State of West Virginia Office of Technology Policy:
Change & Configuration Management
Issued by the CTO

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1.0   PURPOSE

The purpose of Enterprise Change Management is to standardize the identification, evaluation, planning, coordination, communication and implementation of changes to the State computing environment in such a way as to minimize any potential disruption to the user community, to ensure that all impacted users and support groups are making necessary accommodations to the change(s), and to increase the value of Information Resources.

2.0   SCOPE

This policy applies to all employees and organizations within the Executive Branch, unless classified as "exempt" in West Virginia Code Section 5A-6-8, "Exemptions." The State's users are expected to be familiar with and to comply with this policy. This policy also pertains to all workstations, portable computers, servers and device configurations, software systems and configurations and changes to those systems, networking components and configurations, and other computing devices that attach to the State's networks.

Changes to State computing environment arise from many circumstances:

- Periodic maintenance
- User requests
- Hardware and/or software upgrades
- Acquisition of new hardware and/or software
- Performance Tuning
- Federal mandates
- Changes in state law
- Unforeseen events.

3.0   POLICY

    3.1   Roles and Responsibilities

        3.1.1   System administrative privileges shall be limited to those support personnel requirements for business purposes. Such authority shall be revoked upon determination by agency management that such access is no longer required. More information on administrative privileges may be found in WVOT's Account Management Policy.

        3.1.2   All agencies shall be responsible for maintaining a current roster of individuals with administrative accesses to each supported system or set of systems.

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3.1.3   The team responsible for the system(s) being changed will review all high risk/impact changes to ensure that all relevant State areas are aware of the criticality of the change, and to assure that the business needs of the individual agencies are addressed as a consequence of the proposed change. Herein referred to as the Change Management Team.

    3.1.3.1   Enough detail will be provided so all agencies know the relative impact of the change to their individual system.

    3.1.3.2   Planning documents, including a thorough impact analysis, will be generated, for each change, as specified by the change management team and Change Management Team Lead, or WVOT Director signoff.

    3.1.3.3   Section staff members will provide a status to the Enterprise Change Management Committee member representing their section for discussion at the appropriate meeting.

3.1.4   The Team Lead for the system being changed will:

    3.1.4.1   Analyze, approve or deny, and facilitate all change requests that receive approval;

    3.1.4.2   Refer change requests to any impacted individuals and units when conflicts have not been resolved or when it is considered to be a high risk;

    3.1.4.3   Provide overall direction, monitor performance, and provide administration of the system change.

    3.1.4.4   Take responsibility for assuring that planning documents are presented, published, and distributed as needed for complex changes or changes involving a long timeframe.

    3.1.4.5   Assess the impact of planned changes on field staff and meet with the change requester, independent of any Change Meeting, to resolve any outstanding issues affecting a proposed change.

    3.1.4.6   Ensure that any changes being made will not nullify any regulatory safeguards in place.

3.1.5   Change Requesters are staff members who initiate change. They are usually primary staff members who are given an assignment to make a change through opening a Change Request.

3.1.5.1   Change Requesters will ensure that changes are immediately documented and updated with problem information resulting from the installed change.

3.1.5.2   Change Requesters will identify potential exposures and assign a risk level to all changes.

3.1.5.3   Change Requesters will prepare and coordinate a viable "back-out" plan which will explain in detail the steps that must be taken to restore access in the event the change results in a negative situation. This will be presented at the Change Meeting for review.

3.1.5.4   Change Requesters will coordinate proper on-site or on-call support as needed to resolve any problems that may occur during installation or immediately subsequent to installation.

3.1.5.5   Change Requesters will ensure that the customer understands and concurs with any possible impact.

3.1.5.6   Change Requesters will coordinate progress reports with their Team Lead.

3.2   All Executive Branch information systems must comply with a change management process that meets the standards outlined below:

3.2.1   All current baseline configurations must be recorded and maintained. When a new baseline configuration is created, the old baseline must remain available to perform a restore if needed. CM2B-D

3.2.2   All configurations must be reviewed annually, including baselines by the agency's designee. CM2E

3.2.3   Every change to a WVOT Information Resources resource such as: operating systems, computing hardware, networks, and applications is subject to this Change Management Policy and must follow the Change Management Procedures and Processes. CM2A

3.2.4   All changes affecting computing facility's environmentals (e.g., air-conditioning, water, heat, plumbing, electricity, and alarms) need to be reported to or coordinated with the system's designated leader of the change management process.

3.2.5   Configuration and Change Management Teams will meet regularly to review change requests and to ensure that change reviews and communications are being satisfactorily performed.

3.2.6   Formal written change requests must be submitted for all changes, both scheduled and unscheduled.

3.2.7   All scheduled change requests must be submitted to the Change Management Team in accordance with change management procedures.

3.2.8   Each scheduled change request must receive documented approval and required signoff before testing can proceed.

3.2.9   Team Leads may deny a scheduled or unscheduled change for reasons including, but not limited to,

    3.2.9.1   Inadequate planning,

    3.2.9.2   Inadequate rollback plans,

    3.2.9.3   The timing of the change will negatively impact a key business process such as year-end accounting, or another scheduled change, or

    3.2.9.4   Adequate resources cannot be readily available. Note: Adequate resources may be a problem on weekends, holidays, or during special events.

3.2.10 Customer notification must be completed for each scheduled or unscheduled change following the steps contained in the Change Management Procedures.

3.2.11 Change Review must be completed for each change, whether scheduled or unscheduled, and whether successful or not.

3.2.12 A Change Management Log must be maintained for all changes. The log must contain, but is not limited to:

    3.2.12.1   Date of submission and date of change

    3.2.12.2   Owner and custodian contact information

    3.2.12.3   Nature of the change

    3.2.12.4   Indication of success or failure

4.0   RELEVANT MATERIALS/DOCUMENTS

This policy is consistent with the following federal and state authorities:

- 45 Code of Federal Regulations (CFR) §§ 164.308-316
- Freedom of Information Act

- Gramm-Leach Bliley Act (GLBA)
- Health Insurance Portability and Accountability Privacy Rule
- NIST SP 800-14 and NIST SP 800-53
- State Health Privacy Laws
- WV Code § 5A-6-4a
- WV Executive Order No. 7-03
- WVOT Policies Issued by the Chief Technology Officer (CTO), www.technology.wv.gov/security/Pages/policies-issued-by-the-cto.aspx

5.0   ENFORCEMENT & AUTHORITY

Any employee found to have violated this policy may be subject to disciplinary action up to and including dismissal. Disciplinary action will be administered by the employing agency and may be based upon recommendations of the WVOT and the **West Virginia Division of Personnel**. Please review the **WVOT Policy and Procedure Policy #1000** to review additional provisions concerning enforcement and policy authority.

6.0   POLICY-SPECIFIC DEFINITIONS

6.1   Change Requesters -- This may be anyone who requests a change to an information system. For example, the Change Requester for an application program modification may be an application analyst. The Change Requester for a change to the computer room will be the Director of Computer Operations or the Director's designee.

6.2   Configuration Management Team – A team within WVOT responsible for making changes to the computer and network architecture.

6.3   Enterprise Change Management Committee - Consists of directors and managers from multiple areas of WVOT, who make appropriate determinations

6.4   Workstation – A personal computer; also called a PC.

7.0   Change Log History

- July 1, 2015 –
  - Added Section 7.0, Change Log History; Reorganized sections; Cleaned up Related Documents/Materials; Made Policy-Specific Definitions;
- 9/1/2016
  - Policy reviewed, no edits made.
- 10/20/2017
  - Policy reviewed, no edits made.