Change Management Process Review & Approval Gates

Change Manager Approval Checklist

Review Approval

	Attribute	Check for
☐	Change Coordinator	Ensure a Change Coordinator is assigned to the change
☐	Change Manager	Ensure a Change Manager (likely to be yourself) is assigned to the change.
☐	Requested For	Ensure the details of the requester of the change have been filled in.
☐	Business Justification	Ensure that the business justification has been detailed and evidenced in the change – look under *Work Details tab* for a Work Info called *Business Justification*.
☐	Change Timing	Look under the *Date/System tab*. Ensure that Requested Start/End Date/Time have been entered under the Date/System tab.
☐	Change Class	Has the appropriate Class been used for this change activity? Refer to the Change Posters or User Guide for more info
☐	Change Reason	Change Reason field must not be blank. Change Reason must reflect the type of activity for this change
☐	Change Moratorium	Check the *Change Calendar* for any scheduled Change Moratoriums – under *Advanced Functions*, *View Calendar* on left hand side menu. Look under the *Date/System tab*. If the change has a Requested Date/Time that falls within a Change Moratorium, ensure that the there is a genuine necessity for this change to implement in that window.
☐	CIs Related	Ensure that all CIs (especially Technical Service CIs) that would reasonably be expected to be impacted or put at risk by this change have been related to the change in the *Relationships tab*. If you are unsure whether all the required CIs have been included, run the Impact Analysis tool and check. Check the CMDB for the service availability requirements for these CIs and ensure that the Requested Start/End Dates/Times for the change fit these requirements.
☐	Phase for the Task	It is critical that when Tasks are created in a change record, that they are Related to the correct *Phase* of the change ('Phase' drop down box in the Tasks tab). Check each Task and ensure it has been Related to the correct Phase - 'Review' Phase must be selected for tasks to be actioned in the 'Plan & Review' stage. 'Implementation' Phase must be selected for tasks to be actioned in the 'Implement' stage.
☐	Stakeholder Engagement	Ensure that all appropriate stakeholder engagement has been completed for this stage of the change. If the proposed change will impact a Technical Service, ensure the Technical Service owner has been identified for engagement.

		If the stakeholder engagement was completed by the Change Coordinator, it may have been covered by a Work Info entry, look under the *Work Details tab* for a Work Info called *Stakeholder Engagement*. If the Change Coordinator requires another person/team to carry out the stakeholder engagement in the next stage of the change, look under the *Tasks tab* for a Task called *Engagement Task*. Ensure the Task(s) have been created with adequate detail, and have been assigned to the correct team(s).
☐	Operational Readiness Checklist	If the change meets the ORR criteria, ensure the Operational Readiness Checklist has been attached – look under *Work Details* for a Work Info called *Transition Planning & Support*. Operational Readiness Checklist can be found on the Transition Planning & Support site – link.
☐	Build Activities	If any of the build activities were completed by the Change Coordinator, they may have been covered by a Work Info entry, look in the *Work Details tab* for a Work Info called *Development*. If the Change Coordinator requires another person/team to carry out build activities for the change, look under the *Tasks tab* for Task(s) called *Change Build Task*. Ensure the Task(s) have been created with adequate detail, and have been assigned to the correct team(s).
☐	Pre-Implementation Test Tasks	If the Change Coordinator requires another person/team to carry out any pre-implementation tests in the next stage of the change, look under the *Tasks tab* for Tasks called *Change - Testing Task – All changes* and *Change – Test Verification Task*. Ensure the Tasks have been created with adequate detail, and have been assigned to the correct team(s).
☐	Risk Level	Confirm that the eight risk assessment questions have all been answered accurately, and that the Risk Level has not been manually altered to skew the result. You can check if the 8 Risk questions have been answered, and whether the answers are accurate, by clicking on *View Risk Report* under *Links* on the left hand menu options.
☐	Content is clear, accurate & complete	Ensure that when any other stakeholder reads the content of this change, it will make sense to them (check for jargon, acronyms, tech-speak), and that the information contained is complete and accurate enough for them to fully understand the change and the associated risk.
☐	Change should progress	Confirm that the requirement for this change is still valid, and based on all information available to you (internal and external to this change request), this change should still progress.
☐	Change Manager	Ensure your name is in the *Change Manager* field, as the Change Manager assigned to this change. Change Manager field is below the Manager Group field on the change record.
Additional checks for Expedited Changes		
☐	Business Justification	Ensure that the business justification has been detailed and evidenced in the change – look under *Work Details tab* for a Work Info called *Business Justification*. The justification must evidence support from senior management in the Business, for this to be an Expedited change.
Additional checks for Emergency Changes		
☐	Incident Record	Ensure that an Incident Record has been Related in the *Relationships tab*.
Additional checks for Standard Changes		

