

CE Change Management 3rd Party Vendor Process

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1. Document control

1.1 Version history

Version	Date	Change Description	Author
0.1	20/01/2015	Initial Document	Letitia Charles
0.2	28/05/2015	Added Workflows	Letitia Charles

1.2 Approvals

Version	Date	Name	Role
0.2	28/05/2015	Clive Brooker	Technical and Service Assurance Manager
0.2	28/05/2015	Letitia Charles	Change and Release Manager
0.2	28/05/2015	Paul Chaplin	Information Services Manager
0.2	28/05/2015	Sebastien Losq	Head of Customer Technology
0.2	28/05/2015	Nolan MisKimmin	Service Design and Transition Manager
0.2	28/05/2015	Terry Vincent	Service Design Manager

1.3 Distribution list

Version	Date	Name	Role	Organisation
0.2	28/05/2015	Customer Experience Employees	Various	Customer Experience (CE)
0.2	28/05/2015	Third Party Suppliers	Various	Cubic, Rackspace, Novacraft, Journey Call, Barclaycard, Cybersource
0.2	28/05/2015	Information Management (IM)	Various	TfL

1.4 Related documents

Document	Location

2. Introduction

Change is the process of moving from one defined state to another. This Process applies to the addition, modification or removal of approved or base lined hardware, network, software, application, environment or system in the production network/environment.

Changes may arise through development, maintenance, enhancement or emergency incident fixes or prevention.

Development and Test environments are excluded, except where there will be physical integration with the live/production network and there is risk of impact upon service/customers.

2.1 Purpose

The purpose of this process document is to provide a common process for 3rd Party Vendors

Enable the Customer Experience Change Management process to achieve its stated objectives.

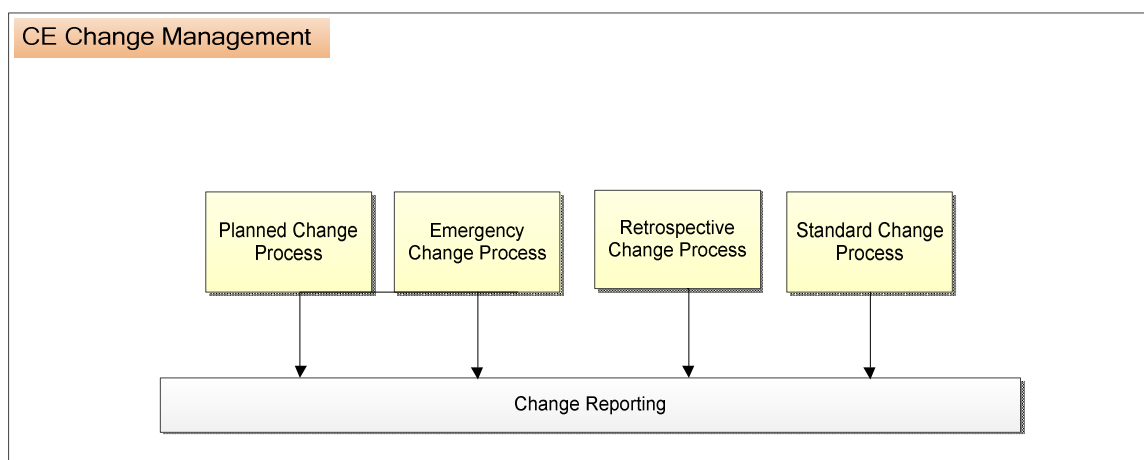
- Is standard across all the teams supporting the customer(s).
- Represents best practices.
- Is user friendly, easy to read and understand.

2.2 Overview

This document describes the following sub-processes that make up the Customer Experience Change Management Process:

- Standard Change process
- Planned Change process
- Emergency Change process
- Retrospective Change process

Figure 1 shows the main sub processes in the CE Change Management 3rd Party Vendor Process



2.3 Scope

2.3.1 In scope

This process applies to all hardware, software and other assets used to deliver IT and Network Services and the users of those services in the operational space.

