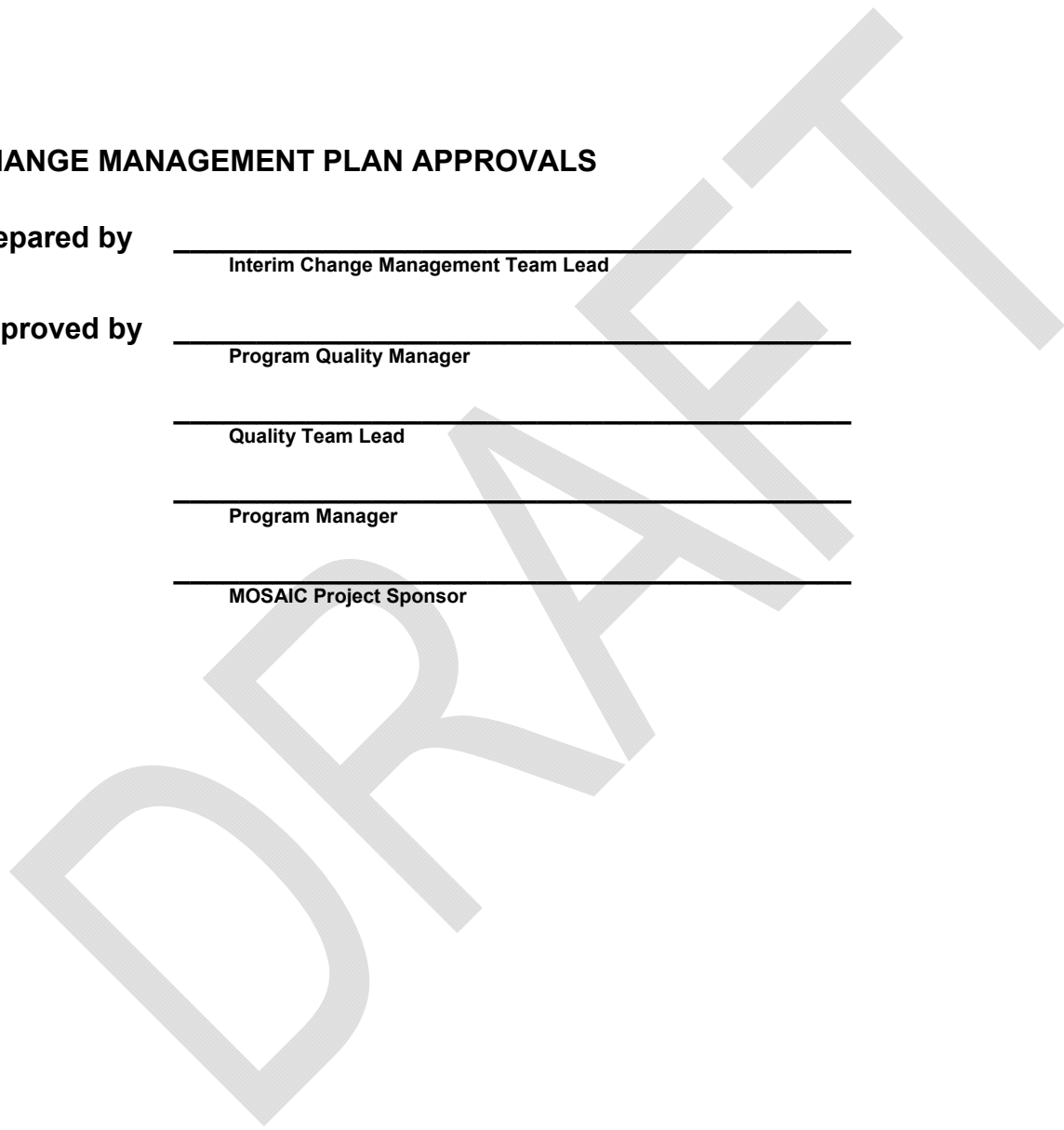
Change Management Standards and Process Guide – Table of Contents

