Court Services and Offender Supervision Agency
for the District of Columbia

Management Instruction

Policy Statement 2009.1
Policy Area: Information Technology
Effective Date: 01/28/2002
Approved: David L Stevens
David Stevenson, Associate Director,
Office of Information Technology
Chief Technology Officer (Acting)

COURT SERVICES AND OFFENDER SUPERVISION AGENCY (CSOSA) CHANGE REQUEST PROCESS AND CHANGE CONTROL BOARD

I. COVERAGE

This policy covers all permanent, temporary, and part-time Court Services and Offender Supervision Agency (CSOSA), Office of Information Technology employees, as well as interns and contractors. The term "employee" as used in this policy covers all of these categories. This policy applies to requests for modifications or additions to the CSOSA Information Technology (IT) environment.

II. BACKGROUND

The purpose of the Change Request process is to manage the activities that affect the CSOSA IT environment. A Change Request (CR) is a request for modification to a configuration item (CI) (i.e. computing environment, documentation, drawings, project plans and contracts), IT procurements, and the development or implementation of a new product or service. Change requests include:

- Authorization to develop (RFD) – Requesting approval to design/develop a new project or service, initiate a major procurement, perform a study or an analysis.
- Authorization to deploy (RFI) – Requesting the approval to proceed with the implementation of a change, or a new product /service after the development, testing and implementation strategy phases have been completed.
- Design Review (RFR) – Review of an Architecture Design Change or Implementation (by CCB request)
- For Your Information (FYI) – Information dissemination that requires no action from the CCB

This policy also establishes the Change Control Board. The purpose of the Change Control Board is to review, approve or disapprove requests for modifications to the CSOSA IT environment. This board will consist of the following representatives (or designee):

- CCB Chairperson (CTO or designee)
- PSA IT Manager
- Applications Development Manager
- IT Special Project Manager
- IT Services Delivery Manager
- IT Infrastructure Manager

- IT Field Support Manager
- IT Security Officer
- IT Plans and Standards Program Manager

This policy provides the Chief Technology Officer (CTO) a mechanism to provide official "authorize to process" as directed under OMB-A130 and to monitor adherence to other Federal and Agency regulations.

III. PROCEDURES

a) Change Request Form

i) A CR must be submitted the conceptual development stage of an IT project, before any resources are committed. This will ensure that the project is given the needed visibility as early a possible. Considerable time and resources can be saved as a result. A CR can also be submitted during the lifecycle development of a project or production operation.

For example, a department may develop a computer network design plan unaware of a Computer Room redesign effort. As a result there are schedule conflicts, redundant purchase orders, and duplicate efforts.

ii) All requests must be recorded electronically, on a change request form. The information is entered the CR tracking system. The system will be used to record the progress of all change requests as they proceed through their lifecycle.

iii) A CSOSA Change Control Board Review will be held once a week to evaluate and discuss proposed changes and to provide status on open change request. The meetings will also provide a central forum for communications between departments. (See Figure 1: CSOSA Process for Routine Change Request).

b) Submission of a Routine Change Request

i) All change request originators must complete a change request form (See form CSOSA/IT 0004).
ii) The completed forms and supporting documentation must be sent to the CSOSA Change Control Board via Email by 12:00pm Tuesday (See Section IV).
iii) Send your request via e-mail to: CSOSA Change Control Board.
iv) The Email <u>Subject Field</u> should be the same as the Title of the Change section on the Change Request form.
v) The Email <u>Text Area</u> should be the same as the Description of Change section on the Change Request form.

vi) The requested item will be added to the agenda of the next scheduled Change Control Board Review or if the item is routine maintenance it will be routed for approval using the voting option in e-mail.

vii) The CCB Coordinator will update the Change Control Tracking Sheet and assign a Change Control Number.

viii) The CCB Coordinator must send the change control board agenda to the CCB members 24 hours prior to the CCB Meeting. This agenda will also include a listing of change controls for the week.

ix) The CCB members should review all change control information prior to attending the meeting.

x) The CCB will review the request at the Change Control Meeting and will approve or disapprove the request by signing the CCB Request form under the CCB Signature section.

Note: Change request originators must be present at the CCB review meeting when their submission is reviewed. Failure to appear can result in a delay of the requested change.