☐	Template	If the Standard change Class has been selected, ensure the correct Standard Change template has been selected in the *Template* field.
Additional checks for Changes deploying software via Endevor		
☐	Scheduled Dates	If the change involves Endevor, confirm that the Scheduled Start/End Dates fall into the required Monday – Friday window for package executions. Also check for overlaps with Public Holidays. Look in the *Date/System* tab for the *Scheduled Start Date* and *Scheduled End Date* fields.
☐	Correct Tasks	Check the Class of the change. If it is a Normal Class change, look in the *Tasks* tab and confirm that there are no *Endevor Package – Emergency* Tasks related to the change.
☐	Tasks in Implementation Phase only	Tasks must be created for the Implementation Phase only. Endevor Tasks created for the Review Phase (i.e. pre-implementation tasks) will not be picked up by Endevor.

Implementation Approval

	Attribute	**Check for**
☐	Phase for the Task	It is critical that when Tasks are created in a change record, that they are Related to the correct *Phase* of the change ('Phase' drop down box in the Tasks tab). Check each Task and ensure it has been Related to the correct Phase - 'Review' Phase must be selected for tasks to be actioned in the 'Plan & Review' stage. 'Implementation' Phase must be selected for tasks to be actioned in the 'Implement' stage.
☐	Stakeholder Engagement	Ensure that all appropriate stakeholder engagement has been completed for this stage of the change. If the proposed change will impact a Technical Service, ensure the Technical Service owner has been engaged, and there is evidence in the change record of their agreement to the change and the CI updates in the CMDB (evidence may be an attached email). If the stakeholder engagement was completed by the Change Coordinator, it may have been covered by a Work Info entry, look under the *Work Details tab* for a Work Info called *Stakeholder Engagement*. If the Change Coordinator requires another person/team to carry out the stakeholder engagement in the next stage of the change, look under the *Tasks tab* for a Task called *Engagement Task*. Ensure the Task(s) have been created with adequate detail, and have been assigned to the correct team(s).