1.0   Change Management Process Diagram

The process used in Change Management is described in this section. There is only one primary process flow for Change Management; however, some of the sub-processes are modified or by-passed to allow for expedited or emergency changes. The following diagram and text is to provide general understanding of the flow of the process.
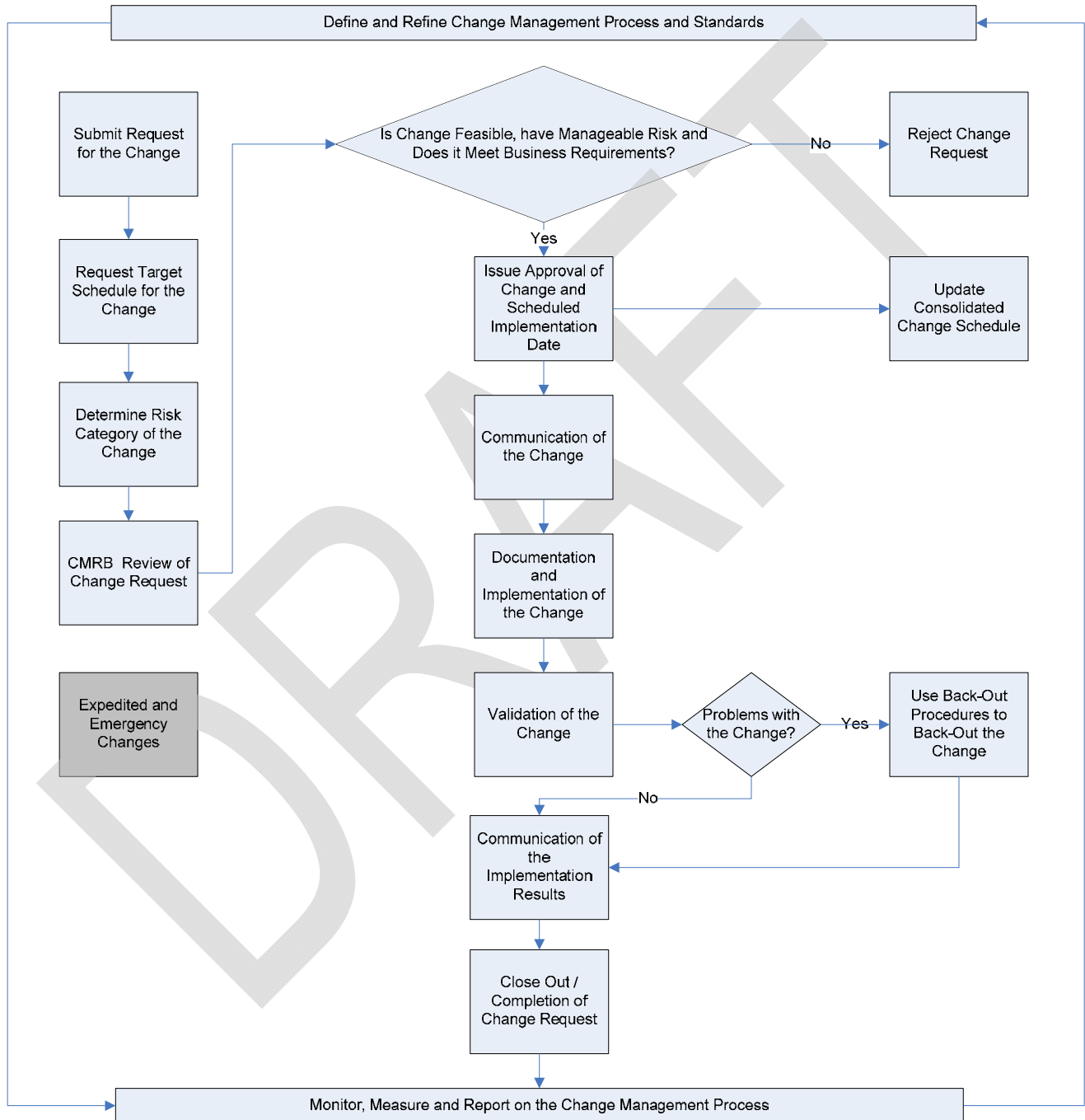
2.0   Change Management Coverage

The Change Management process covers all identified components as outlined below.

Business Requirements, Components or Functionality
Technical Requirements, Components or Functionality
Project Scope – Refer to the MOSAIC Project Management Plan.
Project Schedule – Refer to the MOSAIC Project Management Plan.
Project Plans – Changes to existing plans (Project Management, Staffing, Communication, Technical, Business, Quality, and Risk).
Processes
Budget or Financial Appropriations – Refer to the MOSAIC Project Management Plan.
Hardware - Installation, modification, de-installation or relocation of equipment.
Software - Installation, patching or upgrade of software products including operating systems, access methods, support packages, policy or parameter changes, internally developed packages and utilities.
Network - Modifications to network and connectivity (install routers, firewalls, etc. Upgrade software on network, distribution switches, etc.).
Telephone - Installation, modification, de-installation, or relocation of equipment and services such as PBXs, IVRs, dialers, etc.
Database - Changes to databases or files such as implementations, data model changes, script modification, backups/recoveries, data extracts/loads, data updates and maintenance.
Application - Application changes being promoted to production as well as the integration of new application systems and the removal of obsolete elements.
Move, Add, Change and Delete - Changes to system configuration.
Schedule Changes - Requests for creation, deletion, or revision to job schedules, back-up schedules or other regularly scheduled jobs.
Policy / Standards – Changes to Policy and or Standards.
Organizational Structure – Changes to roles and responsibilities within MOSAIC organization and Vendors Organization.

The Change Management process does not cover changes within the daily administrative process.
Examples of daily administration tasks are:
Password resets
User adds/deletes

3.0   Standards and Procedures

Standards and procedures must be in place to allow for the identification, preparation and implementation of changes as efficiently and effectively as possible. By adhering to the following standards and procedures, the MOSAIC Project and ensuing OKDHS Enterprise System will have the greatest opportunity to accomplish the Business Goals of the project and the Change Management process objectives stated earlier in this plan.

The following standards shall be adhered to in the Change Management process:

General Standards and Procedures

1. There will be one primary Change Management process within the OKDHS Enterprise System environment to manage changes.
2. Changes affecting anything listed in the Change Management Coverage (Section 2 of this document) will be subject to the Change Management process and will be managed in accordance with this plan.
3. All areas requesting notification about or approving Changes will participate in the Change Management process.
4. A Priority Level will be assigned to each Change to indicate level of impact – Minor, Significant, Major, Expedited, or Emergency.
5. A Risk Category will be associated with every Change and will be assigned using the predetermined criteria. The approval and scheduling of changes will be based upon the risk they present to the business and technical environments as well as the business objectives of the and the OKDHS Enterprise System.
6. To allow for project-wide scheduling and proper communication, Change Requests will be submitted on or before the date specified in the lead-time requirements. Emergency resolution must go through the Change Management process. The priority for an emergency will be to get the effected component working again as soon as possible. The Change Management documentation must be completed prior to or immediately after the emergency resolution is put into place.
7. Change requests will be reviewed by the Change Management Review Board (CMRB) within a defined time period (possibly monthly) to allow for timely response to the Change Owner.
8. The Change Owner or representative for the change request must give notification to the Change Management Coordinator, the Change Management Team Lead, or the Program Manager prior to and after any emergency or expedited change. Otherwise, the change will be classified as unapproved.
9. Information Security policies must be adhered to during the entire Change Management process.
10. The use of versioning standards and/or software is required where possible.