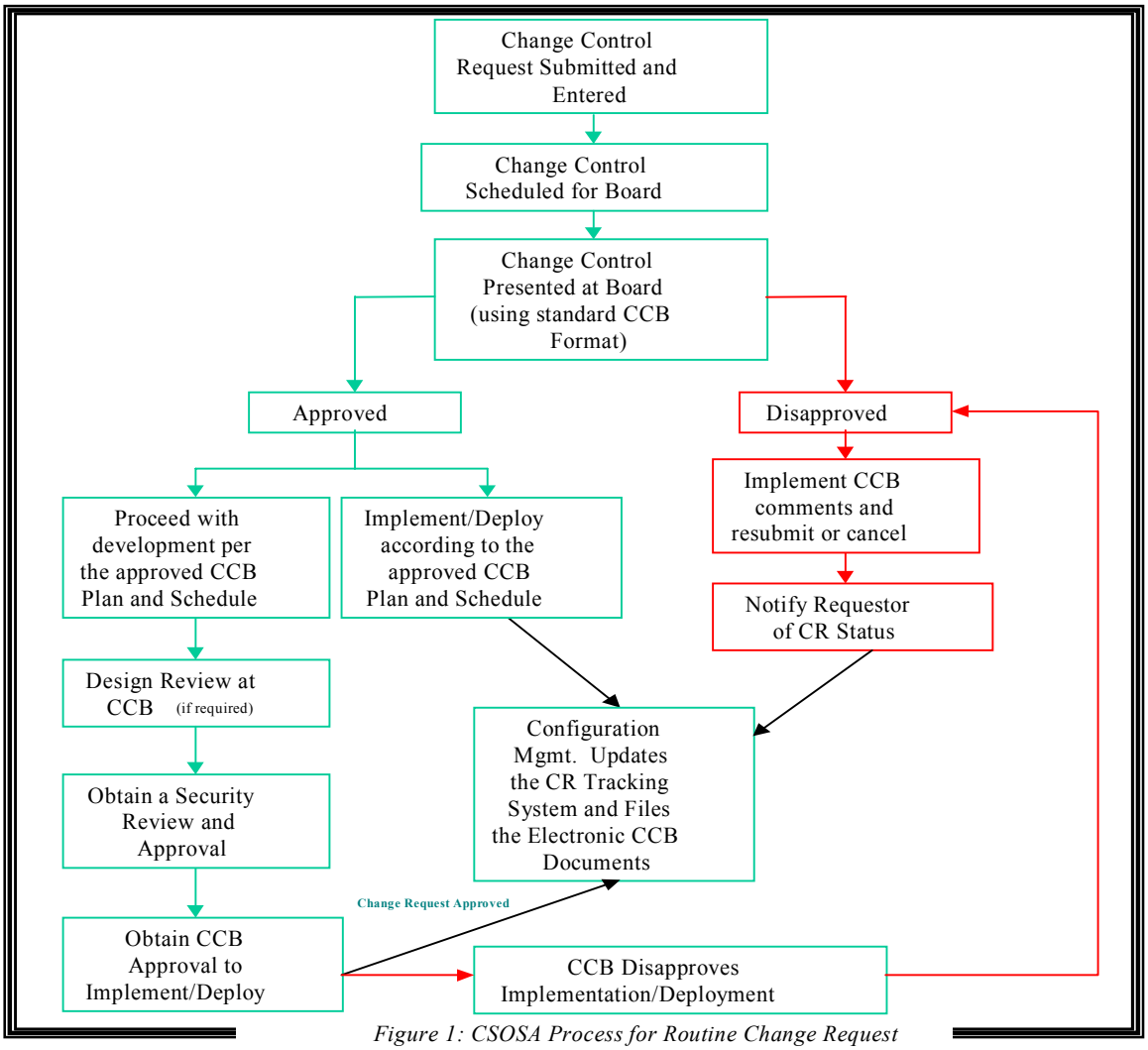

Figure 1: CSOSA Process for Routine Change Request

c) Submission of an Emergency Change Control (Out of Board)

i) There are two types of change controls that can be submitted and approved outside of the Change Control Board. They are:

- **Urgent Change -** An Urgent Change is a CR that must be implemented prior to the next CCB meeting due to the impact of the change.

- **Emergency Change -** An emergency change is a CR that is submitted to the CCB by the CR Originator after the defined change has been implemented. ***This CR corrects a problem when a critical service is down or severely impaired causing disruption to business activities.*** A Department Manager or Senior Manager on duty must approve the emergency request prior to implementation. The Manager who approves an emergency request is responsible for ensuring that the CR is submitted.

ii) All members of the Change Control Board must review these changes, but disposition by the CCB will be handled "out of board."
- These requests must be e-mailed to the CSOSA Change Control Board with an urgent delivery.
- The CCB Coordinator will route the request for approval via e-mail using the voting option.
- The CCB members will approve or reject the change request and provide comments or clarification if they vote to reject the request. (If all parties don't approve the change control, the item must be added to the CCB Agenda for further discussion).
- The CCB Coordinator will update the electronic and paper copies of the change control to reflect the approved date and obtain signatures.

