

# Operational Change Management (OCHs)



Owned by Zshaquel Walker \*\*\*

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In order to migrate code changes to production, the change request process implemented by [redacted] must be followed. The information below is designed to help teams move changes to production successfully by following the OCH process. [redacted] institutes "IT General Controls" for all applications at [redacted]. The OCH Process covers the "Change Management" IT General Controls.

## ITGC Control Categories at [redacted]

### Change Management

- Changes are tested
- Changes are approved
- Segregation of duties (SoD) exists for change management

### Logical Access

- Password settings are appropriate
- Privileged access is restricted
- User access is provisioned and removed appropriately
- User access is reviewed

### IT Operations

- System data is backed up
- Scheduled jobs and system interfaces are monitored
- Incidents are identified and resolved in a timely manner
- Service Provider SSAE 16 (SOC 1) reports are reviewed

## Change Management & System Lifecycle Standards

### Standards

A standard is a detailed statement by management regarding objectives and expectations.

### Key Principles

1. A business sponsor will be identified for each application.
2. Tasks associated with system and software lifecycle activities will be segregated such that the integrity of company information and information systems is maintained.
3. Separate environments will exist for development, test, and production, and an owner will be identified and accountable for each environment.
4. Information will be protected based on its classification level regardless of the environment (e.g., development, test, or production).
5. Where technology permits, [redacted] information systems will use up-to-date service packs, personal firewalls, and anti-malware software.

Recorded Training Video: [Change Training.wrf](#)

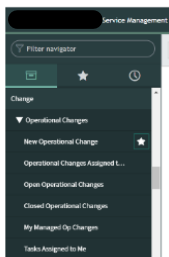
- ITGC Control Categories [redacted]
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## Creating an OCH in Service Now

OCH Status - **DRAFT**

Navigate to [\[redacted\]](#) and log in using your [redacted] credentials.

Select "Operational Change" from the left, and choose "New Operational Change"



Operational Changes have the following required fields -

- Requested By\*
- Requested by Date (Date post implementation validation will complete)
- Region - [redacted]
- Type
- Change Reason\*
- Has Business Approval Been Obtained\*
- Service\*

- Category\*
- Assignment Group (Required to properly route approval/s)\*
- Problem (Associated PRB if applicable)
- Short Description\*
- Description\*
- Justification
- Expected Outcome
- Dependencies

Number

\* Requested by

Requested by date (dd MM yy HH:mm:ss)

\* Region

Type

\* Change reason

Change Manager

\* Not Routers Approval Items (checked)

\* Short description

\* Description

Justification

Expected Outcome

Dependencies

Status

\* Service

\* Category(x\_category)

Estimated Risk

\* Assignment group

Assigned to

Problem

Testing

Testing

Testing

Testing

Testing

Save the OCH before moving to Risk Assessment.

Risk Assessment and Outcomes

OCH Status - DRAFT

Once the OCH is saved, a risk assessment needs to be performed to estimate the risk of the change, and determine the approval levels required.

1. Click the "Estimate Risk" button at the top of the OCH

Update

Cancel Change

Copy Change

Estimate Risk

Save

Status

\* Service

\* Category(u\_category)

Estimated Risk

\* Assignment group

Assigned to

Problem

2. Fill out the risk assessment questions, as seen below:

Answer Questions to Estimate Risk

Question 1: Select the answer that best describes the complexity of the change  
3) Intermediate

Question 2: Does your change impact financial systems?  
1) No

Question 3: How many end-users utilize this system?  
3) 5-100

Question 4: Does your change impact multiple systems?  
3) Yes

Question 5: Does IT have prior experience implementing this type of change?  
1) Implemented many times

Question 6: Do you have a back-out plan for this change? (if not, explain why not)  
1) Simple backout plan

Question 7: Are key resources on standby to fix any impact?  
1) Resources committed during and after deployment

Question 8: Has there been (or is there a plan to) communicate and train the impacted department(s) and end users on the changes they will experience?  
1) Full training and communication to all impacted