Information Standards and Procedures

1. All Change Request information will be maintained in a common repository.
2. All required information for a Change Request will be completed by the Change Owner.
3. Updates to the Change Request can be made by the Change Owner, the Manager / Director Approver, the Change Management Coordinator, or the Change Management Team Lead.
4. The Stakeholders or their representatives that are performing Test or Validation checks can update that area of the Change Request.
5. Change Requests will be completed for Emergency and Expedited changes. These will be tracked and reported to the CMRB for review – and will be analyzed for trends.
6. If a change results in a problem after its completion or results in a problem in an asset not associated with the change, the Change Management Coordinator will communicate the problem to the affected persons and open a problem ticket. Problems will also be documented and monitored through Change Management reporting and will be tied back to (associated with) the original Change Request.

Approval Standards and Procedures

1. A Manager / Director Approver must approve all changes before they move through the Change Management process. The approval signifies that the change is valid, has been properly analyzed for risks, documented & tested, and is ready for implementation.

2. The applicable Stakeholder(s) must approve all Change Requests.
3. The Change Management Review Board must review all change requests prior to scheduling and implementation with the exception of expedited and emergency requests, and will review those after their completion.
4. If a Change Request results in an unsuccessful change, i.e., the change is backed-out, the Change Request must be closed as "Unsuccessful" with the problems documented. A new Change Request must be submitted for approval for the next implementation attempt. All subsequent Change Requests will be tied back to (associated with) the original Change Requests.
5. If a Change Request is deemed "Successful with Defects" the Change Request must be closed as "Successful with Defects" with complete defect documentation. A new Change Request must be submitted for approval if additional updates are to be implemented.
6. Changes that do not meet the lead-time standard but, due to production impact, need to be implemented immediately must be submitted and approved as either an expedited or emergency change.

Risk Levels Standards and Procedures

Refer to the Risk Management Plan for Change risk determination.

Change Freeze Standards and Procedures

There will be times over the course of the MOSAIC Project, either due to project or operational constraints, that changes will need to be put on hold; so therefore, will not be allowed. Any Change Freeze Periods will be communicated to all participants of the Change Management process. During these Change Freeze time periods, regularly scheduled Change Requests will not be approved. Only expedited or emergency changes will be allowed during Change Freeze periods, and those will require an escalated level of approval.

Escalation

There are several areas where disagreement may exist over scheduling or approval of a change. Three examples of potential disagreements are:

1. The readiness of a change for implementation;
2. The appropriateness of a change being expedited;
3. The risk of concurrent changes.

When the Change Owner, Stakeholder(s), and Change Management Coordinator cannot resolve these disagreements, the Change Management Coordinator will escalate the issue to the Change Management Team Lead. The issue will first be brought to the CMRB for resolution if possible. The issue will continue to be escalated by the Change Management Team Lead to successive levels of management in the organizations where the disagreement exists until a decision is reached.

Appendix A – Measurement and Reporting

Measurements and reporting are a necessary part of the Change Management process. They are key aspects in maintaining a continuous process improvement cycle. The effectiveness of the Change Management process is determined by process measurements. These measurements are reported to management via the reports described in this section.

Completion Codes

There are five Change Management completion codes. The completion code is entered when a change request is closed out and indicates the degree of success of the change that was implemented.

NOTE: A change can be implemented "successfully" yet still cause defects after the fact.

Successful
The change was successfully implemented within the parameters (time, tasks, etc.) specified in the change request.

Successful With Defects
The change was successfully implemented, but went outside the parameters specified in the change request or there were unanticipated issues as a result of the change.

Successful With Negative Impact
The change was successfully implemented, but the impact on the customer was significantly negative.

Unsuccessful
The implementation of the change was unsuccessful – it was attempted, but did not work. Backout was required.

Canceled
A decision was made not to attempt the change planned or requested.

Unapproved
All required approvals were not obtained prior to implementation or the change was not implemented within the approved window of time.

Measurements

This section provides measurements that can be used to determine the effectiveness of the Change Management process.

1. **Percentage of changes that were completed successfully**
   Definition: Number of successful changes divided by the number of approved changes.

2. **Percentage of changes successful with problems**
   Definition: Number of successful with problems changes divided by the total number of changes. Note: A successful change is one that is implemented on time, with no unplanned negative availability impact to the customer.

3. **Percentage of changes that were unsuccessful**
   Definition: Number of unsuccessful changes divided by the total number of changes.

4. **Percentage of changes handled as expedited**
   Definition: Number of changes handled as expedited divided by the number of changes.
   Note: This is a measurement of Information Technology and the business' planning processes.

5. **Percentage of changes handled as an emergency**
   Definition: Number of changes handled as emergency divided by the number of changes.

