Department of Technology and Innovation
Change Management Standard

TITLE:	Change Management
TYPE:	Standard
CATEGORY:	General
EFFECTIVE DATE:	10/6/2022
REVISED DATE:	9/22/2022

1. **PURPOSE:**

This standard establishes the minimum level of change management controls necessary to minimize the potential disruption of service to The City of Albuquerque (COA) production computer systems, communications systems, infrastructure, and to prevent unauthorized changes to systems that could create errors or otherwise alter production data.

2. **SCOPE:**

This standard is mandatory for all critical City of Albuquerque enterprise technology systems. This standard includes critical considerations that must be taken into account prior to implementing a change. The change process is tracked and documented using various tracking systems. Equivalent steps and processes (e.g. compensating controls such a CJIS) may suffice for some or all of this standard.

3. **STANDARD:**

Absent another approved change management process, the following shall apply:

A formal change request shall be initiated by business process owner, project owner, designee, or relevant management. The change request form shall include all required documentation, impact/risk assessment, and prioritization information as defined in the "Change Request Procedure" document. Change requests shall be approved by management and reviewed (e.g. by DTI Change Collaboration Board) as required.

A. Critical Considerations

    I.   Scheduled Maintenance – Departments may have streamlined or preapproved processes in place. If so, departments should follow these their preapproved process.

    II.   Software Release Procedure: Code check-in and checkout procedures are to be utilized by all critical applications and encouraged for use by all other applications. Automated version control systems are preferred. When possible, software releases and deployments should be tested in a development environment prior to release in

the production environment. Users who have the potential to be impacted by a software release/deployment should be notified of the software deployment in advance.

III. **Fallback Procedures:** A roll-back procedure/contingency plan for reverting from unsuccessful changes and unforeseen events must exist.

IV. Test / Development Environments: When applicable, test environments should be separate from production environments. Move to production is to be done by authorized staff, with separation of duties in mind.

V. Real and/or Confidential Data: Use of personally identifiable information (PII) is to be minimally used and used in accordance with the "Personally Identifiable Information and Sensitive Data" policy. PII data used for testing should be deleted as soon as testing is complete.

VI. Emergency/Urgent/Expedited Changes:

Some changes, by nature, may not wait until a formal request and analysis are completed. They nevertheless must conform to the change control process by including the following documentation:

 a. The reason for the change;
 b. Implementation plan and results;
 c. Communication with users affected by the change; and
 d. Evidence of supervisory review and IT management approval
 e. Change management documentation, for emergency changes should be completed as soon as possible.

4. ENFORCEMENT:
 Violation of this policy may result in removal of change privileges. Additionally, any violation shall be reported to the appropriate supervisor and could be subject to potential disciplinary action, up to and including termination.

5. EXCEPTIONS:
 Limited exceptions to the policy may be granted by the Director of the Department of Technology and Innovation on a case-by-case basis.

6. RESOURCES:
The City of Albuquerque shall endeavor to maintain compliance with the following resources:

- Payment Card Industry Data Security Standard (PCI DSS)
- Health Insurance Portability and Accountability Act (HIPAA)
- FBI Criminal Justice Information Services for Law Enforcement/Courts (CJIS)
- National Institute of Standards and Technology: Information Technology (NIST)
- International Organization for Standardization: Information Technology
- Information Systems Audit and Control Association (ISACA)
  - Good-Practice Framework: IT Governance and Management of Enterprise IT