Any modification to any part of these, however minor, is defined as a change and requires that this process be followed. Some routine changes, which have been specifically identified and defined, will be permitted following the process described in the section of this process titled “Standard Change”. The CE Change Management process applies equally to all Managed Service Employees, Contractors, Consultants and 3rd Party Personnel who support Managed Service Change.

This process handles any in scope change. A valid Change can be a Request within the scope of the SLA or network/applications configuration Changes within the service agreement. The Change Request may come from an internal or external client. This process also handles Changes caused by the cessation of services. The size of Changes and the risk of Changes can vary widely. The amount of control exercised for a Change should be adjusted in such a way that there is a balance between costs and benefit. Normally several types of Changes are defined.

2.3.2 Out of scope

Item	Description

2.3.3 Process summary

Process Name(s)	CE Change Management 3 rd Party Vendor Process
Process Owner	Letitia Charles
Preceding Processes	<ul style="list-style-type: none"> Incident Management Problem Management Service Desk Configuration Management
Objective	<ul style="list-style-type: none"> To ensure that the installation or modification to any managed Service and/or Infrastructure element is coordinated to achieve the expected result without unplanned service impact, within agreed time frames. Manage RFC's within agreed time frames to closure.
Trigger	Receiving a change request
Suppliers	Change Requestor
Inputs	Change request from the Customer
Activities	The CE Change Management Process shall cover the following activities:

	<ul style="list-style-type: none"> • Collect data for change request • Change request assessment • Change Control Management • Change Implementation (to all software, hardware, configuration, etc) • Track change implementation status • Conduct review, perform analysis and maintain documentation of the hardware and software system configuration
Outputs	<ul style="list-style-type: none"> • Change report • Configuration Request • Change Implemented
Customers	Change Requestor
Additional Information	End Point is close or reject the change request.

2.4 KPIs and controls

2.4.1 KPIs

KPI	Definition	Formula
% Changes raised as emergency	A measure of the number of RFC that are implemented each week that are not made with the mandatory 10 day's notice. When a RFC is made to CE Change Management change types: Emergency (E-RFC). RFC & E-RFC changes with the following attributes will be excluded	Total Number of implemented E-RFC changes / Total # changes implemented. RFC & E-RFC changes with the following attributes will be excluded from the calculation - an outcome of "cancelled" status of "new", "pending CE CM review".
% of RFC Success	A measure of the number of RFC changes that are implemented with an outcome of success or success with issues. Each week when a Post Implementation Review (PIR) is completed in the CE Change Management System an overall outcome is selected.	% of all RFC with an outcome (success + success with issues) / (success + success with issues + failed).