6. **Total Number of changes**

Reporting

Reports, an important part of the Change Management process, are produced on a monthly, quarterly and yearly basis. These reports are used to support the ongoing operation of the process. Some reports are operational in nature (i.e., used by those operating within the Change Management process) and others are managerial in nature (i.e., used by management to assess the performance of the Change Management process).

1) **Operational Reports**

   The Consolidated Change log is updated daily and is available electronically as read only.

   This report includes:
   1. Schedule of changes;
   2. Changes closed in the last week;
   3. Status of all open changes.

2) **Management Reports**

   These reports are produced on a monthly basis with quarterly and yearly roll-ups. These reports are distributed to management and stakeholders.

   These reports include:

   Total number of changes and trends over the last month by:
   1. Process: Normal, Expedited, Emergency;
   2. Priority: Minor, Significant, Major;
   3. Status: Open, Pending, Approved, and Unapproved;
   4. Completion Code: Successful, Successful with problems, Unsuccessful, Canceled and Unapproved;
   5. Risk Categories   0 – 4.

Appendix B – Change Management Meetings

Change meetings are a mechanism for performing the Change Management process as well as reviewing the process itself. These are structured meetings that are meant to improve communication and promote/ease the control of change.

Change Management Review Board Meeting

This is a weekly meeting conducted for the purpose of bringing together the persons involved in the Change Management process to review outstanding Change Requests and provide a forum for the presentation and discussion of change plans and information.

The objectives of the meeting are:
1. Final discussion and approval or rejection of changes;
2. Confirm the schedule of approved changes and setting the change calendar;
3. Review of changes targeted for the next change period;
4. Documenting issues and exceptions;
5. Raise issues/concerns on specific changes or the change process;
6. Review trends concerning the Change Requests.

Change Request Status Review

Each weekday, a Change Management representative will review the status of changes that are on the consolidated change schedule and especially those that have been scheduled since the last status review meeting with appropriate representative of the operational areas. Change Owners should update the status before the meeting. Problem tickets will also be reviewed to determine if any changes caused problems.

Change Management Process Review

Quarterly, the Change Management team members will meet to review the operational aspects of the Change Management process. The Change Management team members will review and discuss the feedback provided by participants of the process; the reports from the Change Management system to determine trends with the Change Requests; and the Change Management metric reporting in order to determine how well the Change Management process is working and if it is meeting the stated objectives. Recommendations for process improvements will be determined.

Change Management Meetings Table

Meeting	Schedule	Facilitator	Attendees
Change Mgmt Review Board	Weekly	Chg Mgmt	CMRB Members, Stakeholders, Project Team Members
Change Request Status Review	Daily	Chg Mgmt	Operational Units, Project Team Members, Stakeholders

Change Mgmt Process Review	Monthly or As needed	Chg Mgmt	Change Mgmt Team

Appendix C – Change Management Process Glossary

Change: The addition, modification, or removal of approved, supported, or baselined hardware, network, software, application, environment, system, desktop build or associated project documentation.

Change Management: The process of controlling Changes to the infrastructure or any aspect of services, in a controlled manner, enabling approved Changes with minimum disruption.

Expedited Change: This category falls into a schedule outside the normal lead times and is requested to meet a business need. It may be explained as a critical function or capability a customer has requested to be implemented sooner than the normal time frame.

Emergency Change: An emergency is a change that is required to fix a problem that is impacting the production environment.

Lead Time: The current standard is 48 hours prior to the implementation date.

Appendix D - Change Management Sub - Processes

The Change Management process is broken down into several sub-processes.

The activities associated with defining these practices are:

1. Define and refine Change Management processes and standards;
2. Submit request for the Change;
3. Request target schedule for the Change;
4. Determine risk level of the Change;
5. CMRB review of the Change Request;
6. Reject Change Request;
7. Issue approval of Change and scheduled implementation date;
8. Update Consolidated Change Schedule;
9. Communication of the Change;
10. Documentation and implementation of the Change;
11. Validation of the Change;
12. Back-out of Change if problems are encountered;
13. Communication of the implementation results;
14. Close-out / Completion of the Change Request;
15. Expedite and Emergency Change process;
16. Monitor, measure, and report on the Change Management process.

Define and Refine Change Management Processes and Standards

This purpose of this sub-process is to provide for process improvement for the overall Change Management process. Out of it, standards, procedures and work instructions are created and/or modified for all processes involved in Change Management.

The activities associated with defining/refining these practices are:

1. Determine Change Management objectives, scope, coverage, processes, and standards;
2. Address day-to-day Change Management process issues;
3. Assign and maintain roles and responsibilities within the Change Management process;
4. Define and maintain change approval and rejection procedures and criteria;
5. Create and maintain Change Management process user guides;
6. Define and maintain Change Management reporting procedures;
7. Define and maintain Change Management communication procedures;
8. Determine measurable Change Management objectives.

This sub-process relies on the following major inputs:
1. Feedback on current Change Management process;
2. Usability and accuracy of the Change Management process guides;
3. Performance of the Change Management process against its objectives.

This sub-process is performed by:
1. Change Management Team Lead;
2. Change Management Coordinator.

Submit Request for the Change

This sub-process provides for initiating a change request into the Change Management process. It includes the completion, submission and recording of the Change Request.

