

CCM IT Change Control Policy

Policy Statement

The policy ensures that IT service availability is maximized and that Carolina Case Management (CCM) personnel and business processes are not adversely disrupted by undesirable changes to technology systems and components.

Policy Owner

CCM IT Director; Jointly implemented by CCM Ownership Group.

Scope

This document applies to the complete infrastructure of the CCM Corporation in order to establish a change control policy for the CCM IT environment. This policy addresses changes involving systems that process business and personnel data, including but not limited to changes of operational systems, application systems, network infrastructure, hardware installation, operating procedures and maintenance.

Intended Audience

This policy applies to any individual responsible for the management, operation, and/or maintenance of the CCM IT services and/or environment.

The Policy

General Principles

All computer and communications systems used for production IT at CCM must employ this formal change control procedure to ensure that changes are coordinated, authorized and communicated between all interested and affected parties. This change control policy must be used for all changes to the CCM IT environment

Change Defined / Requirements

To ensure the integrity and high availability of the CCM production IT environment, all proposed/requested changes must be submitted to the CCM IT Director. These changes are relative to all components of the CCM network infrastructure and CCM applications.

All changes should be properly planned and scheduled to insure the following:

1. Full testing, where possible, has been completed.
2. Multiple conflicting changes are not targeted for the same time period.
3. Conflicts can be reconciled prior to communication and commitment to CCM users.
4. Adequate implementation planning has taken place.
5. All personnel involved are notified of the proposed change, especially if the change results in a significant outage affecting entire CCM users.
6. Resources required to implement and rescind the change can be made available.
7. No conflict exists with the activities of an area outside of the change request.
8. Change is implemented smoothly and efficiently without incurring excessive down time and service interruption.

Change Initiation

No changes to the CCM network and associated infrastructure will occur without the review of the CCM IT Director. Proposed changes may be submitted by any member of the CCM staff, as well as any third party support groups. Upon receipt of a request, the CCM IT Director will review the request and draft a committee to review the requested, as appropriate. Some of the requests may be implemented without committee review, as dictated by lack of complexity and/or lack of ramifications of change.

The CCM IT Director will identify who is responsible for each stage of change management. The roles to be assigned to one or more individuals include:

1. Initiator: prepare and submit a change request to the CCM IT Director
2. Change Approver 1 (CCM IT Director): review and approve or reject change requests.
3. Change Approver 2 (optional): as dictated by need for second level of approval prior to implementation.
4. Implementer: Personnel responsible for development.
5. User.

Development / Implementation

Based upon the decisions made during the initiation process, the implementer will begin work on the approved changes. The implementer will clearly define the change and associated effects on the CCM network and infrastructure. The approvers will be made aware of this information. If unacceptable, the initiation process will be re-visited with possible changes to minimize the negative effects of the change. Based on the information from the implementer, the entire change may be rejected.

If the process is fully approved and moves forward, the implementer will complete the development of the change on an agreed upon schedule. The implementer will test the change internally to prove the function of the change and to insure that all effects of the change to the network and the user environment are known and accounted for. Once tested and approved by the implementer, the implementer will work with the CCM IT Director to develop a schedule for the change to go live in the CCM network.

Notice / Execution

The schedule for execution of the network change will be made available to all users affected by the change. This notice will come in the form of a written communication. In the communication, the change will be defined, the benefits will be clearly stated, and the schedule for installing and executing the change will be presented.

Users will be allowed to respond to the change notice. The sole change to the notice once issued is a possible change to execution schedule based on any objections from the user community. Barring the objections, the execution of the change will occur.

Post Execution

Once change is executed, documentation of the execution will be kept and stored. The actual change to the CCM network will be monitored to insure proper execution, proper results, and no occurrence of negative and unexpected effects. If negative, unexpected effects do occur, the CCM IT Director will work with the implementation team to create a fix while maintaining the positive network effects that were requested in the original document.