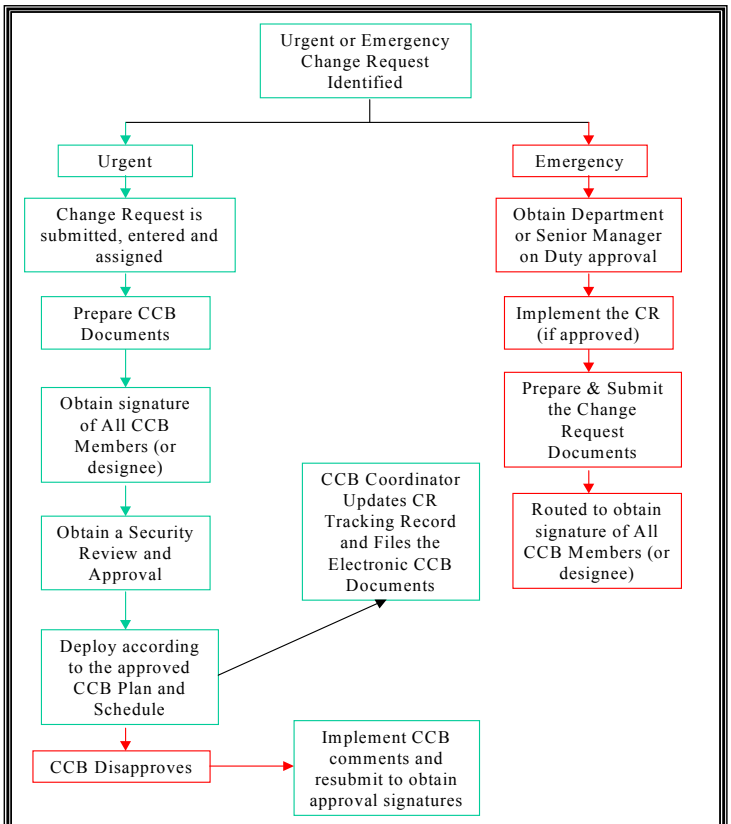

Figure 2: CSOSA Process for Urgent and Emergency Change Request

d) User Notification

CSOSA users must be notified at least 48 working hours before any non-emergency change occurs that will result in the loss of IT service. All CCB approvals must be completed in advance of this notification. Follow the CSOSA Information Technology Outages Process (PS – 2004) for details.

e) Change Control Date Extensions

An estimated completion date for a change control is accepted during the approval process. It is the responsibility of each manager to ensure that the change control assigned to their staff is completed on or before the approved date. If the date needs to be extended, the following e-mail message must be sent to CSOSA Change Control Board:

Change Control #_____ will not be completed on _____. The reason for the delay is _____
_____.
The changes will be performed on_____.

The CCB Coordinator will update the electronic and paper copy of the change control with the date change and the e-mail extension request.

f) Change Control Closure

The analyst assigned to the change control will notify the **CSOSA Change Control Board** via e-mail to close the CCB item. The e-mail should read as follows:

Change Control #_____ was completed on _____.

The CCB Coordinator will update the electronic and paper copy of the change control with the completion date and the closure e-mail.

g) Configuration Management

The electronic and paper documents will be maintained by the CCB coordinator. All electronic change controls and the CCB Tracking Sheet are maintained on **S:\CCB.**

IV. CHANGE CONTROL DOCUMENTS

The Change Control Templates are located in S:\CCB\CCBDOCS. All of these documents are read-only. If the change control is related to a major initiative/project that impacts or changes the operating environment, the appropriate template (based on the type of request) must be completed and included with the change control request. The CCB can request these templates be completed to provide additional information or clarity to the request. These templates will be filled out for all change requests that are connected to an item in the Capital Asset Plan. The templates are:

CSOSA Change Control Template for Approval to Develop (CSOSA-RFDtemplate.ppt)
CSOSA Change Control Template for Approval to Implement/Deploy (CSOSA-RFItemplate.ppt)
CSOSA Change Control Design Review Template (CSOSA-DesignReview.ppt)

Instructions for Completing a Change Request Form

What type of information is required for a change request?

Requestor:
Include name of individual preparing the form

Requestor's Phone:
Enter the telephone number of the person who should be contacted to explain the proposed change.

Requestor's Org/Dept:
Enter the name of the department the requestor is a part of.

Requestor's Address:
Enter the mailing address of the requestor. (If on campus list building and room number)

Priority:

How do I classify the urgency of the change?
A change request may involve three types of changes: Routine, Urgent and Emergency. Check the appropriate blocks.