The activities associated with submitting a Change Request are:

1. Define and prepare a change description;
2. Define and document the change priority;
3. Determine and document benefits of the change;
4. Identify and document stakeholders;
5. Evaluate scope impact;
6. Evaluate schedule impact;
7. Evaluate quality impact;
8. Evaluate risk;
9. Create a change project plan;
10. Document test plan activities results;
11. Create a change validation plan;
12. Document impact to disaster recovery;
13. Create a change back-out plan;
14. Determine a target implementation schedule;
15. Determine the impact and risk level of change (or not doing change);
16. Create a change communication plan;
17. Enter the Change Request into the Change Management system;
18. Review and validate the Change Request to be sure it is complete. The Change Request should include the change description, stakeholders, project plan, implementation plan, back-out plan, benefits of change, impact of change, communication plan, and proposed implementation date. Ensure the change request is submitted with sufficient lead-time;
19. Make an initial assessment of the scheduling priority and gain agreement with the Key Stakeholder and Supervisory Approver.

This sub-process depends upon the following major inputs:
1. Change specification from Change Owner;
2. Impact and Risk analysis;
3. Service level or business agreements;
4. Change schedule;
5. Defined standards.

This sub-process generates the following major output:
1. Change Request.

This sub-process is performed by:
1. Change Owner;
2. Supervisory Approver;
3. Change Management Coordinator.

CMRB Review of Change Request

This sub-process provides the Change Request information to the CMRB for evaluation and decision. It is imperative that the CMRB is provided thorough and accurate information concerning changes in

order for them to be approved. The Change Request should be evaluated both from a Business and Technical aspect.   The key objective is to confirm that the Change Request is consistent with the business and technical objectives. The CMRB should consider the following points while reviewing any change.

The activities associated with performing a CMRB review are:

1. Evaluate business risk/impact of both doing and not doing the change;
2. Analyze timing of the change to resolve any conflicts and minimize impact;
3. Ensure all affected parties are aware of the change and understand its impact;
4. Ensure testing activities were completed, thorough and documented;
5. Determine if the implementation of the change conflicts with any other project or business cycle;
6. Ensure current project and business requirements and objectives are met;
7. Evaluate the change plans to determine the impact and effect of the change during and immediately following the change implementation;
8. Review the implementation validation, recovery and/or back-out plan for thoroughness;
9. Review the technical completeness of the change plans, including documentation modifications, operational impact, anticipated components changed, impact on start-up or shut down of systems, impact on existing systems, impact on disaster recovery plans, back-up requirements, storage requirements, and operating system requirements;
10. Evaluate the technical feasibility and impact of the change in terms of: Performance, Capacity, Security, Scalability and Operability;
11. Validate business and technical aspects, feasibility, and plan.

This sub-process relies on the following major inputs:
1. Change Request;
2. Change related business and technical data;
3. Service Level or Business Agreements;
4. Change Impact and Risk Analysis;
5. Test plan activities documentation;
6. Change Project plan;
7. Change Implementation plan;
8. Change Validation Plan;
9. Change Recovery/Back-out plan;
10. Identified modifications to the Disaster Recovery plan;
11. Change System Configuration;
12. Information from Supervisory Approver;
13. Information from Stakeholders;
14. Information from Change Management Coordinator;
15. Other Pending Change Requests;
16. Consolidated Change Schedule;
17. Operational Schedule.

This sub-process is performed by:
1. CMRB Members;
2. Change Owner;
3. Supervisory Approver;
4. Stakeholders;
5. Change Management Coordinator;
6. Change Management Team Lead.

Reject Change Request

This sub-process is used when Change Requests are rejected by the CMRB.

The activities associated with rejecting a Change Request are:

1. CMRB rejects the Change Request;
2. Document the Change Request rejection and cause;
3. Document the outstanding questions or concerns;
4. Request additional information if needed;
5. Communicate the status of the Change Request to all parties.

This sub-process relies on the following inputs:
1. CMRB Review Discussion;
2. Change Request;
3. Change Schedule;
4. Change Impact and Risk Analysis.

This sub-process generates the following major outputs:
1. Rejected Change;
2. Request for Additional Information;
3. Communication to all parties;
4. Updated Change Request.

This sub-process is performed by:
1. Change Management Review Board;
2. Change Owner;
3. Change Management Coordinator;
4. Change Management Team Lead.

Approve Change Request

This sub-process is used when Change Requests are approved by the CMRB and other appropriate group(s) of individuals.

The activities associated with approving a change are:

1. Obtain approval of the Change Request from all involved parties;
2. CMRB approves the Change Request and Scheduled Implementation Date;
3. Document the Change Request approval;
4. Document and address any special considerations or instructions;
5. Communicate the status of the Change Request.

This sub-process relies on the following inputs:
1. CMRB Review Discussion;
2. Change Request;
3. Change Request Schedule;
4. Change Impact and Risk Analysis;
5. Consolidated Change Schedule.

This sub-process generates the following major outputs:
1. Approved Change;
2. Information on special considerations or instructions;
3. Communication to all parties;
4. Updated Change Request.

This sub-process is performed by:
1. Change Management Review Board;
2. Change Owner;
3. Change Management Coordinator;
4. Change Management Team Lead.

Update Consolidated Change Schedule

This sub-process combines all approved changes and adds them to the Change Schedule. The objective of the sub-process is to ensure that all the changes are compatible with each other in terms of impact, timing, and resources.

The activities associated with scheduling a change are:

1. Document all scheduled changes to the consolidated change calendar;
2. Ensure the compatibility of all changes for the scheduling period;
3. Communicate the consolidated change calendar to all affected parties.

This sub-process relies on the following inputs:
1. CMRB Review Discussions;
2. Approved Change Request.

