

Change Management – FAQs, CAB, Mail Queries, State Queries, Exceptions & Workflow Stages

ABC Bank

1. Purpose

This document provides a comprehensive guide to handle frequently asked questions related to change management, CAB processes, mail communication, change state queries, exceptions, and workflow stages for ABC Bank. It ensures consistency, clarity, and compliance across all change management activities.

2. Frequently Asked Questions (FAQs)

General Change Management FAQs

What is a change request (CR)?

A formal proposal to modify or improve systems, applications, or processes within the organization. It must include description, justification, risks, and rollback plans.

Who can raise a change request?

Any employee, team, or vendor authorized by their manager can raise a change request.

What types of changes are there?

Standard, normal, and emergency changes. Each has its own process and approval requirements.

Why is a rollback plan necessary?

To revert changes safely in case of failure, minimizing service disruption.

CAB Related FAQs

What is CAB?

Change Advisory Board, a group of stakeholders that review and approve changes based on risk and impact.

When does CAB meet?

Weekly or bi-weekly depending on the urgency and nature of change requests.

Who are members of CAB?

Change Manager, technical leads, business owners, security, compliance, and other relevant teams.

How are decisions made?

Through consensus or majority, based on risk assessments, business impact, and mitigation plans.

Mail Queries

How to acknowledge a change request?

Acknowledge the request within 24 hours including CR ID, reviewer assignment, and expected timeline.

What should be included in a status update?

CR ID, current stage, pending tasks, expected completion date, and contact details.

How to respond to risk queries?

Provide documented risk assessments, impact analysis, and mitigation strategies.

How to communicate change cancellation?

Clearly mention CR reference, reason, and next steps or alternatives.

Change State Queries

What are the different change states?

Draft, Submitted, In Review, Approved, Scheduled, In Progress, Validation, Closed, and Rejected.

How to track change progress?

Use the Change Management portal dashboard or contact the assigned Change Manager.

What happens if a change fails?

The rollback plan is activated, and a post-mortem analysis is conducted to prevent future occurrences.

Exceptions Handling

What is an exception?

A deviation from the normal change process due to urgent business requirements or unforeseen incidents.

How are exceptions approved?

Must be documented and approved by the Change Manager, with post-implementation review by CAB.

Which changes are typically treated as exceptions?

Emergency security patches, compliance fixes, disaster recovery efforts, and critical infrastructure issues.

How are exceptions tracked?

Through an Exception Log containing justification, approval details, implementation steps, and lessons learned.

3. Change Workflow Stages

Draft

Initial stage where details are being filled in.

Submitted

Change request is formally submitted for review.

In Review

Teams assess the change for risks and impacts.

Approved

CAB or authorized personnel approve the change.

Scheduled

Implementation date and time are fixed.

In Progress

Change is being executed.

Validation

Post-implementation tests are conducted.

Closed

Change is finalized and archived.

Rejected

Change request is declined with feedback.

4. Exception Escalation

- ✓ Document exception details including urgency, risk, and fallback plans.
- ✓ Approval must be provided by authorized personnel.
- ✓ Post-implementation review should be conducted within 48 hours.
- ✓ Report severe incidents to senior management within 2 hours.
- ✓ Maintain exception records for audit purposes.

5. Communication Templates

Acknowledgment Template

Dear [Requester Name],

Your Change Request [CR-ID] has been received and is under review. The assigned Change Manager is [Manager Name], and the expected review timeline is [Timeline]. Please ensure all supporting documentation is uploaded.

Regards,
Change Management Team, ABC Bank

Status Update Template

Dear [Stakeholder Name],

The status of Change Request [CR-ID] is currently [Stage]. The next action is scheduled for [Date/Time]. Please review pending tasks and contact [Manager Name] at [Email] for further details.

Regards,
Change Management Office, ABC Bank

Exception Approval Template

Dear [Approver Name],

We request approval for an exception to standard change procedures for Change Request [CR-ID]. The reason is [Urgency/Incident Summary]. The associated risks and mitigation plans are attached for your review.

Please provide approval at the earliest to proceed.

Regards,
Change Management Team, ABC Bank

Standard Operating Procedure (SOP)

Change Management - ABC Bank

1. Purpose

The purpose of this SOP is to establish a structured and systematic approach to manage changes to ABC Bank's IT infrastructure, applications, and business processes. The goal is to ensure that changes are implemented in a controlled and efficient manner while minimizing disruptions, maintaining compliance, and safeguarding data integrity and operational continuity.

2. Scope

This SOP applies to all changes across ABC Bank's technology and business environments including, but not limited to:

- ✓ IT infrastructure upgrades
- ✓ Application deployment and patches
- ✓ Database changes
- ✓ Network modifications
- ✓ Security updates
- ✓ Regulatory compliance changes
- ✓ Business process improvements
- ✓ Third-party vendor integrations

This applies to employees, contractors, and vendors involved in implementing or approving changes.

