

## **SDE Change Management Process SOP**



**Version 2.0**  
**July 20, 2015**

### Revision History

Date	Reason for Changes	Version	Author
25 March 2011	Initial Draft	.1	Russell McFall
5 April 2011	Update to draft based on feedback from Ramsey Frank and Jeff Rabinowitz	.3	Russell McFall
28 April 2011	Review to make SOP More SD&E centric	.4	Russell McFall
8 July 2011	Updated Document to be able to add a table of contents.	.5	Russell McFall
26 July 2011	Update document added some details and clarified roles for overall process.	.6	Russell McFall
29 August 2011	Updated document based on feedback received from Mike Cronin	.7	Russell McFall
7 September 2011	Update document based on feedback received from Patricia Osburn	.8	Russell McFall
9 September 2011	Update document based on feedback received from Jupe Fowkes	.9	Russell McFall
24 January 2012	Updated field descriptions to assist in documenting change information in a manner that will assist the TRAC team in collecting information that is needed for the Action Items	.10	Russell McFall
2 Feb 2012	Final Review by NCCB membership	1.0	Russell McFall and NCCB Membership
22 May 2012	Update to Priority, Urgency, Impact and Risk Tables Updating Responsibilities and adding ESCCB as a stakeholder Update to Flowchart	1.1	Russell McFall
24 March 2014	Review and update to overall process	1.2	Russell McFall
4 April 2014	Review and update to	1.3	Robert Claycomb

	overall process		
10 April 2014	Review and update to overall process	1.4	Mitzi Arth/Kevin Jack
18 April 2014	Minimize SOP, remove duplicate information that is being communicated via Enterprise Policy and OI&T Change Management Process	1.5	Russell McFall
30 December 2014	Updated 6.B. included additional artifacts to be included Business Risk, Security Impact Analysis, Approved TRM entry, SEDR documentation links	1.6	Russell McFall
2 June 2015	Review of document comparison made to OI&T Change Management and Enterprise Change Management Documentation	1.7	Russell McFall
3 June 2015	Reviewed and cleaned up redundant phrasing; eliminated roles and responsibility information that were included, as it was referenced by link; corrected several assignments of authority; cleaned up grammar and punctuation.	1.8	Sylvia Griffith
12 June 2015	Reviewed additions/deletions and revised document for scope, scope of authority, cross-functional activity, change validation and success outcomes. Added description of change validation and actions for unsuccessful changes.	1.9	Mitzi Arth
30 June 2015	Added Emergency Change practice to initiate priority 1 incident and ANR	2.0	Russell McFall

## Table of Contents

PURPOSE .....	5
SCOPE: .....	5
POLICY.....	5
ROLES AND RESPONSIBILITIES.....	5
RACI Chart .....	6
PROCESS OVERVIEW .....	6
1. The SDE Change Management Process .....	6
2. Change Initiation .....	6
3. Change Analysis .....	6
4. Change Approval.....	6
5. Change Release.....	6
6. Change Communication .....	6
7. Change Implementation .....	6
8. Change Verification .....	7
PROCEDURES.....	8
OVERSIGHT.....	10
REFERENCES .....	10
RESCISSION.....	10
FOLLOW-UP RESPONSIBILITY .....	10
REVIEW.....	11
CONCURRENCE.....	11

## PURPOSE

This Standard Operating Procedure (SOP) has been created to support and supplement the OI&T Change Management Process Document and Enterprise Change Management Policy. It is not intended to replace the overall Change Management Program.

## SCOPE

This SOP expands and provides information about Service Delivery and Engineering (SDE) Change Control and the relationship with SDE business lines. SDE change control consists of the Enterprise Operations (EO), Enterprise Systems Engineering (ESE), and Field Operations (FO) Change Management Programs and processes.

## POLICY

The following policies impact this SOP:

[VA Handbook 6500 VA IS Program](#)

[VA Directive 6400 Configuration, Change and Release Management](#)

[OI&T Change Management Process Document](#)

[Enterprise Change Management Policy](#)

[Enterprise Change Control Board Charter](#)

[National Change Control Charter](#)

## ROLES AND RESPONSIBILITIES

Roles are identified within the Change Management Process Document for each pillar and are available in [OI&T Change Management Process Document](#) or [National Change Control Board Change Roles List](#). Responsibilities are identified within the [Enterprise Change Management Policy](#). Operations and Maintenance (OM) plans should link to each of the roles identified and their service support responsibilities.