This sub-process generates the following major outputs:
1. Consolidated Change Schedule Calendar.

This sub-process is performed by:
1. Change Management Coordinator;
2. Change Management Team Lead.

Communication of the Change

This sub-process provides for communication of the approved changes to the affected parties.

The activities associated with communicating a change are:

1. Obtain input from Stakeholders on affected parties;
2. Identify potential impact to all affected parties – users, operations, business units, etc.;
3. Determine message to be sent concerning change;
4. Determine group of users that should receive message;
5. Send message concerning change to the identified users at an appropriate time.

This sub-process relies on the following inputs:
1. Change Request;
2. Change Schedule;
3. Change Impact and Risk Analysis;
4. Identified Affected Parties;
5. Change Implementation plan;
6. Change Back-out / recovery plan.

This sub-process generates the following major outputs:
1. Change Communication Message.

This sub-process is performed by:
1. Change Implementer;
2. Change Management Specialist;
3. Change Management Coordinator.

Documentation and Implementation of the Change

This sub-process provides for modification or creation of documentation in regards to approved and scheduled changes and implements approved and scheduled changes into their appropriate environment.

The activities associated with implementing a change are:

1. Identify modifications to existing documentation (business requirements, project design documents, system configuration, turnover, operational support, technical support, standards, procedures, disaster recovery, etc) and make appropriate modifications concerning Change;
2. Create documentation if none is existing;
3. Perform implementation according to Change Implementation Plan and Checklist;
4. Synchronize / coordinate the implementation of the change with all other related activity;
5. Control / monitor the progress of the implementation according to the plan and ensure completeness;
6. Perform immediate Validation Plan steps;
7. Document change implementation results;
8. Request back-out if an immediate problem occurs;
9. Inform the appropriate parties of any and all instances where unexpected outages and/or impacts were encountered due to a Change Implementation;
10. Escalate all process deviation actions and decisions used to handle change implementation requiring special handling.

This sub-process relies on the following inputs:
1. Change Request;
2. Consolidated Change Schedule Calendar;
3. Change Implementation Plan;
4. Change Back-out / Recovery plan.

This sub-process generates the following major outputs:
1. Problem ticket (if applicable);
2. Information concerning implementation results – outages, impacts, issues, successes, etc.;
3. Updated Change Request.

This sub-process is performed by:
1. Change Implementer;
2. Change Management Specialist;
3. Change Management Coordinator.

Validate Change Implementation

This sub-process provides for validation, documentation and communication of the results of the Change Implementation.

The activities associated with validating a Change are:

1. Perform remaining Validation Plan steps;
2. Request back-out / recovery if problems occur;
3. Verify that the implemented change met the change requirements;
4. Ensure all appropriate documentation (business requirements, project design documents, system configuration, turnover, operational support, technical support, standards, procedures, disaster recovery, etc) has been modified as necessary and accepted;
5. Communicate the results of the change validation to affected parties.

This sub-process relies on the following inputs:
1. Change Validation Plan and Checklists;
2. Operational Validation Checklists;
3. Change Impact and Risk Analysis;
4. Back-out Plan;
5. Identified effected documentation;
6. Change Status;
7. Implementation Results.

This sub-process generates the following major outputs:
1. Information concerning Change Validation results;
2. Implementation Issues and Concerns list;
3. Problem Ticket (if applicable);
4. Updated Change Request.

This sub-process is performed by:
1. Stakeholders;
2. Change Implementer;
3. Change Management Specialist;
4. Change Management Coordinator.

Back-out Changes

This sub-process provides for the back-out or recovery of the approved/scheduled changes after issues are encountered and reported.

The activities associated with implementing a change are:

1. Perform back-out / recovery;
2. Synchronize the back-out / recovery of the change with all other related activity;
3. Control/monitor the progress of the back-out / recovery according to the plan and ensure completeness;
4. Perform back-out validation steps – ensure all systems work as they did prior to change implementation;
5. Document back-out results;
6. Inform the appropriate parties of any and all instances where unexpected outages and/or impacts were encountered due to a the Change Back-out / Recovery;
7. Escalate all process deviation actions and decisions used to handle change back-out / recovery requiring special handling.

This sub-process relies on the following inputs:
1. Change Request;
2. Problem Ticket;
3. Consolidated Change Schedule Calendar;
4. Change Implementation Plan;
5. Change Back-out / Recovery plan;
6. Implementation Results.

This sub-process generates the following major outputs:
1. Problem ticket (if applicable);
2. Information concerning back-out / recovery results – outages, impacts, issues, successes, etc.;
3. Updated Change Request.

This sub-process is performed by:
1. Change Owner;
2. Change Implementer;
3. Change Management Specialist;
4. Change Management Coordinator;
5. Change Management Team Lead.

Communication of Implementation Results

This sub-process provides for communication of the change implementation results to the affected parties.

The activities associated with communicating the results of implementing a change are:

1. Obtain information concerning the implementation – compared to implementation plan, issues encountered, unexpected outages, impacts or results, etc.;
2. Obtain information concerning validation testing and results;
3. Obtain information concerning any requirements for back-outs or recoveries, and their results;
4. Obtain information concerning all process deviation actions and decisions used for change implementation requiring special handling;
5. Identify potential impact to all affected parties – users, operations, business units, etc.;
6. Ensure all information is logged in the Change Request;
7. Determine message to be sent concerning change;
8. Determine group of users that should receive message;
9. Send message concerning change to the identified users at an appropriate time.