3. Planned Changes

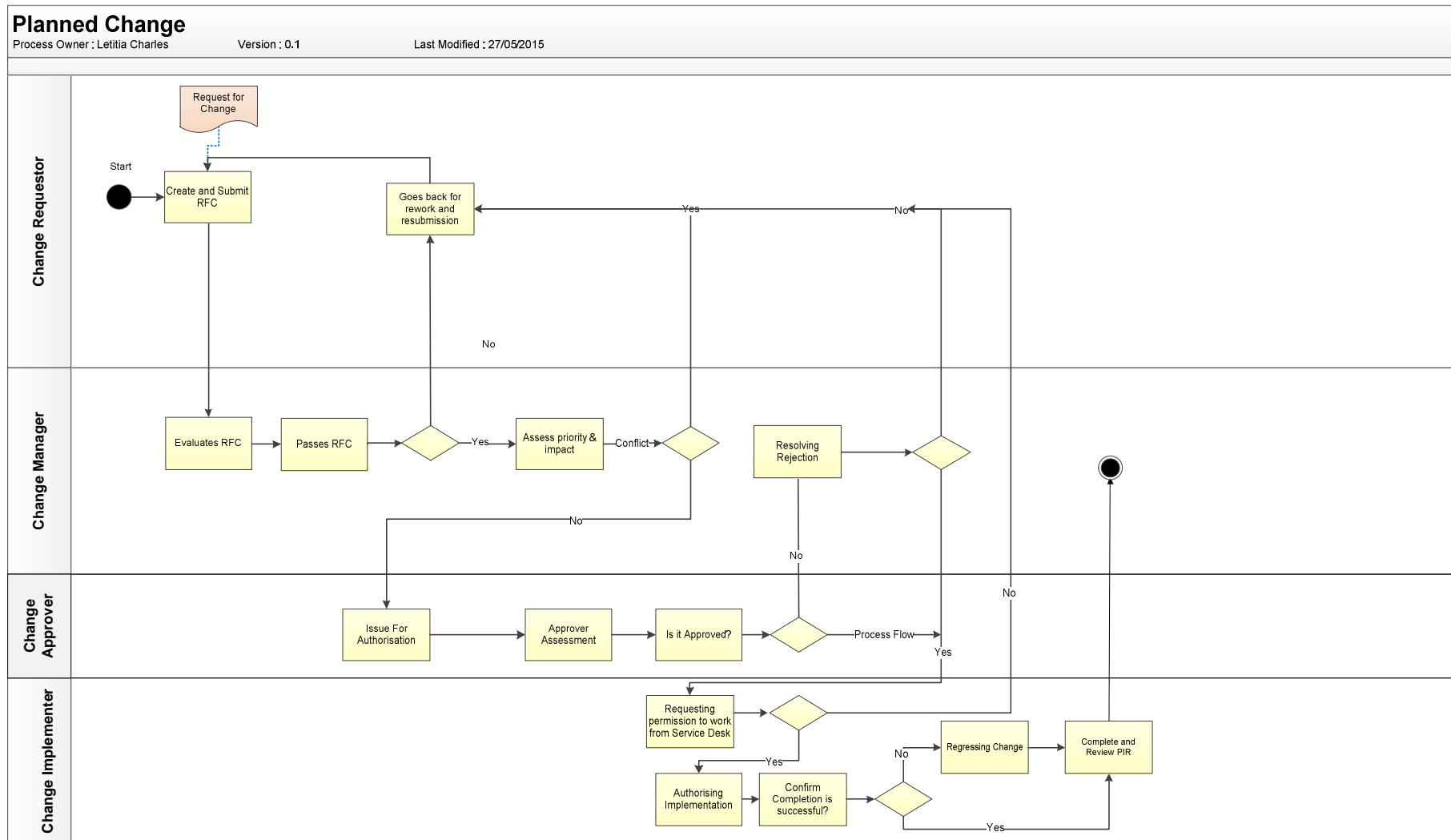
Planned Changes are submitted with required notification period, have a clearly defined end user impact, with pre-implementation testing already completed. Planned Changes are where greater than Ten Calendar days' notice is given to CE change Team for implementation.

3.1 Process summary

Process Name(s)	Planned Change Process
Process Owner	Letitia Charles
Trigger	Receiving a Change request with 10 calendar days' notice to implement.
Suppliers	Change Requestor
Inputs	Request for changes with more than 10 calendar days' notice
Activities	Highlighted in the process flow below.
Outputs	Planned Change request is implemented.
Customers	Change Requestor
Additional Information	End Point is to close or to reject the change request.

3.2 Process flow

Figure 2. – Planned Changes



3.3 Process description

Activity	Description	Role
Create and Submit RFC	<p>Complete the CE RFC form template and submit to CE Change Management. The Change Requestor is responsible for ensuring that the CE RFC form is submitted with enough information for it to be assessed. The Change Requestor needs to draw on all stakeholders; particularly where IM or CE resources are required to complete any activities during the implementation of the change, to ensure the detail is complete. The CE RFC form should be worded in such a way that anyone reading the change will understand what it is delivering. Customer Service Impact section should state exactly what the user experience will be, and where there is no impact, there should be a statement as to why this is the case. The Change Requestor must ensure that all resources are arranged prior to submitting the CE RFC form to CE Change Management.</p> <p>The Change Requestor should ensure the risks are captured appropriately.</p>	Change Requestor
Evaluate the RFC	<p>At this stage the RFC has not been accepted. The Change Manager will check the RFC for any incomplete information and return it to the Change Requestor if necessary.</p> <p>Passed initial evaluation?</p> <p>If the RFC meets the minimum requirements for initial evaluation then it is progressed. Otherwise it is returned to the Change Requestor for revision.</p>	Change Manager
Assess priority & impact	<p>The Change Manager assesses the priority & impact of the RFC using the Forward Schedule of Change to ensure that there are no conflicts. If a conflict is identified with another planned change, then the Change Requestors and of the changes and SDMs will be asked to confirm both can proceed without any risk, or alternatively a postpone and reschedule will be required of one of the changes.</p>	Change Manager
Issue RFC for authorisation	<p>The Change Manager now issues the RFC for authorisation at the CE CAB, the Change Requestor will be required to represent the RFC at the CE CAB or a suitable delegate, this will ensure any questions raised by the CE CAB can be promptly responded to and change can be reviewed and approved by the CE CAB members.</p>	CE CAB Change Approval
Resolving rejection	<p>If an RFC is rejected by any of the CE CAB approvers then the Change Manager will co-ordinate with the relevant parties to resolve the rejection. In the first instance the person with reason to reject should provide reasons for rejecting the change and the</p>	Change Manager

