Contents
Scope ........................................................................................................................................ 1
Purpose .................................................................................................................................. 1
Policy Statement ..................................................................................................................... 1
Reason for this Policy ............................................................................................................. 2
Benefits .................................................................................................................................. 2
Policy Section .......................................................................................................................... 3
  200.1 ITSM Tool ...................................................................................................................... 3
  200.2 Change Record Requirements ...................................................................................... 3
  200.3 Change Record: Submission Requirements ................................................................. 3
  200.4 Change Record: Field Requirements ........................................................................... 3
  200.5 Change Approvals ......................................................................................................... 4
  200.6 Change Scheduling and Implementation ................................................................... 4
  200.7 Change Communications ............................................................................................ 4
Special Situations and Exceptions ............................................................................................ 5
Policy Compliance and Monitoring ........................................................................................ 5
Definitions ............................................................................................................................... 6
Supporting Documentation ..................................................................................................... 6
Version Control ....................................................................................................................... 7

Responsible Office: The Service Management Office
Responsible Official: Change Management Process Owner
Effective Date: January 31, 2017
Last Revision: March 30, 2017
Scope

This policy applies to all Penn State Service Management Program participants and contracted vendors involved in activities that cause or require changes to technology solutions within the University technology environment.

IT environments designated by the University and covered under this policy include, but are not limited to, applications, data, networks, platforms, databases, middleware services, computing facilities, and systems management. This change management policy also applies to the design, configuration, parameters, and documentation of the listed components. This document is used in conjunction with all IT and security policies located at guru.psu.edu.

Purpose

This document provides formally documented management expectations and intentions and is used to direct decisions and ensure consistent and appropriate development and implementation of process, standards, roles, and activities.

The purpose of this policy is to ensure that any changes to University technology environments are managed through an established process. Penn State Service Management Program participants will utilize this best-practice framework for the implementation of change management within the University technology environments.

Policy Statement

Change management is the process that controls the lifecycle of all changes, enabling beneficial changes to be made with minimum disruption to IT services.

Three focus points for change management are people, process, and technology.

- People: Enforce adherence to the change management process.
- Process: Establish a consistent change management process and respective IT Service Management (ITSM) process integrations across the University.
- Technology: Configure and utilize industry tools to align to University process and business objectives.
Reason for this Policy

This policy exists to:

- Establish and enforce a standard process for planning, approving, implementing, and reporting changes to the University technology environment.
- Establish clearly defined best practices to ensure compliance with University policy as well as other legal and regulatory requirements.
- Prevent or minimize risks to the University technology environment resulting from implementation of a change request.

Benefits

The benefits of a centralized change management process are:

- Standardized and optimized process and technology.
- Enforced accountability through audit and transparency.
- Increased business continuity and service availability for business services.
- Reduced cost of implementing changes through proper planning and coordination of approved changes.
- Shared ownership of the quality of change requests throughout IT.
Policy Section

200.1 ITSM Tool
A. All Penn State Service Management Program participants must use the current tool and documented change management process to prioritize, control, and approve all technology solutions changes.
B. Individuals must complete appropriate training that is designated for their change management role(s) before gaining access to the change management tool.

200.2 Change Record Requirements
A. A change request is required for any change to the environments subject to this policy as designated by University.
B. The scope of an approved change request cannot be modified. If scope modifications are needed, the approved change must be cancelled and copied to a new change request record.
C. A change request submitted for approval must be complete with a defined scope, implementation date and time, and all required plans.

200.3 Change Record: Submission Requirements
A. Individual change requests must be submitted for changes to each service. Multiple enterprise repositories cannot be updated under the same change request.
   i. Exception: Operating system or database patches or infrastructure changes being implemented across the entire platform.
B. Change requests for production and all environments designated as production equivalent must be created separately. An individual change request is required for each environment.

200.4 Change Record: Field Requirements
The following are required for all change requests:
A. Justification. This may consist of a list of incidents, requests, or events that prompted the need to make a change to a production environment.
B. An implementation plan following established implementation procedures for standard, normal, or emergency changes that impact the production environment.
C. A risk and impact analysis that addresses:
   i. known or possible errors, failure, or loss of service;
   ii. people, groups, and organizations affected;
   iii. complexity constraints such as a tight implementation window or dependencies; and
   iv. risk of postponing or not implementing the change.
D. A communications plan. People, groups, and organizations identified in the risk and impact analysis should be contacted with the details and date of the change request. A list of communications channels and scheduled dates for the communications release should also be provided.

E. A back-out plan containing established restoration procedures for standard, normal, and emergency changes that impact the production environment.

F. A test plan.
   i. Functionality testing must be performed to verify that the change does not adversely impact the functionality of the application or system.
   ii. Test scripts and results should be provided to ensure the change does not impact the functionality or security of the application or system.