This sub-process relies on the following inputs:
1. Change Request;
2. Change Schedule;
3. Change Implementation Results;
4. Change Validation Results;
5. Change Back-out / Recovery Results;
6. Identified Affected Parties.

This sub-process generates the following major outputs:
1. Updated Change Request;
2. Change Communication Message(s).

This sub-process is performed by:
1. Change Owner;
2. Change Implementer;
3. Change Management Specialist;
4. Change Management Coordinator;
5. Change Management Team Lead.

Close-Out / Complete Change Request

This sub-process provides for the completion and closing-out of the Change Request.

The activities associated with completing and closing-out a Change Request are:

1. Ensure all information is logged in the Change Request;
2. Ensure that all appropriate actions have been taken concerning the Change;
3. Ensure all after actions and lessons learned are documented within the Change Request.

This sub-process relies on the following inputs:
1. Change Request;
2. CMRB Review Discussion;
3. Rejection or Approval Information;
4. Change Schedule;
5. Change Implementation Results;
6. Change Validation Results;
7. Change Back-out / Recovery Results;
8. Identified Affected Parties;
9. Input from Supervisory Approver;
10. Input from Stakeholders.

This sub-process generates the following major outputs:
1. Closed Change Request;
2. Communication to Change Management participants;
3. After Action Items list.

This sub-process is performed by:
1. Change Management Coordinator;
2. Change Management Process Manager.

Expedite and Emergency Change Process

This sub-process provides for obtaining the approval of and notifying the required parties of any change that occurs outside the normal Change Management process flow. An expedited request is a change that meets a critical business requirement without the normal review and approval time. An emergency request is associated with a problem in the environment, which is preventing critical functionality and which must be fixed immediately.

The activities associated with handling these changes are:

1. Evaluate the risk of doing the change versus not doing the change;
2. Notify the appropriate points of contact and the appropriate management;
3. For an expedited change, review the proposed Change with the affected persons and a Change Management representative;
4. For an emergency change, the Change Request must be submitted within 3 calendar days of implementation and a Supervisory Approver or Stakeholder must validate test results.

This sub-process relies on the following inputs:
1. Change Request;
2. Change Impact and Risk Analysis;
3. Approval of Supervisory Approver;
4. Input from Stakeholders.

This sub-process generates the following major outputs:
1. Updated Change Request;
2. Problem Ticket (if applicable);
3. Change Communication Messages to Stakeholders.

This sub-process is performed by:
1. Change Owner;
2. Supervisory Approver;
3. Stakeholder;
4. Change Implementer;
5. Change Management Specialist;
6. Change Management Coordinator;
7. Change Management Team Lead.

Monitor, Measure and Report Change Management Process

This sub-process provides for reporting on the Change Management activities. It also provides for the gathering of information for the appropriate metrics and prepares reports to evaluate the status, effectiveness and efficiency of the Change Management process.

The activities associated with measuring/reporting process effectiveness are:

1. Define and create standard reports on Change Requests;
2. Analyze submitted Change Requests;
3. Analyze rejected and approved Change Requests;
4. Analyze closed Change Requests;
5. Define, create and review statistical data;
6. Review the goals of the Change Management process;

7. Review the Change Management service delivery objectives;
8. Compare statistical data with goals and objectives;
9. Generate Change Management standard reports;
10. Generate ad hoc reports as needed;
11. Review Change Management process reports;
12. Prepare recommendations on how to achieve goals that are not being met;
13. Prepare recommendations on how to improve the process;
14. Review and modify the Change Management process to address deficiencies or eliminate unnecessary controls;
15. Perform on-going functional tool analysis.

This sub-process relies on the following inputs:
1. Change Management repository;
2. Feedback from all parties involved with the Change Management Process;
3. Project and Business Goals and Objectives;
4. Change Management Objectives.

This sub-process generates the following major outputs:
1. Change Management Reports;
2. Service Level Reports;
3. Recommendations for modifications to the Change Management process;
4. Recommendations to modify or enhance Change Management tools.

This sub-process is performed by:
1. Change Management Team Lead;
2. Change Management Coordinator.

Appendix E - Change Request Template

Change the template as appropriate for your project.

Project Name	*Project name*		
Project Manager	*Project manager name*	**Organization**	*Organization name*
Requested by	*Requestor name*	**Organization**	*Organization name*
Submitted by	*Submitter name*	**Date Requested**	*Date*
Evaluated by	*Evaluator name*	**Date Evaluated**	*Date*
Decided by	*Name of decision maker*	**Date Decided**	*Date*

Change Request Identification *(Provided by the Change Management Coordinator)*	
Change Request #	*Number entered by project manager*
Change Title	*Enter a brief descriptive title for the change request*

Change Request Details *(Provided by the requestor / Stakeholder)*	
Description	*Provide a detailed description of the change being requested. Be specific. Include a preliminary estimate of the impact of the change on the project and its deliverables. Note whether the change creates new deliverables or project objectives. Note any timing issues related to implementing the change.*
Justification	*Provide a business case for the change, including the impact of not implementing it.*
Cause	*Note anything that could be helpful to understanding the cause of this change so that the root cause of related changes can be identified and addressed.*
Priority	*Select among the priority categories established for this project. E.g. high, medium, low.*

