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| **Audit Name: SimpleDose**  **Audit Number: 21170** |

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| Control & Sample Information | |
| Control | C.1 – Approved Changes |
| Sample Number | 2 selections |
| Supporting Documentation Received From | Padmalatha Ajit (Sr. Manager, Application Development) |
| Received Date | 5/25/2021 |
| Purpose of the Test | The purpose of this test is to ensure that changes are documented, approved, and tested before being deployed into a production environment |
| Source Files | WP 1.1 [C\_1\_1\_a - April 7\_RFC # CHG0241916 - Submitted.docx](https://cvshealth.auditboardapp.com/download?file_id=92354)  WP 1.2 [C\_1\_1\_a - Feb 17\_RFC # CHG0229715 - Submitted.docx](https://cvshealth.auditboardapp.com/download?file_id=92350)  WP 1.3 [C\_1\_1\_b d - April 7\_Request for Changes (RFC) - with Approvals.pdf](https://cvshealth.auditboardapp.com/download?file_id=92351)  WP 1.4 [C\_1\_1\_b d - Feb 17\_Request for Changes with approvals - CHG0229715.pdf](https://cvshealth.auditboardapp.com/download?file_id=92348)  WP 1.5 [C\_1\_1\_c - April 7\_IQ-OQ\_CHG0241916\_20210407\_SDA.xlsx](https://cvshealth.auditboardapp.com/download?file_id=92352)  WP 1.6 [C\_1\_1\_c - Feb 17 \_IQ-OQ\_CHG0229715\_20210217\_SDA.xlsx](https://cvshealth.auditboardapp.com/download?file_id=92349)  WP 1.7 [C\_1\_1\_e - April 7- Prod RFC CHG0223201 and SDA Prod RFC - CHG0241916 Approval.msg.pdf](https://cvshealth.auditboardapp.com/download?file_id=92470)  WP 1.8 [C\_1\_1\_e - Feb 17\_Prod RFC CHG0229715 Approval.pdf](https://cvshealth.auditboardapp.com/download?file_id=92472) |

**Attribute A: Evidence of a ServiceNow Change Ticket**

**Section 1: CHG0229715**

**Graphical user interface, application

Description automatically generated**

Please see WP 1.2 for more details.

**Section 2: CHG0229715**

**Graphical user interface, application

Description automatically generated**

Please see WP 1.1 for more details.

Changes are documented with ServiceNow, with no exceptions noted.

Attribute satisfied.

**Attribute B: Evidence that changes have been approved**

WP 1.3- This is a change request for CHG0241916 that contains information such as the change approver, the change requestor and whether the change has been approved. Please see WP 1.3 for more details.

WP 1.4- This is a change request for CHG0229715 that contains information such as the change approver, the change requestor and whether the change has been approved. Please see WP 1.4 for more details.

Attribute satisfied

**Attribute C: Evidence that changes were tested prior to deployment**

WP 1.5- This is the IQOQ document for CHG0241916. This document contains a series of steps needed to perform the change, the types of testing performed along with the rollback procedure. Please see WP 1.5 for more details.

WP 1.6- This is the IQOQ document for CHG0229715. This document contains a series of steps needed to perform the change, the types of testing performed along with the rollback procedure. Please see WP 1.6 for more details.

Attribute satisfied

**Attribute D: Evidence of the request being made**

WP 1.3- This is a change request for CHG0241916 that contains information such as the change approver, the change requestor and whether the change has been approved. Please see WP 1.3 for more details.

WP 1.4- This is a change request for CHG0229715 that contains information such as the change approver, the change requestor and whether the change has been approved. Please see WP 1.4 for more details.

Attribute satisfied.

**Attribute E: Evidence of the request being approved**

WP1.7 **–** This is an email thread that contains the VP approval related to CHG0241916. Please see WP 1.7 for more details.

WP1.8 - This is an email thread that contains the VP approval related to for CHG0229715 . Please see WP 1.8 for more details.

**Conclusion**

Contol appears to be effective. Please see [C.1 - Change Management Testing Leadsheet](https://cvshealth.auditboardapp.com/workpaper?workpaper_id=54125) for more details.