## RACI Chart

Roles within this process are identified within the responsibility assignment RACI Matrix outlined in the [OI&T Change Management Process](#).

**Responsible** – Those who do the work to achieve the task.

**Accountable** – The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one who delegates the work to those responsible.

**Consulted** – Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication.

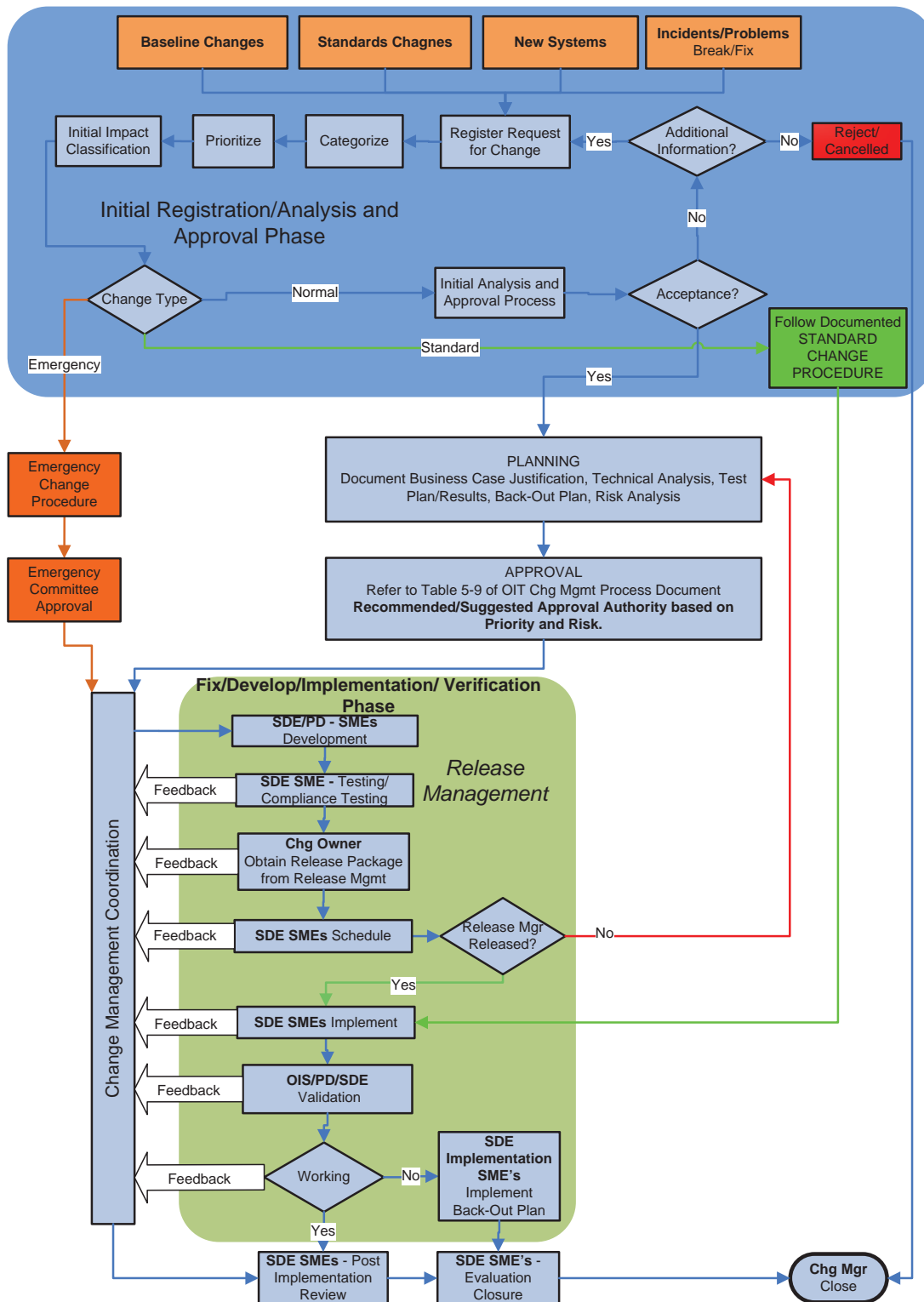
**Informed** – Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

## PROCESS OVERVIEW

This process is owned by Service Delivery and Engineering (SDE), Art Gonzalez, Deputy Chief Information Officer. The SDE SOP will be evaluated annually and changes implemented based on consensus among the Program Managers responsible for these programs.