☐	Build Activities	All build activities for the Plan & Schedule stage have been assigned and Completed. Build activities completed by the Change Coordinator may have been recorded in Work Info, so Look under *Work Details tab* for *Development* Work Info entries. Look under the *Tasks tab* for *Change Build Tasks* for activities assigned to other people/teams. Ensure the Tasks have adequate detail and have been assigned to the correct team(s).
☐	Pre-Implementation Test Tasks	Look under the *Tasks tab* for *Change - Testing Task – All changes* and *Change – Test Verification Task* for Tasks assigned to other people/teams. Ensure that there is evidence of all tests being completed, test results being signed off, and any failed tests or defects have been documented, the risk understood and signed off. The evidence will be in attachments in the Tasks.
☐	Backout Plan	Ensure that under the *Work Detail tab* there is a Work Info called *Backout Plan* that there is evidence confirming that the backout plan was tested and shown to be a viable and successful backout for the proposed change.
☐	Change Timing	Look under the *Date/System tab* and ensure that Scheduled Start/End Date/Time entered is appropriate – check for Change Moratoriums, maintenance windows, service level agreements.
☐	CIs Related	Check the CIs related under the *Relationships tab* and ensure that they still accurately reflect the nature of the change. If you are unsure whether all the required CIs have been included, run the Impact Analysis tool and check.
☐	CI Unavailability	Check that for CIs that will be made either fully or partially unavailable by this change have the correct Unavailabilities listed against them – check Full v/s Partial, check that Start/End Date/Time for Unavailability is correct and falls within the change Start/End Date/Time. Check the CMDB for the service availability requirements for these CIs and ensure that the Scheduled Start/End Dates/Times for the change fit these requirements.
☐	Collision Detection	Run Collision Detection (under Advanced Functions). For any collisions detected for this change, ensure that the Change Coordinator has included Work Info entries to explain how these collisions were investigated, and the basis on which it was decided that this change could proceed as planned.
☐	Implementation Plan	Check under the *Work Details tab* for a Work Info called *Install Plan* to ensure there is an overall plan for the implementation – i.e.: who is doing what and when (including any activities for the Change Coordinator themselves), for the implementation and verification. There should be evidence that the Implementation Plan has been reviewed and validated by those involved in the implementation. (Note: Individual implementation tasks will be agreed and assigned under Tasks; this is about the overall implementation and verification activities on the day.)
☐	Implementation Tasks	If any of the implementation activities are to be completed by the Change Coordinator, they may have been covered by a Work Info entry, so look under the *Work Details tab* for a Work Info called *Install Plan*. If the Change Coordinator requires another person/team to carry out implementation activities in the Implementation stage of the change, look in the *Tasks tab* for Task(s) called *Change Deploy/Implement Task* to reflect this. Ensure the Task(s) have adequate detail, and have been assigned to the correct team(s).

☐	Blackout Request	Many changes require that during the agreed CI Unavailability window, Events detected by system monitoring be supressed so that 'false' Incidents are not generated. This is done via a task to request either a Full or Partial Blackout. If this change would require a Blackout request(s), check in the *Tasks tab* to ensure that an *Event Blackout Request Full/Partial* Task(s) have been Related and assigned as required.
☐	Post Implementation Verification Tasks	Look under the *Tasks tab* for *Change – Post Implementation Verification – Technology* Tasks assigned to other people/teams to verify the implementation outcome from a Technology perspective. Note: Whilst not mandatory, it is recommended that Business verification also be carried out on the implementation. There may also be *Change – Post Implementation Verification – Business* Tasks assigned to teams to verify that the implementation performs as required by the Business. Remember that for some implementations, Technology may be the Business also – ie: a change that is purely technology based and is not visible to the non-Technology users.
☐	CMDB Update	Look under the *Tasks tab* for an assigned *Update CMDB* Task to ensure the CMDB is updated post implementation.
☐	Risk Level	Check that the Risk Level assigned to the change is still accurate given what is now known about the change following the Plan & Schedule stage activities (test outcomes, collision detection, backout plan, etc.).
☐	Segregation of Duties	Ensure that the Segregation of Duties has been adhered to with regards to roles within the change – see Appendix for SoD.
☐	Change should progress	Confirm that the requirement for this change is still valid, and that based on all information available to you (both internal and external to this change request), this change should still progress.
Additional checks for Changes deploying software via Endevor		
☐	Package IDs in Tasks	If the change involves Endevor, confirm that the Endevor Tasks must be populated with valid package ids in the Reference ID field. The Endevor Tasks will be related to the change in the Tasks tab. Open the Endevor Task(s) and check the *Reference ID* field in the *Classification* tab on the Task.
☐	Task Sequence	If the change involves Endevor, go to the *Tasks* tab and check and confirm that all of the Endevor Tasks have the same *Sequence number* (ie: all run in parallel).
☐	Scheduled Start Date/Time	If the change involves Endevor, go to the *Tasks* tab and check and confirm that each of the Endevor Tasks have a valid *Scheduled Start Date and Time* value entered into those fields.

