# Document Control

## Versioning

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| **Name** | **Date** | **Reason** |
| Corp. Change Ctrl Officer | 8/22/2018 | Initial Creation |
| Corp. Change Ctrl Officer | 1/20/2019 | Changes |
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## Applicable Parties

This document is strictly confidential and should only be distributed or viewed by the following parties:

* HAL Designated Associates
* HAL Regional Employees (Compartmented to the Division)
* HAL Management Team
* HAL Auditing Team

## Review Period

This document is subject to review by the Information Security Policy Committee (ISPC) at a minimum interval of quarterly (every 3 months) at a maximum interval of bi-annually (every 6 months).

### Previous Reviews

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| --- | --- | --- |
| **Committee** | **Review Date** | **Approval Date** |
| ISPC | 7/15/2018 | 8/1/2018 |
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| Corporate CISO | 1/23/2019 | 1/23/2019 |

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# Purpose

The purpose of this policy is to provide guidance for how change is accomplished within the HAL organization on corporate owned systems and networks, where *corporate owned* is defined as any system operating in a HAL production environment on the company network, whether within the company owned facilities or issued to company agents or employees for use at remote locations for company business.

This policy seeks to minimize systems and networks disruption introduced by unmanaged change and maintenance activity. It is management’s intent that improved communication and coordination be used to improve system and network coordination.

# Scope

## Applicability

This policy applies to all HAL employees and affiliates at all HAL facilities and locations world-wide.

## Ownership

This policy is under the direct control of the HAL Corporate CIO with input from the corporate change control manager and other members of management with an interest in the program.

This policy is implemented by the HAL Change Control Committee (hereafter CCC). The CCC is made up of the HAL Corporate Change Control Manager, the HAL CIO and representatives from each HAL division and regional office. The CCC will meet from time to time as scheduled and sit *en banc* to review and approve change. The CCC will approve change using s simple voice vote with a majority consensus prevailing except that the Change Control Manager and the Corporate CIO each have the ability to veto any change request.

# Policy

## General Guidelines

Change can be classified as follows:

* Change that requires prior approval of the HAL CCC to implement (CASE 1)
* Change that requires notification to the HAL CCC after the fact of implementation (CASE 2)
* Change that does not require any notification to the HAL CCC (CASE 3)
* Change that is uncertain as to whether or not it requires interaction with the CCC (CASE 4)

All changes to any network or system device that alters the general availability of any functional service or capability will require interaction as either CASE 1 or CASE 2 change. This includes both the implementation and removal of such services or capabilities. All such change will be recorded into the appropriate Change Journal as specified in the Change Control Procedure. When required, change will be reported using the Change Control Form as specified in the Change Control Procedure.

Changes that affect only single users or the internal operation of specific services or capabilities such that general use of the system is not affected are considered CASE 3 change and do not require interaction. IF YOU ARE NOT CERTAIN THAT A CHANGE IS CASE 3, IT IS A CASE 4 Change. Specific CASE 3 change includes:

* Password reset or change for one user or set of single users changed at one time. Group privilege changes are not CASE 3 change; they are CASE 1 or CASE 2.

A separate Change Request Form must be submitted for each server and each set of changes to each server. However, once a form is submitted, any subsequent changes must be submitted in a new form.

Any changes performed during a Type 1 or Type 2 Change status must be documented in the team’s Change Control Journal after the fact.

## Specific Guidance

### Regional/Divisional Change Control Officer

Each HAL Region or Division will appoint one person as the primary Change Control Officer, and one person as the alternate. The primary CCO may not be the Team Leader (Captain). It is strongly urged that both Change Control Officers be formally identified, properly trained and kept current with ongoing issues.

### Change Type 1 - Prior Approval

Unless required by business availability needs or documented as not requiring CCC approval, all change to any service or capability will be presented to and approved by the HAL CCC prior to implementation.

Complete the change request form and follow all steps as outlined in the HAL Change Control Procedure.

### Change Type 2 – Emergency Change Notification

When there is not sufficient time available to seek and gain CCC approval, each HAL associate is empowered to make necessary changes for continued business operations that are consistent with the established risk management practices of the organizations. However, these changes must be fully documented in the Change Journal and reported at the next CCC meeting following the implementation of said change, unless otherwise directed. Note: submission of Change Request Form is NOT required under this change type.

### Change Type 3 – Non-Reportable Change

Activities that do not require CCC approval or notification are still subject to all logging and other reporting requirements as may apply.

### Change Type 4 – Unknown Change Impact

In general, if a change is not known to be CASE 3 change, you should consider it CASE 1 or CASE 2. If time permits and CASE 1 or CASE 2 change is considered to be burdensome, Regional Managers (SECCDC Team Leaders) or individuals designated by the CIO or the Corporate Change Control Manager may query the HAL CIO or the Corporate Change Control Manager to make a determination of which Case applies to a specific change item.

### Periods of Rapid Change

On some occasions, at the direction of the HAL CIO, the Corporate Change Control Manager may direct the HAL community to implement a rapid change protocol. When the protocol is in force, and only for the period specified, all change is to be considered Type 3 change. This means that changes may be made with the review and approval of only the Team Leader (Captain). All such change is exempt from CCC approval or reporting, will not be reported using individual change forms, but will be required to be logged and reported after the fact using the Change Control Log.

# Reporting

Unless otherwise stipulated or requested, all change request forms must be delivered in person at the next CCC meeting. At each meeting, updated copies all change journals must be provided to the Corporate CCO for review, with specific attention to those containing emergency change actions.

# Enforcement

Any employee found to be in violation this policy may be subject to disciplinary action, up to and including termination of employment.

Disciplinary action may be assessed for:

* Minor infractions such as improper form completion or failure to properly submit forms (after a warning)
* Failure to submit emergency change notices properly and in a timely fashion,
* Failure to properly classify a routine vs. emergency change (specifically decisions to classify obvious routine changes as emergency changes).