G. Planned start and end dates to support planning and scheduling activities. These dates are also used to populate the change calendar and for change conflict detection.

H. Actual start and end dates to support reporting and review activities. These dates are also used to populate the change calendar and for change conflict detection.

200.5 Change Approvals

A. A change request must be approved as stated in the Approval Matrix section of the Change Management Process.

200.6 Change Scheduling and Implementation

A. As standard practice, changes to production and any other environments designated as production equivalent are not scheduled for and do not occur during core business hours.
   i. Core business hours are defined as either:
      a. 8:00 a.m. ET to 5:00 p.m. ET, Monday through Friday; or
      b. service-specific business hours.

B. Special situations and exceptions: Changes to business-critical applications in production or production-equivalent environments that must be scheduled during core business hours will require approval by either the unit Change Advisory Board (CAB) or the unit Emergency Change Advisory Board (ECAB).

200.7 Change Communications

A. If the change will result in a scheduled service outage, an announcement must be sent to the customers and users of the impacted service(s) before the change is implemented.

B. Special situations and exceptions: Emergency changes can be communicated post implementation.

C. All public-facing information will be reviewed for appropriate language per the Penn State Editorial Style Manual and the Service Management Editorial Style Manual.
Special Situations and Exceptions

Any requests for exceptions to this policy must be submitted in writing and will be reviewed on a case-by-case basis. Exceptions may be permitted only after documented approval from the change process owner and process managers.

Policy Compliance and Monitoring

The change management process manager will periodically audit change requests for policy compliance. The process manager will notify the appropriate executive manager of any policy violations.
Definitions

**Back-Out Plan** – A plan used if a change to a production environment causes unwanted results and the system must be returned to a previous functional version to restore business operations.

**CAB** – Change Advisory Board. Each participating unit has a CAB to review high-risk changes to services that unit provides.

**Communications Plan** – A specification of the channels and dates used to communicate the impact and value of a change to the people, groups, and organizations identified in the risk and impact analysis.

**ECAB** – Emergency Change Advisory Board. Each participating unit has an ECAB to review emergency changes to services that unit provides.

**Impact** – The extent to which the change affects the business. Impact can be measured by the number of people affected, the criticality of the system affected, and the loss of revenue as a result of service degradation or disruption.

**Implementation plan** – A detailed plan explaining the activities necessary to implement the requested change in the production environment.

**Justification** – The reasons a change is needed based on feedback, data, need for service enhancement, etc.

**Risk** – The probability of service disruption or reduced usability as a result of implementing this change, and the probability of continued inefficiency from postponing or not implementing the change.

**Test Plan** – A document detailing the objectives, team, and processes for a specific test for a software or hardware product. The plan typically contains a detailed illustration of the eventual workflow.

Supporting Documentation

- Change management process documentation
- Change management procedure documentation
- Penn State Service Management Program policy documentation
**Version Control**

This section provides document control in alignment with best practices and standards.

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<tr>
<td><strong>Document title:</strong></td>
<td>Change Management Policy</td>
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<tr>
<td><strong>Document owner role:</strong></td>
<td>Change Management Process Owner</td>
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<tr>
<td><strong>Document owner name:</strong></td>
<td>Refer to the Service Management Office (SMO) website, smo.psu.edu, for a current listing of process owner information.</td>
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**Revisions**

**Document revision:** Cover page must match last date and revision. Contributors and approvers cannot be the same. Approval of controlled quality documentation will be completed using the change management process by submitting a change request.

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<th>Date</th>
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<th>Description</th>
<th>Contributors</th>
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<tr>
<td>7/18/2014</td>
<td>1.0</td>
<td>Converged document for ITX program implementation</td>
<td>Change Management Process contributors, ITX Program Team</td>
<td>Shared ITX Steering Committee, Draft Contributors</td>
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<td>8/8/2014</td>
<td>1.1</td>
<td>Operational document review</td>
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<td>11/6/2014</td>
<td>2.0</td>
<td>Added shared procedures and miscellaneous ODR changes</td>
<td>Document reviewers</td>
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<tr>
<td>7/22/2015</td>
<td>2.1</td>
<td>Aligned policy with ServiceNow implementation and updated language for consistency</td>
<td>Change process improvement team</td>
<td>Process owner, process managers</td>
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<td>1/11/2016</td>
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<td>Updates for consistency with ServiceNow implementation and University branding</td>
<td>Change process improvement team</td>
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<td>1/12/2016</td>
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<td>Update for consistency with ServiceNow implementation</td>
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<td>1/30/2017</td>
<td></td>
<td>Split document into separate policy, process, and procedure documents. Revised to reflect new change policies.</td>
<td>Change process improvement team</td>
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<td>3/30/2017</td>
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<td>Revised for consistency with current process</td>
<td>Change process improvement team</td>
<td>Mike Lenhart</td>
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This publication is available in alternative media on request.

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