Close Approval

	Attribute	Check for
☐	Tasks Completed	Check under the *Tasks tab* to ensure that all Tasks have been completed – including the Update CMDB Task. Ensure that the Post Implementation Verification Tasks contain evidence of the test results.
☐	Actual Timings – CI Unavailability	In the *Relationships tab*, check the CI Unavailability records to ensure that the *Actual Start/End Date/Time* for the *CI Unavailability* falls within the planned CI Unavailability Start/End Date/Time. If not, investigate and action accordingly.
☐	Actual Timings – Change	In the *Date/System tab*, check that the Actual Start/End Date/Time for the change activity falls within the Scheduled Start/End Date/Time. If not, investigate and action accordingly.
☐	Change Outcome	Check the Work Info records under the *Work Details tab* to see if any additional information has been captured for this change that should be considered in closing the change – eg: procedural or work instruction documents that need to be updated, contact lists need updates, the need for an additional change(s) to address other concerns highlighted by this change, etc. Check the *Relationships tab* to see if any Incidents have been Related to this change as having been caused by the change. Based on all of the information in the change record, confirm that you agree with the entry in the *Final Outcome* field on the change record.
☐	Lessons Learned	As the Change Manager you should always carry out some form of review on the change and how it progressed from initiate to closure, to determine if there are any lessons to be learned and initiatives that can be undertaken in line with continuous improvement. The format this review takes is up to you, it is not a prescribed step in the process. If the change caused a service impacting Incident, it is likely to be included in a formal PIR by the Change Process Management Team. So any initial review/investigation carried out by you at this point will assist in that process.
☐		
Additional checks for Latent Changes		
☐	Incident Record	Ensure that an Incident Record has been Related in the *Relationships tab*.
☐	Data Integrity	Given that a Latent change record is raised and completed after the activity has taken place, there is a danger of complacency around recording the full and accurate details of the change. Accurate data is just as important in a Latent change. Ensure that all data recorded in the change is complete and accurate. Refer to the Latent change Procedure if in any doubt.
☐		

Service Assurance Approval Checklist

Implementation Approval

	Attribute	Check for
☐	Business Justification	Check the business justification that has been detailed and evidenced in the change, and ensure it aligns to your understanding of the business justification for this requested change – look under *Work Details tab* for a Work Info called *Business Justification*.
☐	Stakeholder Engagement	Check that the stakeholder engagement activities completed and planned meets what you would see as being required. If the proposed change will impact a Technical Service, ensure the Technical Service owner has been engaged, and there is evidence in the change record of their agreement to the change and the CI updates in the CMDB (evidence may be an attached email). If the stakeholder engagement was completed by the Change Coordinator, it may have been covered by a Work Info entry, look under the *Work Details tab* for a Work Info called *Stakeholder Engagement*. If the Change Coordinator requires another person/team to carry out the stakeholder engagement in the next stage of the change, look under the *Tasks tab* for a Task called *Engagement Task*.
☐	Approvers included for Implementation Approval	Check the *Approvers Table* at the bottom of the *Work Details tab* and ensure that all of the Roles/Groups that you believe must approve this change for implementation are listed as Approvers. Remember that Approvers are those that have a direct influence in the outcome of the implementation – Approvers are not to be added for awareness purposes.
☐	Pre-Implementation Test Tasks	Look under the *Tasks tab* for *Change - Testing Task – All changes* and *Change – Test Verification Task* for Tasks assigned to other people/teams. Ensure that there is evidence of all tests being completed, test results being signed off, and any failed tests or defects have been documented, the business risk understood and signed off by an appropriate representative of the business. The evidence will be in attachments in the Tasks.
☐	Change Timing	Look under the *Date/System tab* and ensure that Scheduled Start/End Date/Time entered are appropriate – check for Change Moratoriums, maintenance windows, service level agreements, compare with your understanding of business events, peak periods, etc.
☐	CIs Related	Check the CIs related to the change under the *Relationships tab* and ensure that they accurately reflect the nature of the change for the Service as you understand it. If you are unsure whether all the required CIs have been included, run the Impact Analysis tool and check.