1. The **SDE Change Management Process** is an enterprise process framework, which combines ESE, EO, and FO programs. The SDE Change Management Process:
  - A. Has oversight to include chartering, organizing, and maintaining the National Change Control Board (NCCB) membership and coordination.
  - B. Has oversight of a standard process framework.
  - C. Ensures that SDE change management fits this high-level framework.
  - D. Communicates this process to other areas of SDE.
    - I. Individual organizational Change Management SOPs should be designed to fit this framework.
    - II. Individual organization CCBs should be designed to fit this framework.
  - E. Separate SOPs should be developed to document instructions at the individual organizational level.
  - F. The flowchart below outlines the standard change management framework.
2. **Change Initiation** is the initial request for change and should include the Implementation Plan, [Test Plan, Test Results](#), Back-Out Plan, and [Business Risk and Impact Analysis](#), Approved Baseline Documentation, and link to a SEDR entry, if applicable. The submitter determines the change type (Emergency, Normal, or Standard) and prioritization.
3. **Change Analysis** is a technical analysis of the change as needed. Based on the information documented in the Request for Change (RFC), the technical analysts evaluate and document the risk and impact of the change.
4. **Change Approval** occurs when Approval authorities review (validate that the appropriate artifacts have been provided as part of the change records) and approve the Change Order.
5. **Change Release** occurs when the change is scheduled for implementation. This is coordinated by the change owner, the implementation team, the business owner, and the Release Manager or delegate.
6. **Change Communication** ensures that notification of the scheduled change is made to appropriate areas of the organization, via approved communication process and procedures (Action Items, ANRs, and so on).
7. **Change Implementation** is execution of the regional subordinate change orders following the steps outlined in the Install plan, test plan, and back-out plan.

8. **Change Verification** is the validation that no issues have been introduced to the environment and communication of the final disposition, via change orders and appropriate communication vehicles.



## PROCEDURES

Process Initiation: Changes are initiated based on organizational change process SOP. (See NCCB CMDB Document Repository for approved versions of SOP).

1. **Emergency** – Follow the OI&T Change Management guidelines established for Emergency Changes.
  - A. Requestors will initiate a Priority 1 incident and ANR with the National Service Desk.
  - B. SWAT will be initiated to remediate incident.
  - C. Change Order will follow after the fact to document changes made.
2. **Enterprise Systems Engineering (ESE) Changes** – Changes processed through ESE Change Management with an output to SDE Operations for Implementation.

ESE change requestors or delegates identify changes that will require deployment nationally to the production environment.

- A. ESE change requestors or delegates submit appropriate information.
  - B. ESE Change Management performs analysis, review, and approval prior to escalation to the next level board, if required. (See [ESE Change Management Process](#) and [National Change Control Board SOP](#) for data requirements.)
    - I. For National Efforts/Changes affecting Regional Operations Managed systems. ESE Change Management provides input to the field directly or the NCCB for collaboration, concurrence and/or approval of the suggested changes.
    - II. For National Efforts/Changes **not** affecting Field Operations-managed systems, ESE will communicate required actions by the field, via SDE TRAC.
    - III. If changes are not applied as ESE established in the baseline or the originating change order, Regions, VISNs, and Facilities must communicate that the change was not applied and the non-compliant state to the ESE change originator. The field team or technician managing the failed change must review the change with ESE initiating team for resolution and concurrence. The information must also be captured in the Regional, VISN, or Facility Change Order System and current state documented. These changes are also escalated to NCCB for awareness and agreement by Senior Management and the NCCB Chair.
3. **Enterprise Operations (EO) Changes** – Changes initiated at the EO level will be submitted via EO Change Control process.

If changes meet required NCCB escalation criteria they will be escalated with required information based on [National Change Control Board SOP](#) for review and approval or informational.

- A. For National Efforts/Changes affecting Regional Operations Managed systems. EO Change Control process provides input to the National Change Management



for concurrence and/or approval of the suggested changes, via established National change control process.

- B. For National Efforts/Changes **not** affecting Regional Operations-managed systems, EO will communicate required actions by the field, via SDE TRAC.