Evaluation *(Provided by the Change Management Team) Include as appropriate:*	
Scope	*Discuss impacts on project scope, including whether this is a change to the product requirements, and for large impact changes whether the change is in keeping with the projects overall business case. Note whether the change violates a requirement or is out of scope as implied by the project's business case.*
Schedule	*Discuss impacts on project schedule and note, in particular, whether the impacts occur on the project's critical path.*
Cost	*Discuss impacts on the project budget. Include a detailed cost analysis.*
Quality	*Discuss impacts on the project's quality objectives and how the change affects quality assurance and control activities.*
Risk	*Describe any new risks introduced by this change and its impact on the project risk plan.*
Project management	*Discuss the impact this change has on how the project is organized.*
Evaluator's priority	*Select among the priority categories established for this project if this differs from the requestor's priority and note why it is different.*
Alternatives and recommendation	*Describe compelling alternatives to this change, if any, what would support the choice of each alternative, and which choice the evaluation team recommends.*

Implementation Options *(Provided by the project manager)*
Given the current state of the project, list options for implementing the change in light of the project's driving constraints.

Decision/Rationale: *(Sponsor and/or Stakeholder)*
€ Approved
€ Denied
€ Place on Hold
Describe the rationale for the decision and who was involved.

Change Request Decision Signatures

Change Management Team Lead

_____   _____
(Signature)   (Date)
Name
Position
Organization

Project Manager

_____   _____
(Signature)   (Date)
Name
Position
Organization

Manager / Director Approver

_____   _____
(Signature)   (Date)
Name
Position
Organization

Appendix F – Supplemental Resources Work Request Form (SRD)

"Supplemental Resources" is Contractor work **not** defined as a "Deliverable" in the MOSAIC Enterprise Contract. The description of and compensation for Contractor deliverables are specifically described in the Contract and do not fall in this category nor require the completion of a **Supplemental Resources Work Request Form**, an example of which is attached hereto as Appendix D. (The preparation of a Supplemental Resources Work Request Form is self-explanatory; the form contains detailed completion and routing instructions. Although it doesn't show up on a printed form, each item required to be entered on the form contains a "text box" of unlimited size which can be seen in the on-line version of the form. The actual form, with visible text boxes, will be posted on the W Drive when MOSAIC Enterprise Contract begins.) If you are unsure under which category your request for Contractor work would fall, discuss the matter with the MOSAIC Enterprise Contract Monitor.

To summarize, use the form to describe the Supplemental Resource Work (hereinafter referred to as "Supplemental Resource Deliverable" [SRD] NOT TO BE CONFUSED WITH MOSAIC ENTERPRISE CONTRACT DELIVERABLES) you desire the Contractor to perform, in terms of:

- A detailed description of each SRD requested;
- The Contractor skill set(s) required for each SRD;
- The estimated number of Contractor hours required for each SRD;
- The hourly rate for each SRD skill set requested;
- Your desired commencement date for each SRD, and
- Your desired completion date for each SRD.

In addition the form must contain information about your post-SRD activities, such as:

- Who the Contractor is to notify when the work is completed;
- Who will determine if the work is acceptable, and
- How long the work reviewer will have to inspect the work and notify you of the results.

Then the form must be signed and dated by the person requesting the work, the appropriate Team Lead (indicating approval), the Program Manager (indicating approval), and the Program Manager's statement of the maximum hours allowed for the particular SRD.

Lastly, a copy of the fully approved form must be delivered to the MOSAIC Contract Management Team Lead and the MOSAIC Change Management Team Lead. The SRD is subject to the Change Management process and will require a change order and Change Management Review Board (CMRB) approval.

MOSAIC Enterprise Contract
Supplemental Resources Work Request Form

Date:

"Supplemental Resources" is Contractor work **not** defined as a "Deliverable" in the MOSAIC Enterprise Contract. The description of and compensation for Contractor deliverables are specifically described in the Contract and are not covered by this Work Request Form. If you are unsure under which category your request for Contractor work would fall, discuss the matter with the MOSAIC Enterprise Contract Monitor.

Describe the Supplemental Resource Work (hereinafter referred to as "Supplemental Resource Deliverable" [SRD] NOT TO BE CONFUSED WITH MOSAIC ENTERPRISE CONTRACT DELIVERABLES) you desire the Contractor to perform, in terms of:

- A detailed description of each SRD requested:
- The Contractor skill set(s) required for each SRD:
- The estimated number of Contractor hours required for each SRD:
- The hourly rate for each SRD skill set requested:
- Your desired commencement date for each SRD:
- Your desired completion date for each SRD:

After SRD Completion

- Who is the Contractor to notify when the work is completed?
- Who will determine if the work is acceptable?
- How long does the work reviewer have to inspect the work and notify you of the results?

Person requesting the work:
(Signature and Date): _____

Team Lead's Name and Approval:
(Signature and Date): _____

Program Manager's Approval:
Maximum Hours Authorized:
(Signature and Date): _____

PLEASE SEND A COPY OF THE FULLY APPROVED FORM TO THE MOSAIC CONTRACTS MANAGEMENT TEAM LEAD and the MOSAIC Change Management Team Lead. The SRD is subject to the Change Management process and will require a change order and Change Management Review Board (CMRB) approval

Appendix G – Change Log Template

<div align="center">

CHANGE MANAGEMENT TRACKING LOG

</div>

No	Issue Date	Requestor	Title of Request	Impact and Deliverables Affected	Resp. Person	Completion Date	Recommendation or Status
<PROJECT NAME>							
1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							
11.							
12.							
13.							
14.							

Appendix H – Change Management Organization Chart