Activity	Description	Role
	Change Requestor should look to resolve the issue. If resolved the Change Manager will then progress the RFC as required. If the issue cannot be resolved prior to the scheduled implementation start date/time the RFC will be postponed until such time that the issue is resolved..	
Requesting permission to work	After the RFC is authorised work commences at the stated scheduled start time. The change implementer should request permission to work from CE Service Desk.	Change Implementer
Authorising Implementation	The detail of how the work is performed is noted in the implementation plan/steps of the authorised Change and managed by the Change Implementer & Change Requestor. However all work must adhere to the normal CE Service Desk & Incident Management protocol. <ul style="list-style-type: none"> • Work cannot start without requesting and receiving permission to work from CE Service Desk • CE Service Desk must be notified once work is complete. During implementation, individual 'tasks' are completed by the appropriate owners until all tasks are completed.	Change Implementer
Confirm work has completed	After the change has been implemented the change implementer is responsible for confirming the work has completed.	Change Implementer
Complete & review PIR outcome	The change implementer/Change Requestor must complete the PIR with accurate details of when the change was implemented, actual start/end times, confirming the outcome of the work. The notification of the change outcome must be immediately after a RFC has completed. The change implementer/Change Requestor must ensure that: Once the change is implemented as per RFC detail, regardless of any issues during the implementation, the RFC PIR detail should be completed so that the change outcome is recorded CE Change Management and CE Service Desk remaining on shift are notified of the RFC status and outcome. Notification should not be delayed. These tasks are required and should be considered as an integral part of the change. The Change Requestor is accountable for ensuring the PIR is completed, completing it on behalf of the change implementer if necessary. CE Change Management will review the PIR outcome and the RFC will then be moved to a status of 'Awaiting Closure' and subsequently 'Closed' if there are no outstanding questions	Change Implementer /Change Requestor

Activity	Description	Role
	regarding the PIR.	
Regressing Change	<p>If problems have been identified as a result of the RFC and the requirement has been recommended to regress after it's been implemented or part implemented, then the following must happen:</p> <p>If during the planned Change window, the regression tasks must be followed depending on the stage of implementation. CE Service Desk, Incident Management must be contacted when managing a regression.</p> <p>If further changes are required outside of the planned Change window then create and submit an RFC following the correct process.</p>	Change Implementer

4. Emergency Change Flow (Changes <= 10 calendar days)

Requests that are submitted with less than the agreed notification period notice are emergency RFCs (E-RFCs) and will be managed according to this emergency procedure.

Emergency changes can only be requested within business hours and must be submitted to CE Change management before 16:00.

The Change Requestor must raise the E-RFC as soon as possible after a change requirement is identified and contact the CE Change Manager before or when the completed CE RFC form has been submitted. If all information is present, the CE Change Manager can correctly progress the E-RFC for approval by all required parties without delay.