3. Definitions

- **Change:** Any modification or addition to the infrastructure, software, hardware, or process that may impact operations.
 - **Change Request (CR):** A formal proposal submitted for a change.
 - **Emergency Change:** A change that must be implemented immediately due to a critical incident or risk.
 - **CAB (Change Advisory Board):** A group responsible for reviewing, approving, and prioritizing changes.
 - **RCA (Root Cause Analysis):** A process to identify the underlying reason for an incident prompting the change.
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4. Objectives

1. Ensure all changes are systematically evaluated, authorized, and documented.
 2. Minimize service disruptions, downtime, and operational risks.
 3. Improve communication and transparency during the change lifecycle.
 4. Ensure regulatory and compliance requirements are met.
 5. Establish accountability and traceability for each change.
 6. Foster continuous improvement by learning from past changes and incidents.
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5. Roles and Responsibilities

Change Requestor

- Initiates the change request.
- Provides detailed description, business justification, risk assessment, and impact analysis.
- Coordinates with affected departments.

Change Manager

- Reviews and categorizes the change.
- Schedules change advisory board meetings.
- Ensures proper documentation, approval, and tracking.
- Communicates change status to stakeholders.

Change Advisory Board (CAB)

- Reviews high-impact changes.
- Assesses risks, conflicts, and dependencies.
- Approves, rejects, or requests modifications.
- Ensures that rollback plans are in place.

Technical Teams (Development, Operations, Security, etc.)

- Execute the change according to specifications.
- Validate testing, backup, and recovery plans.

- Report issues and ensure remediation steps are followed.

Compliance & Audit Team

- Reviews changes for regulatory compliance.
- Ensures proper documentation and reporting.
- Supports audits and post-change reviews.

Business Unit Representatives

- Provide input on the business impact.
 - Approve changes that affect customer service or critical operations.
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6. Change Types

Type	Description	Approval Process	Timeline
Standard Change	Pre-approved, low-risk	Automated or simplified	As scheduled
Normal Change	Requires formal assessment	CAB review	Planned
Emergency Change	Critical, must be implemented immediately	Post-implementation review required	Immediate

7. Change Management Workflow

Step 1 – Change Request Submission

- Submit CR form via the internal Change Management System.
- Include: description, justification, risks, impact, rollback plan, test cases, resource requirements.

Step 2 – Change Assessment

- Change Manager categorizes and assigns priority.
- Technical and business teams review feasibility and dependencies.
- Impact analysis is performed.

Step 3 – CAB Review

- Scheduled review for normal changes.
- Emergency changes are reviewed post-implementation.
- Approval, modification, or rejection is documented.

Step 4 – Scheduling and Communication

- Implementation schedule is confirmed.
- Communication plan is shared with stakeholders.
- Backups, pre-change testing, and validation protocols are finalized.

Step 5 – Implementation

- Change is deployed according to plan.
- Monitoring tools are used to track issues.

Step 6 – Post-Change Validation

- Functional testing and stability checks are performed.
- Business units confirm service continuity.

Step 7 – Documentation and Closure

- Complete implementation notes, lessons learned, and RCA if applicable.
 - Archive CR for future audits.
 - Update change logs and knowledge base.
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8. Emergency Change Process

1. CR is submitted with minimal details but justification is mandatory.
 2. Verbal or written approval from the Change Manager or designated emergency approver.
 3. Immediate implementation with risk monitoring.
 4. Post-change review within 48 hours.
 5. Documentation updated after stabilization.
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9. Risk and Impact Assessment

All changes must include the following assessment:

- ✓ Impact on customers, services, and compliance
- ✓ Data sensitivity and privacy concerns
- ✓ Dependencies with other systems
- ✓ Backup and disaster recovery readiness
- ✓ Security vulnerabilities introduced or mitigated
- ✓ Financial or reputational risk

Risk categories:

- High – Critical systems, sensitive data, or regulatory implications
 - Medium – Business processes with moderate operational risk
 - Low – Routine or non-critical changes
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10. Communication Plan

- **Pre-Change:** Notify all stakeholders at least 48 hours before implementation for normal changes.
- **During Change:** Provide real-time updates on progress and issues.
- **Post-Change:** Send summary reports, issues encountered, and resolution steps.

Channels: Email, internal portal, team messaging tools, dashboards.

11. Documentation Requirements

Each change must have the following documented:

- ✓ Change Request Form
- ✓ Risk and Impact Assessment
- ✓ Approval Notes
- ✓ Implementation Plan
- ✓ Test Cases
- ✓ Rollback Strategy
- ✓ Post-Implementation Report
- ✓ Lessons Learned
- ✓ Compliance and Audit Records

12. Tools and Platforms

ABC Bank will use the following tools for change management:

- IT Service Management (ITSM) software (e.g., ServiceNow, JIRA)
 - Monitoring tools for real-time tracking
 - Communication platforms (email, chat, dashboards)
 - Knowledge base for storing lessons learned and repeatable processes
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13. Metrics and Reporting

The Change Manager will track the following KPIs:

-  Number of changes implemented
-  Percentage of failed or rolled-back changes
-  Mean Time to Recovery (MTTR)
-  Customer impact incidents
-  Audit compliance success rate
-  Emergency changes vs planned changes

Monthly and quarterly reports will be shared with senior management.

14. Compliance and Security

- ✓ All changes must follow data protection laws and financial regulations.
 - ✓ Critical changes are subject to audit and must include proper approval.
 - ✓ Security reviews are mandatory for all changes affecting sensitive data or access controls.
 - ✓ Unauthorized changes are strictly prohibited and subject to disciplinary action.
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15. Training and Awareness

- All employees involved in change management must undergo periodic training.
- Annual refresher courses will be conducted.
- Emergency response drills will be performed twice a year.