☐	CI Unavailability	Check that for CIs that will be made either fully or partially unavailable by this change have the correct Unavailabilities listed against them – check Full v/s Partial, check that Start/End Date/Time for Unavailability is correct and falls within the change Start/End Date/Time. Check the CMDB for the service availability requirements for these CIs and ensure that the Scheduled Start/End Dates/Times for the change fit these requirements. If there is any impact on service availability requirements, confirm with Business that this is okay before approving. Attach evidence of your confirmation (in a Work Info) to the change.
☐	Collision Detection	Run Collision Detection (under Advanced Functions). For any collisions detected for this change, ensure that the Change Coordinator has included Work Info entries to explain how these collisions were investigated, and the basis on which it was decided that this change could proceed as planned.
☐	Implementation Plan	Check under the *Work Details tab* for a Work Info called *Install Plan* to review the overall plan for the implementation – i.e.: who is doing what and when, for the implementation and verification.
☐	Post Implementation Verification	Look under the *Tasks tab* for *Change – Post Implementation Verification – Technology* Tasks assigned to other people/teams to verify the implementation outcome. Confirm that the verification tests listed are complete and accurate and are assigned appropriately. Note: Whilst not mandatory, it is recommended that Business verification also be carried out on the implementation. There may also be *Change – Post Implementation Verification – Business* Tasks assigned to teams to verify that the implementation performs as required by the Business. Remember that for some implementations, Technology may be the Business also – ie: a change that is purely technology based and is not visible to the non-Technology users.
☐	Risk Level	Check that the Risk Level assigned to the change and verify that you believe it is accurate, based on your understanding of the business, the Service(s) involved, the timing, test outcomes, etc.
☐		
Additional checks for Expedited Changes		
☐	Business Justification	Check that the business justification that has been detailed and evidenced in the change as support from senior management in the Business, for this to be an Expedited change, aligns to your understanding of the who has the authority to provide the senior management business support for this requested change – look under *Work Details tab* for a Work Info called *Business Justification*.
☐		

Major Incident Management Approval Checklist

Implementation Approval

	Attribute	Check for
☐	Incident Record	Ensure that an Incident Record has been Related in the *Relationships tab*. Confirm that the Incident related is the correct Incident, and that the management of this Incident is the trigger for this change activity to take place.
☐	Backout Plan	Ensure that under the *Work Detail tab* there is a Work Info called *Backout Plan* and that there is evidence confirming that the backout plan was tested and shown to be a viable and successful backout for the proposed change where applicable.
☐	Change Timing	Look under the *Date/System tab* and ensure that Scheduled Start/End Date/Time entered as agreed in the management of the associated Incident.
☐	CIs Related	Check the CIs related to the change under the *Relationships tab* and ensure that they accurately reflect the nature of the change and your understanding of the Service. If you are unsure whether all the required CIs have been included, run the Impact Analysis tool and check.
☐	CI Unavailability	Check that for CIs that will be made either fully or partially unavailable by this change have the correct Unavailability listed against them – check Full v/s Partial, check that Start/End Date/Time for Unavailability is correct and falls within the change Start/End Date/Time.
☐	Implementation Plan	Check under the *Work Details tab* for a Work Info called *Install Plan* to ensure there is an overall plan for the implementation – i.e.: who is doing what and when (including any activities for the Change Coordinator themselves), for the implementation and verification. Ensure that it aligns to any discussion/s that have taken place in the management of the associated Incident. (Note: Individual implementation tasks will be agreed and assigned under Tasks; this is about the overall implementation and verification activities on the day.)
☐	Blackout Request	Many changes require that during the agreed CI Unavailability window, Events detected by system monitoring be supressed so that ‘false’ Incidents are not generated. This is done via a task to request either a Full or Partial Blackout. If this change would require a Blackout request(s), check in the *Tasks tab* to ensure that an *Event Blackout Request Full/Partial* Task(s) have been Related and assigned as required.