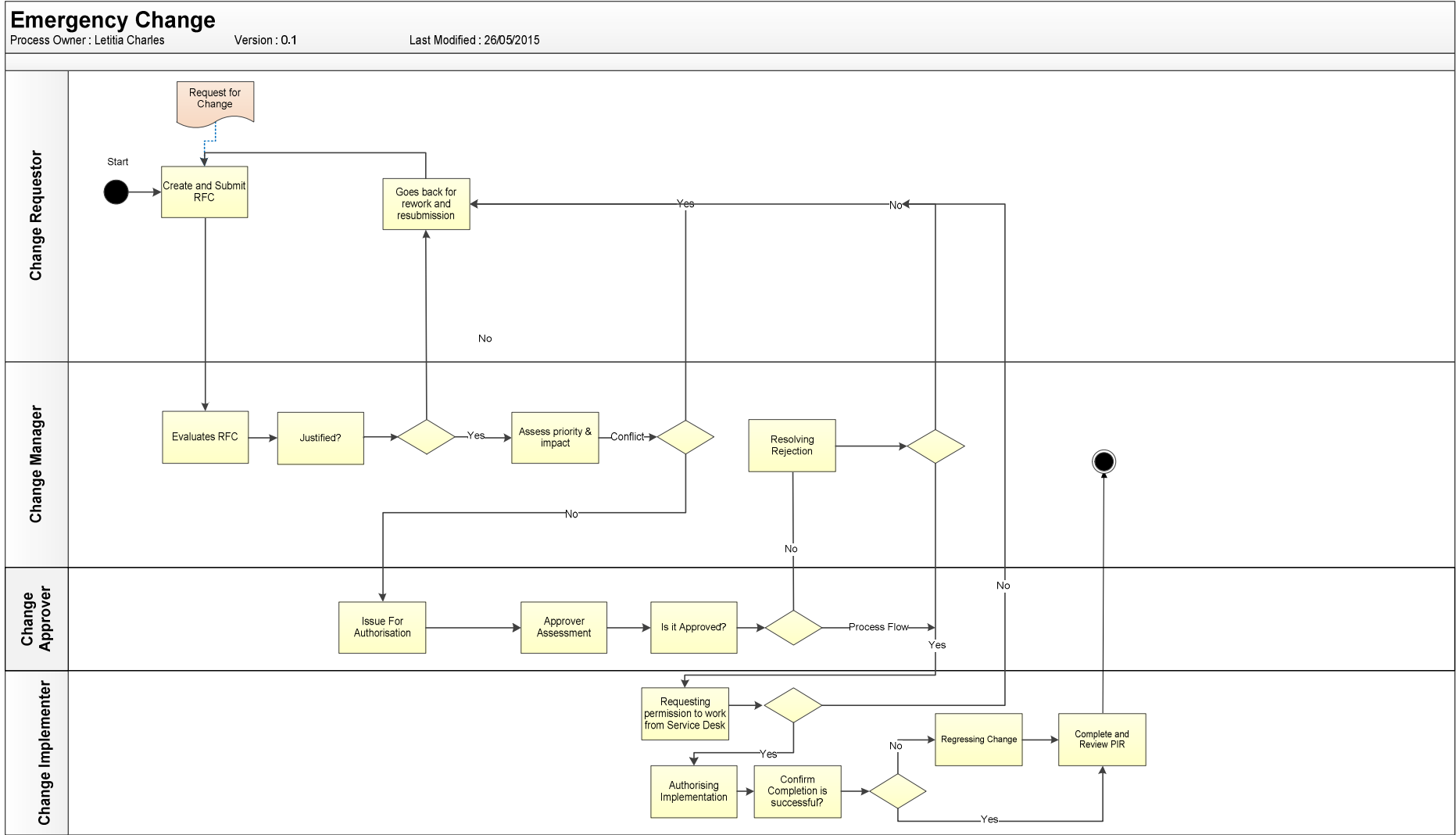
The CE Change Manager will require business justification for any emergency change requested which is in addition to the Change justification

4.1 Process summary

Process Name(s)	Emergency Change Process
Process Owner	Letitia Charles
Trigger	Receiving an emergency Change request.
Suppliers	Change Requestor
Inputs	Request for emergency changes which are less than 10 calendar days.
Activities	Highlighted in the process flow below.
Outputs	Emergency Change request is implemented.
Customers	Change Requestor
Additional Information	End Point is to close or to reject the change request.

