

**Control Block**

Reviewed / Approved by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Reviewed / Approved date:

**Change Management Process – SPS Commerce**

Change Advisory Board / Operations Management Team

Members: COO, VP of Technology, Mgr of Infrastructure

Request For Change (RFC) Definition

An RFC may be initiated in the TrackIt ticketing application for new hardware or environment software, or upgrades / patches to existing environment hardware of software, or may be the result of an incident requiring a change to fix an identified issue. An RFC may also be initiated for an identified service improvement. No changes are executed without a ticket. Anyone at SPSC may initiate a ticket. Not all tickets are RFC tickets. RFC Tickets are coded as such by the Infrastructure Manger based upon the request. RFC Tickets are assigned to specific personnel by the Infrastructure Manager based upon the required skill-set to complete the request.

Workflow

1. Request For Change (RFC) is created in the Help Desk Application (Track-It). Changes specific to 3rd-party applications supporting the Data Center and hardware are typically requested by resources within the Technology team - Infrastructure, Application Support or Development.  
   Changes specific to applications supporting other, internal business units are typically requested by users within the department.
2. The RFC is logged as “new” and contains (at a minimum) the following information:
   1. Description of the change
   2. Reason for the change (include “pros & cons”)
   3. Proposed high-level scope, approach, and desired time-line / target-date
   4. Summary of identified risks and mitigating strategies
3. The RFC is then submitted for approval to the Change Advisory Board.
   1. The Change Advisory Board reviews the request and assesses the risk of undertaking the initiative with consideration to broader corporate criteria.
   2. If additional information is required, the RFC is denied and additional information is requested from the author.
   3. If the RFC meets all the requirements to Change Advisory Board’s satisfaction, the RFC is approved.
4. Because a variety of initiatives of varying sizes and risk profiles may fall into the RFC classification, consideration and appropriate (additional) activities should be planned for any changes affecting applications that capture, feed, or directly enable monetary transactions between SPSC and SPSC Customers. At a minimum, executive management should be involved in an oversight role. Additional, “appropriate” activities may include more rigorous testing (system, full regression, User Acceptance, parallel processing) executive review, formal roll-back planning, etc.  
     
   Once the RFC is approved, it is assigned to the proper Infrastructure and/or Development and/or SQA resource(s). The assigned resources then execute the following tasks -
   1. Identify and document the detail tasks required to execute the change   
      (including appropriate activities for changes affecting applications supporting financial transactions and/or financial reporting).
   2. Prepare any required Test Environments (including data).
   3. Create and execute a Test Plan to ensure requested changes were made and made correctly, and did not affect other system functionality.
   4. Create an implementation/cut-over plan that outlines the related tasks in sequential order, the owner / executor of the tasks and the estimated timing and/or duration of each task. These items are included in the RFC Playbook. An example is included in Appendix B.
   5. The implementation plan is tested and updated to reflect any corrections identified during the test phase.
   6. Rollback plan is outlined and tested, if necessary.
   7. Schedule and perform User Training if applicable
   8. Identify and document downtime requirements and customer impact. These are presented to the Change Advisory Board. The change execution schedule, including downtime and stakeholder communication, is finalized.
5. Request Customer Operations to draft customer communications, if required. This request includes the scheduled downtime, the affected customer communities (i.e. WebForms, File Integration, etc.) and a brief overview of service impact. Examples of these communications are included in Appendix C.
6. Infrastructure or Applications Support personnel implement the RFC on the scheduled date. Internal (e-mail) communication is sent at the start and finish of the process, typically with a summary of changes and/or links to detail information about the change.
7. Conduct an RFC – Closed (or “Closure”) meeting after the RFC implementation is completed. Attendees should include CAB members, all personnel involved in delivering the RFC, and any other affected, interested stakeholders. Purpose is to review RFC goals and how (if) they were met, review successes and challenges, and apply any lessons learned to the standard process.