☐	Post Implementation Verification	Look under the *Tasks tab* for *Change – Post Implementation Verification – Technology* Tasks assigned to other people/teams to verify the implementation outcome. Note: Whilst not mandatory, it is recommended that Business verification also be carried out on the implementation. There may also be *Change – Post Implementation Verification – Business* Tasks assigned to teams to verify that the implementation performs as required by the Business. Remember that for some implementations, Technology may be the Business also – ie: a change that is purely technology based and is not visible to the non-Technology users.
☐	Risk Level	Check that the Risk Level assigned to the change is accurate given what is now known about the change and the circumstances in which it will be implemented (eg: Service/infrastructure instability).
☐	Change should progress	Confirm that the requirement for this change is still valid, and that based on all information available to you (both internal and external to this change request), this change should still progress.

Close Approval

	Attribute	Check for
☐	Change Outcome	Check the Work Info records under the *Work Details tab* to see if any additional information has been captured for this change that should be considered in closing the change. Check the *Relationships tab* to see if any Incidents have been Related to this change as having been caused by the change. Based on all of the information in the change record, confirm that you agree with the entry in the *Final Outcome* field on the change record.
☐		
Additional checks for Latent Changes		
☐	Incident Record	Ensure that an Incident Record has been Related in the *Relationships tab*. Confirm that the Incident related is the correct Incident. Confirm that the management of this Incident was the trigger for this change activity to take place prior to the Change Record being initiated and approved for implementation.
☐	Data Integrity	Given that a Latent change record is raised and completed after the activity has taken place, there is a danger of complacency around recording the full and accurate details of the change. Accurate data is just as important in a Latent change. Ensure that all data recorded in the change is complete and accurate. Refer to the Latent change Procedure if in any doubt.

Appendix A - Additional information

Mandatory Approval Matrix

		Change Mandatory Approvals	Change Class & Risk Level													
			Normal					Emergency	Expedited					Latent	Standard	No Impact
Approval Gate			Risk 1	Risk 2	Risk 3	Risk 4	Risk 5	Risk 1-5	Risk 1	Risk 2	Risk 3	Risk 4	Risk 5	Risk 1-5	Risk 1	Risk 1-5
Approval Gate	Review Approval	Change Manager	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓			✓
Approval Gate	Business Approval	NOT ACTIVE														
Approval Gate	Implementation Approval	Service Assurance			✓	✓	✓				✓	✓	✓			
Approval Gate	Implementation Approval	Change Manager	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓	✓
Approval Gate	Implementation Approval	Major Incident Manager						✓								
Approval Gate	Implementation Approval	Change Process Management			✓	✓	✓		✓	✓	✓	✓	✓			
Approval Gate	Implementation Approval	Change Advisory Board			✓	✓	✓									
Approval Gate	Closure Approval	Change Manager	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓
Approval Gate	Closure Approval	Major Incident Manager						✓						✓		

Segregation of Duties Matrix

	Change Requestor	Change Initiator	Change Coordinator	Change Manager	Change Authority	Major Incident Manger	Change Process Management	Change Advisory Board	Task Assignee / Implementer	Tester
Change Requestor	√	√	√	X	X	X	X	X	√	X
Change Initiator	√	√	√	X	X	X	X	X	√	X
Change Coordinator	√	√	√	X	X	X	X	X	√	X
Change Manager	X	X	X	√	X	X	X	X	X	X
Change Authority	X	X	X	X	√	X	X	X	X	X
Major Incident Management	X	X	X	X	X	√	X	X	X	X
Change Process Management	X	X	X	X	X	X	√	X	X	X
CAB[1]	X	X	X	X	X	X	X	√	X	X
Task Assignee / Implementer	√	√	√	X	X	X	X	X	√	X
Tester	X	X	X	X	X	X	X	X	X	√