4.2 Process flow

Figure 3 – Emergency Changes



4.3 Emergency Sub-process (Business Approval)

Once the Emergency Justification Questions have been answered and included in the CE RFC form, the process follows the same path as a Planned Change with the Exception of the following –

Business Approval – The change manager will use a standard set of questions to ascertain if an emergency change request is justified, including the reasons for it being submitted late, as well as the business impact if the change were to be delayed and raised as a Planned change. The Change Manager may escalate to the Business (SDMs, Product Owners and Senior Managers) for signoff where required.

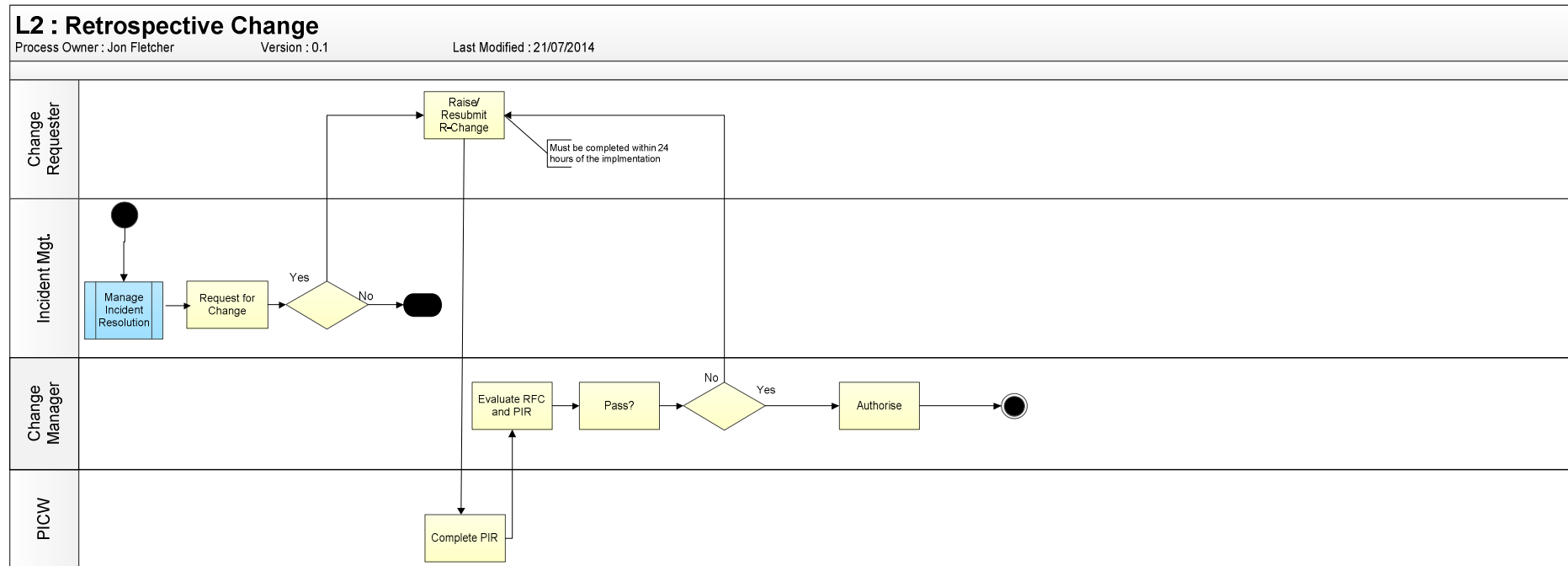
5. Retrospective Change Process Flow (Unplanned changes from Incidents)

5.1 Process summary

Process Name(s)	Retrospective Change Process
Process Owner	Letitia Charles
Trigger	Unplanned changes due to Incidents
Suppliers	Incident Management
Inputs	Incidents
Activities	Highlighted in the process flow below.
Outputs	R-RFC is resolved
Customers	Incident Management
Additional Information	This process is only available under the authority of the Major Incident Management team. i.e. you can't use a retrospective Change for a P3.