OK

Cancel

#	Risk Question	Question weight	Choice A	Choice B	Choice C	Choice A weight	Choice B weight	Choice C weight
1	Select the answer that best describes the size and complexity of the change	5	1. simple	3. Intermediate	5. Complex	1	3	5
2	Does your change impact financial systems?	5	1. No	3. Yes		1	3	
3	How many end-users utilize this system?	5	1. 1-5	3. 5-100	5. 100+	1	3	5
4	Does your change impact multiple systems?	5	1. No	3. Yes		1	3	
5	Does IT have prior experience implementing this type of change?	3	1. Implemented many times	3. Implemented before	5. Never Implemented	1	3	5
6	Do you have a back-out plan for this change? (if not, explain why not)	3	1. Simple back-out plan	3. Complex back-out plan	5. No back-out plan	1	3	5
7	Are key resources on standby to fix any impact?	1	1. Resources committed before and after deployment	3. Resources on call	5. Resources not planned	1	3	5
8	Has there been (or is there a plan to) communicate and train the impacted department(s) and end users on the changes they will experience?	1	1.Full training and communication to all impacted	3. Some training and communication	5.No training and communication	1	1	5

Evaluation Task

OCH Status - EVALUATION

The Evaluation Task can be found at the bottom of the OCH and is automatically generated after the risk assessment has been completed

The evaluation task can be found at the **bottom of the OCH**, and is automatically generated after the risk assessment has been completed

The evaluation task must be filled out with the following details:

- **Has testing been completed through to QA or equivalent? If no, please specify.** - Testing may not apply to all changes (infrastructure, firewall etc.)
- **Change Plan** - it's appropriate to reference a document attached to the OCH
- **Back-out Plan** - it's appropriate to reference a document attached to the OCH
- **Test Plan** - it's appropriate to reference a document attached to the OCH, as long as this document includes information about tests run, and the evidence that the tests passed. A good way to meet this requirement is to export Zephyr test executions.
- **Communication Plan** - If a communication plan is needed, reference or attach the plan. You may also describe the communication strategy here. **Example** - "Sales Ops will send a news letter, and host a sell well around this change"
- **Planned Start** - The expected start of the deployment
- **Planned End** - The expected completion of the deployment

Once the Evaluation task has been filled out, **Close Task** at the top of the evaluation task to close it and mark it complete.

## Required Documentation

All changes require documentation to be attached to the OCH prior to deploying to production. This includes:

1. Deployment Plan
2. Back-out Plan
3. Evidence of Testing
4. If appropriate, business approval of successful testing
5. Changes to production will be approved by management prior to implementation. This approval will be evidenced

## Requesting the Change

**OCH Status - EVALUATION COMPLETE**

Once the risk is estimated and the Operational Evaluation CTASK is closed, click the **"Request Change"** button at the top of the OCH. This will move the Change to **"Evaluation Complete"** status for CAB review.

**NOTE:** The change must be in "Evaluation Complete" status prior to 4 PM Central time on Tuesday to be eligible for Wednesday's CAB.

Additionally, if the "Requested By Date" precedes the approaching CAB date (Wednesday), you will receive a **warning message** to change the request to an Expedited "Type."

Change Advisory Board - Request to Implement

## Change Advisory Board - request to implement

### OCH Status - EVALUATION COMPLETE

At the Change Advisory Board, someone must be present to represent the change in order to receive approval to Implement. This should be a Development Lead or Owner of the product/application.

- All business approvals (if applicable) must be received prior to CAB approval
- Where applicable, testing through to QA or equivalent must be received prior to CAB approval

State	Updated	Approver	Short description	Comments	Opened by	Created
Open		Zahauel Walker			Zahauel Walker	19-Oct-20 11:08:03
Open		Zahauel Walker			Zahauel Walker	19-Oct-20 11:08:03
Open		Zahauel Walker			Zahauel Walker	19-Oct-20 11:08:03

If a request is CAB rejected, the status will move back to "Evaluation" and the Operational Change Evaluation task will re-open.

Once updates are made and the task is closed, the user will then select "Request Change" to send back for CAB review. The change status will move back to "Evaluation Completed".

**Note:** If a request is manager/director level rejected, the status will move back to "Evaluation" and the Operational Change Evaluation task will re-open.

Once updates are made and the task is closed, the user will then select "Request Change" to send back for manager/director approval only. The status will then move to "Approval."

Number	State	Change Task Type	Assignment group	Assigned to
	Open	Operational Change Evaluation		Zahauel Walker

Rejected approval for Operational Change: OCH57188

Number: [Field]  
Status: [Field]  
Requested by: Zahauel Walker  
Requested by date (dd-mm-yyyy HH:mm:ss): 24-Oct-20 12:31:41  
Region: [Field]  
Type: Normal  
Change reason: Enhancement  
Change Manager: Zahauel Walker  
Service: [Field]  
Category (a category): [Field]  
Estimated Risk: [Field]  
Assignment group: [Field]  
Assigned to: [Field]  
Problem: [Field]

Number	State	Change Task Type	Assignment group	Assigned to
	Open	Operational Change Evaluation		Zahauel Walker

## Approval to Implement (Minor, Medium and Major Changes)

### OCH Status - APPROVAL

All OCHs require application owner approval before implementation. This approval can be found at the bottom of the OCH, in the approvals tab.