Routine Change
A routine change is a scheduled change that follows a normal Change Control Review cycle. The cycle consists of the change request being submitted prior to the weekly meeting, the change being discussed and evaluated by the Change Control Board, and the change being implemented after the Change Control Board approval. Variations to the normal cycle may be required if additional preparation, such a user training, is required.

Any change that bypasses the routine Change Control Review process is classified as an Urgent or Emergency change.

Urgent Change
An Urgent Change is a CR that is reviewed by all members of the Change Control Board, submitted to the CCB by the CR Originator, but dispositioned by the CCB "out of board." ***Due to the need to implement the defined change prior to waiting for the next CCB meeting,*** **walk-through approval** ***must be obtained***. ***The requestor must present the CR to all CCB members who have signature approval.***

Emergency Change
An emergency change is a CR that is submitted to the CCB by the CR Originator after the defined change has been implemented. ***This CR addresses the situation where a critical service is down or severely impaired causing disruption to business activities.***

Start and Finish Date and Time.

Enter the date of planned implementation.

Title of Change:
Enter a short descriptive title of the proposed change.

Purpose/Description of Change:
Describe the proposed change in sufficient detail to permit ready identification
Include additional documentation if applicable.

Affect on Users:
List what IT Services, System or Application will be affected during this change. Describe adverse effects or improved characteristics that the proposed change may have on the user. Include the effects if the proposed change is not made.

Reason/Justification:
Enter the justification to support the proposed change.

Impact of Change:
Describe the impact upon services and availability.

Site Preparation:
Self-Explanatory

Notification Requirements:
Self-Explanatory

Fallback and Risk Assessment:
Describe the procedures that will be invoked if failure occurs, an analysis of which users are at risk if the change fails and the back-out plan cannot be effectively executed, and a definition of the extent of the risk (for example: loss of mail for 3 days) and any risk mitigation steps.

Comments: Additional remarks

Change Request #:

Section - I		
Requestor Name	**Requestor Phone**	**Requestor Org/Dept**
Requestors Address (Location)		

Section - II			
CR Type **Check One:**	**Priority** (Explain reason/justification.)	**Start Date/Time**	**Finish Date/Time**
☐ Development (RFD) ☐ Deployment (RFI) Other:_____	☐ Routine ☐ Urgent ☐ Emergency		
Title of Change			
Purpose/Description Of Change (Describe the proposed change) (Attach any supporting documentation.)			
Affect On Users (IT Services/Systems and Locations Affected)			
Comments:			
Reason/Justification For Change (If additional space is needed, attach additional sheets.)			
Comments:			
Impact Of Change On Services and Availability			
☐ Minor Impacts (Non-Disruptive) ☐Regular Impacts (May be Disruptive) ☐Major Impacts - (Disruptive)			
Site Preparation			
Will you require Computer Room Space? ☐ Yes ☐ No			
Notification Requirements (A minimum of 48 Hours is required for all user notifications.)			
Is user notification required? ☐ Yes ☐ No			
Fallback Procedures and Risk Assessment - Describe in detail the procedures that will be invoked if failure occurs. An analysis of which users are at risk if the change fails and the back-out plan cannot be effectively executed, and a definition of the extent of the risk (for example: loss of mail for 3 days) and any risk mitigation steps.			
Comments:			
Comments (If additional space is needed, attach additional sheets.)			
Remarks:			
Requestor Signature and Date:			
Section III - CM Use Only			
Disposition			

☐ Submitted ☐ Accepted ☐ Fixing ☐ Deferred ☐ Completed ☐ Rejected ☐ Closed:
Comments:

Primary Department Responsibility

☐User Support ☐LAN Services ☐Network Operations ☐Enterprise Applications ☐Projects
☐ Other:

Section IV - Status Reporting - CM Use Only

Result of Change

Comments:

Downtime Due to Change	**Date of Actual Implementation**

Reason For Cancellation or Postponement

Comments:

CCB Signatures: These signatures grant authorization for processing (OMB A-130) the development or deployment of item(s) identified in this change request.

Org/Dept	**Develop Approval Signature Date & Time:**	**Deploy Approval Signature Date & Time:**
PSA IT Manager*		
Application Dev. Manager **		
IT Special Project Manager **		
IT Security Officer		
IT Plans and Standards		
IT Service Delivery Manager		
IT Infrastructure Manager		
IT Field Support Manager		
CCB Coordinator/Chairperson		

Date:

Chief Technology Officer

Review Dates

Submission Date	Review Date	Approval Date	Excepted Completion Date	Closure Date

** -Signature required on Enterprise Issues Only*
*** Signature required for items that affect Applications Only*