5.2 Process flow

Figure 4 – Retrospective Change



Process description

Activity	Description	Role
Manage Major Incident Resolution	Major Incidents will be managed under the support of the incident management process. Incident management is a defined and practised process, so there is no need to apply the full CE change management process during the incident.	Incident Management
Request for Change	Did the incident resolution require implementation of a change that would normally have been done by RFC? For example a server reboot may not constitute an R-RFC but a configuration alteration would. R-RFC's are for emergency changes that need to be actioned without delay. If the change is not to be performed immediately (i.e. must be completed out of hours), then an E-RFC should be raised instead and follow the Emergency process	Incident Management
Raise R-RFC	Create an R-RFC using the RFC form and submit to CE Change Management when completed, an Incident reference should be included within the RFC form to highlight the urgency or potential impact to service. and include documented authorisation from Incident Management that they agreed for the work to be covered by a retrospective change. The R-RFC should be raised straight away as soon as the work is finished. This is necessary to assess the outcome.	Change implementer
Complete PIR	The Change implementer/Change requester must update the PIR as soon as the change completes as per the Planned Change procedure.	Change implementer
Evaluate R-RFC and PIR	The Change Manager will assess the detail in the R-RFC and also ensure the PIR information is complete – once this is satisfactory the R-RFC will be issued for Authorisation.	Change Manager
Authorise	The Change Manager will now distribute the R-RFC for approval by teams listed for the effected service to initiate a full assessment of the R-RFC.	Technical Approvers/Technical

Activity	Description	Role
	<p>All reviewers, or a suitable delegate, must respond to the approval request by the date stipulated. A prompt initial response is required to allow enough time for debate and refinement of the R-RFC. The Change Requestor is obliged to provide prompt response to questions that approvers ask.</p> <p>Approver Approved / Issues identified?</p> <p>For an R-RFC a reviewer will not be chased. If there are outstanding approvals after the deadline has expired then the R-RFC is automatically closed.</p> <p>If the change is approved unanimously then the system will automatically distribute notice of authorisation/approval once all approvals are received (the status will change momentarily to 'Authorised' and then to 'Awaiting Closure').</p> <p>If issues are identified then the Change Manager will co-ordinate with the relevant parties to resolve them and, when done so, will then progress the R-RFC through to closure.</p>	Authority
Change Regressed	<p>Further changes required?</p> <p>If further remedial change is required then additional changes may be raised via the appropriate planned route.</p>	Change Implementer/Change Requestor

6. Standard Change Process Flow (Pre-approved Change)

Standard Change is a change that:

