

Change Management Policy

The Policy

All changes to City of New York systems are required to follow defined change management processes to ensure the mitigation of risks and minimize disruption to critical services.

Scope

This policy applies to all computer systems that access or process City of New York information. This includes any changes, additions or deletions to the storage, operating system, or other components of production servers including network, mainframe, midrange, voice, and video systems. This policy includes all City of New York systems that any agency relies upon to perform its business functions.

Background

The Information Technology Infrastructure Library (ITIL) definition of change is the process of moving from one defined state to another. Change management is the process of planning, controlling, coordinating, executing, and monitoring changes that affect an IT service delivery environment.

Principles of Change Management

- 1) The change management process and procedures must be formally documented.
- 2) All changes must:
 - a. Require advance approval.
 - b. Meet a business need.
 - c. Be tested in advance as thoroughly and reasonably possible.
 - d. Be assessed for impact, risk and priority.
 - e. Require consultation with all relevant stakeholders.
 - f. Must be submitted and routed through the defined process steps in the change control process.
 - g. Must have a back out or rollback plan in the unlikely event that a change has an adverse effect on the environment.

Change Management Controls

- 3) All activities that have the potential to affect the stability of the City's critical services must follow a controlled change management process.
- 4) Standard changes must follow all defined process steps.
- 5) Emergency change control procedures must be documented for urgent changes that must be expedited.
- 6) Controls must exist to ensure that:
 - a. All changes are recorded and tracked.

- b. All changes are authorized.
 - c. Appropriate segregation of duties exists between requestor, reviewer, approver, and implementer.
 - d. Access roles are segregated between development, staging, and production environments.
 - e. Procedures are defined to schedule, monitor, and communicate changes.
- 7) The submitter of a change may not also approve that change except under specific emergency situations.

Requests for Changes

- 8) Requests for a change must originate from an authorized party within the agency that has ownership for the system to be modified.
- 9) Any change request must receive approval from a system owner (or their respective delegate).
- 10) Only in an emergency situation, where authorized approvers are unavailable may authorization for the change be gained retroactively.

Prioritization of Requests

- 11) All changes to the infrastructure and system environment must be reviewed and prioritized based on their impact and significance to business operations.

Document Revision History

Date	Description
June 16, 2011	Version 1.1 Updated header with new NYC logo and added this revision history table to the document.
April 19, 2012	Version 1.2 Changed classification of this policy from sensitive to public.