A **Minor Risk** OCH requires one approval - Development Lead or Owner of the product/application.

A **Medium** or **Major** OCH requires two approvals - Development Lead or Owner of the product/application and Service Owner/Director of the impacted region.

Service Owner/Director and Application Owner Approval - This automatically gets sent via email. The approver's name and approval state (Requested/Approved) can be found at the bottom of the OCH under the "Approvers" Section.

State	Updated	Approver	Short description	Comments	Opened by	Created
Open		Zahauel Walker			Zahauel Walker	19-Oct-20 11:08:03
Open		Zahauel Walker			Zahauel Walker	19-Oct-20 11:08:03
Open		Zahauel Walker			Zahauel Walker	19-Oct-20 11:08:03
Open		Zahauel Walker			Zahauel Walker	19-Oct-20 11:08:03

Once the Application owner approves the OCH, the request will move to "Implementing" status and will **not** need to return to the CAB for implementation.

## Implementation

### OCH Status - IMPLEMENTING

When a Change is ready to be implemented, and Operational Change Implementation Task will be created. This can be found in the "Change Tasks" at the bottom of the OCH.

**NOTE:** Operational Change Implementation task must be completed **after** implementation.

Number	State	Change Task Type	Assignment group	Assigned to
	Closed Complete	Operational Change Evaluation		Zahauel Walker
	Open	Operational Change Implementation		Zahauel Walker

On the implementation task, the following fields need to be populated:

**Work Start** - When did the implementation begin

**Work End** - When did the implementation complete

**Successful** - Was the implementation successful or not? (Yes/No/Partially Successful)

Unsuccessful changes will require explanation of **"Why unsuccessful"**

Partially Successful implementation will require explanation of **"Implementation Challenges"**

**Implementation Notes** - Any additional detail surrounding the implementation

The screenshot shows the 'Change Task' form with the following fields and values:

- Number: CHG000000
- Change request: [blank]
- Status: [blank]
- Change Task Type: [blank]
- Planned start (at least 10 minutes): [blank]
- Implementation notes: [blank]
- Assigned to: [blank]
- Assignment group: [blank]
- Work start (at least 10 minutes): [blank]
- Work end (at least 10 minutes): [blank]
- Backout: [blank]
- Implementation task (at least 10 minutes): [blank]
- Implementation notes: [blank]
- Notes (Investigation notes that relate to CHG): [blank]
- Attachments: [blank]

Once the implementation task is complete, click **Close Task** at the top of the OCH. The OCH is now complete!

If implementation is unsuccessful, you'll be required to **"Back-Out"** the request.

**"Back-Out"** will move the request to **"Completed"** status and the implementation task will move to **"Operational Change Back-out"**

The screenshot shows the 'Back-Out' dialog box with the following fields and values:

- Status: [blank]
- Why Unsuccessful?: [blank]
- Service: [blank]
- Category (category): [blank]
- Assignment group: [blank]
- Assigned to: [blank]
- Problem: [blank]

Below the dialog box, the 'Change Tasks' list shows the following tasks:

State	Change Task Type
Closed Complete	Operational change Back-out
Closed Complete	Operational change Evaluation

#### Things that Sink OCHs -

- No evidence of testing
- Poor descriptions
- No approval from application owner - CHECK STATUS
- Not completing tasks (Evaluation, Implementation) - CHECK STATUS

#### Standard OCHs

Certain changes are routine enough that they do not require the same scrutiny and governance as other changes. These are called **Standard Changes**. **Standard Changes** all originate from a template that is approved by the Change Advisory Board, and is reviewed on an annual basis. A standard change still requires all of the artifacts and governance above. You cannot deploy a standard OCH without the appropriate evidence attached:

1. Deployment Plan
2. Backout Plan
3. Evidence of Testing
4. Approval to deploy from the Business

#### Creating a new Standard OCH from a Standard Change Template

To create a Standard OCH, select **Standard** as the "Type" in your OCH. You'll be presented with an option to look up the Standard Change Template from the list of approved templates. Click the **Lookup Using List** (spyglass) icon. The Request template and the Change request are different forms. Any new or modified \* fields will need to be completed when the standard template is pulled over into the Request form.