4. **Field Operations (FO) Changes** – Changes that must be made to the Production Environment that:

- A. Do not affect ESE established baselines or standards (except in the case of a pilot or test), or
- B. Do affect ESE established baselines or standards, are not merely pilots or tests, and have been processed through the ESE Change Management Process/System.
  - I. Field Implementation Managers (FIS), Technology Management team members (TM) or other Business Units Identify changes that will be required in Regional Operations Production Environment and coordinate with the ECTM Change Management Team or delegate.
  - II. National Change Management process will be used to process the implementation of these changes.
  - III. Regional Changes should be initiated as soon as notified by the National Change Process.
  - IV. If NCCB approval has not already been obtained via subordinate escalation process and is required per escalation criteria, it should be obtained prior to release.
  - V. If changes are not applied as documented in the baseline or the originating change order, operations must communicate that the change was not applied and the non-compliant state to the change originator. The operations team or technician managing the failed change must review the change with change initiating team for resolution and concurrence. The information must also be captured in the operational Change Order System and current state documented. These changes are also escalated to NCCB for awareness and agreement by Senior Management and the NCCB Chair.

5. **Operations Initiated Changes** – Changes that must be made to the Production Environment that are **not** modifying ESE established baselines or standards (except in the case of a pilot or test), or do **not** have a National Impact, only affecting Systems under a Region, VISN, or Facility oversight.

- A. Initiate and oversee changes per [SDE FO Change Management SOP](#). If changes meet required NCCB escalation criteria they will be escalated with required information based on [National Change Control Board SOP](#) for review and approval or informational.
- B. Each change requestor must submit required information to the regional CCB, which will submit required information for review and approval.

## OVERSIGHT

1. At least once a quarter the Change Program Managers or delegates will compile a list of changes related to their process and review the following data.
  - A. Emergency change requests: Determine if the number of emergency changes is acceptable and if there is any pattern that could be noted. If patterns are noted, determine if there is a viable solution via a modification of the process.
  - B. Failed changes: Review failed changes to ensure that lessons learned are documented and communicated to the organization as knowledge documents.
  - C. Changes that followed standard change control process: Review changes that followed standard change control process and have appropriate required artifacts attached. During this review determine if changes to this SOP are required due to the types of changes being requested, how they are approved, scheduled, implemented and verified.
2. Requests for changes to this process will be forwarded to the business line Change Managers for review and communication to the SDE Change Management SOP owner, Art Gonzalez, for approval.
3. Data from Operational Metrics will be collected and added to the National Change Management Metrics Site. Key Performance indicators will be developed from the Operational Metrics.
  - A. Number of Changes Created Per Month, Operational and MDIA by Service Line.
  - B. Number of Changes Rejected Per Month, Operational and MDIA by Service Line.
  - C. Number of Changes Cancelled Per Month, Operational and MDIA by Service Line.
  - D. Number of Changes Implemented Per Month, Operational and MDIA by Service Line.
  - E. Number of Changes Pending per Month, Operational and MDIA – This number will be updated each month for previous months to account for previous months' changes implemented by Service Line.
  - F. Number of Emergency Changes per Month, Operational and MDIA by Service Line.
  - G. Number of Changes Failed Per Month, Operational and MDIA by Service Line.

## REFERENCES

[VA Handbook 6500](#)

[National Change, Release and Configuration Management Directive 6004](#)

## RESCISSION

Version 1.1

## FOLLOW-UP RESPONSIBILITY

SDE Change Management Staff

## REVIEW

National Change Control Board including ESE, EO, FO, and National Change Management Program Managers, as well as all voting and non-voting members.

## CONCURRENCE

☐

Concur

☐

Non-Concur

Mark R. Hutchins 426959

Digitally signed by Mark R. Hutchins 426959  
DN: dc=gov, dc=va, o=internal, ou=people,  
0.9.2342.19200300.100.1.1=mark.hutchins@va.gov, cn=Mark R. Hutchins 426959  
Reason: I agree to specified portions of this document.  
Date: 2015.07.23 12:37:14 -07'00'

---

Mark Hutchins  
Deputy Director, Systems Design & Core Services  
Enterprise Systems Engineering (005OP2)

Date

☐

Concur

☐

Non-Concur

Shorter,  
Christopher

Digitally signed by Shorter, Christopher  
DN: dc=gov, dc=va, ou=Entities,  
ou=InternalStaff, cn=Shorter, Christopher  
Date: 2015.07.24 10:33:25 -04'00'

---

Christopher Shorter  
Executive Director,  
Enterprise Operations (005OP)

Date

☐

Concur

☐

Non-Concur

---

Susan McHugh-Polley  
Executive Director,  
Field Operations (005OP1)

Date

☐

Concur

☐

Non-Concur

---

Arthur L. Gonzalez  
Deputy CIO,  
Service Delivery and Engineering (005OP)

Date