The screenshot shows the 'Operational Change' form with the following fields and values:

- Number: OCH000000
- Status: Draft
- Requested by: Zhaqueal Walker
- Requested by date: 10-Mar-20 12:31:00
- Region: Global
- Type: Standard
- Change reason: Maintenance
- Earliest start: 09-Mar-20 12:31:49
- Change Manager: Zhaqueal Walker
- Problem: [blank]
- Standard Change Template: [blank]
- Service: Infrastructure
- Category (category): Internet
- Estimated Risk: Minor
- Assignment group: [blank]
- Assigned to: [blank]

In the list of change templates, search for your application to find the appropriate Standard Change (e.g. "Salesforce")

The screenshot shows the 'Standard Change Templates' list with the following columns and values:

Number	Short description	Assigned to	Assignment group
[blank]	[blank]	[blank]	[blank]

			(empty)	(empty)
			(empty)	(empty)
			(empty)	(empty)
			(empty)	(empty)
			(empty)	(empty)
			(empty)	(empty)
			(empty)	(empty)

Click the Number of the standard change template you wish to use, and the OCH will be populated with the appropriate information related to the Standard OCH template. From here, populate additional information as appropriate to provide more specifics. For example, if you are using the *Re-name an existing field label* template, note which field label(s) you are updating. Once you've populated the appropriate data, press **Save**.

If the template requires you to **estimate the risk of the change**, click **Estimate Risk** at the top of the saved OCH, and complete the form. **All Standard OCHs should be *minor* risk. If they are not, please consider a normal change.**

Once risk is estimated, click **Request Change**. Once a standard change is requested, it automatically goes to "Scheduled" status, and an implementation task is created. **Please remember, PRIOR TO IMPLEMENTATION, all artifacts should be attached to the OCH in Service Now.**

## Creating an OCH from a Problem or Incident Record

Often times, a change request will need to be created as a direct result of an incident or problem. To create an OCH from within a Problem (PRB) or Incident (INC) record, navigate to the request header and right click. From there, select the appropriate Change Request type (Normal, Emergency or Standard). You will be directed to the OCH request form to complete.

The screenshot shows a ServiceNow interface with a form on the left and a right-click menu on the right. The form includes fields for Number, Requester, Callback Number, Location, Priority, Incident Type, Source, and Parent. The right-click menu is open, showing options like 'Add to Visual Task Board', 'Copy Incident', 'Create Demand', 'Create Enhancement', 'Create Normal Change' (highlighted), 'Create Standard Change', 'Create Emergency Change', 'Create Child Incident', 'Refresh Impacted Services', 'Metrics Timeline', 'Export', 'Create Favorite', 'Copy URL', 'History', and 'Reload form'.

## Emergency OCHs

**HIGH Risk:** Changes that are required to restore service due to a critical outage or impact and time does not allow for expedited change process with SNOW (ServiceNow) approval ([see workflow](#)).

Selecting the "Emergency" type for the OCH processes the change through the "Emergency" workflow, and prompts for a reason for an emergency - **Restore Production Service or Avoid Production Failure**. [Emergency requests should only be selected when the request process succeeds implementation.](#)

The screenshot shows the 'Operational Change' form in ServiceNow. The 'Type' dropdown is set to 'Emergency'. A tooltip is visible over the 'Type' dropdown, stating: 'HIGH Risk: Changes that are required to restore service due to a critical outage or impact and time does not allow for expedited change process with SNOW approval.' The 'Reason for Emergency' dropdown is set to 'Restore Production Service'.

**Remember: An Emergency OCH still requires an implementation task to migrate to production. All approvals MUST be completed before the implementation task will be created.**

## Expedited OCHs


Changes outside of the CAB cycle due to a business or technical impact, including system restoration where time allows for SNOW (ServiceNow) approval prior to the change.

Selecting the "Expedited" type for the OCH processes the change through the "Normal" workflow and will require the same approvals as a "Normal" change, but **"Requested By Date"** can precede next CAB meeting.


The screenshot shows the 'Operational Change' form in ServiceNow. The 'Type' dropdown is set to 'Expedited'. A tooltip is visible over the 'Type' dropdown, stating: 'Changes outside of the CAB cycle due to a business or technical impact, including system restoration where time allows for SNOW approval prior to the change.' The 'Change reason' dropdown is set to 'Restore Production Service'.


+ Add label

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