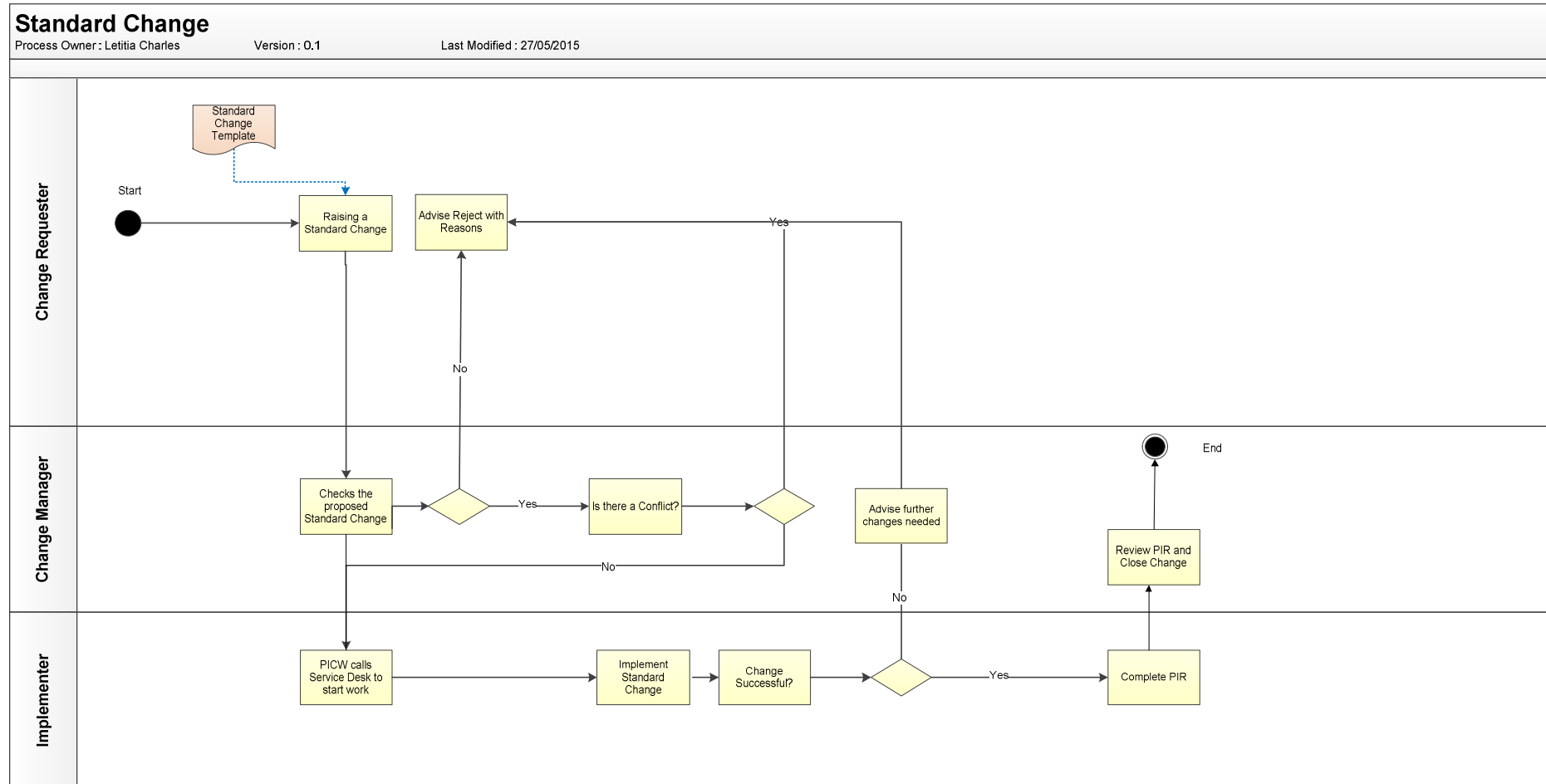
- Follows an established path
- Has no associated service impact,
- Is regularly used and is the accepted solution to a specific requirement

6.1 Process summary

Process Name(s)	Standard Change Process
Process Owner	Letitia Charles
Trigger	Receiving a change request
Suppliers	Change Requestor
Inputs	Request for pre-approved changes
Activities	Highlighted in the process flow below
Outputs	Standard Change request is implemented.
Customers	Change Requestor
Additional Information	End Point is to close or reject the change request.

6.2 Process flow

Figure 5 – Standard Changes



6.3 Process description


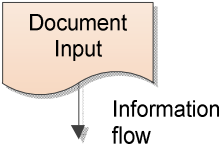
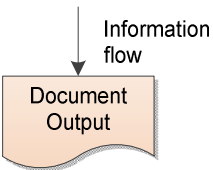

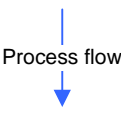


Activity	Description	Role
Raising a Standard Change	<p>The Change Requester uses the pre-approved Standard Change template previously provided by CE Change Management: The title will be agreed during the initial Planned Change Process. The Change Requester must enter the details. The description, testing, implementation actions, post implementation checks and regression will already be entered onto the Standard Change template, and cannot be altered. The Change Requester submits a new Standard Change each time it's required.</p>	Change Requester
Checks the proposed Standard Change	CE Change Manager will ensure that the proposed Standard Change does not conflict with any pre-arranged, authorised RFCs and then authorise the work for implementation.	Change Manager
Start Work	Implementer calls service desk to start Work	Implementer
Implementing a Standard Change	It is the responsibility of the Change Requester to ensure the Standard Change is implemented on the agreed scheduled date and time.	Change Requester
Complete PIR	Following implementation, the Implementer completes the PIR to record the actual implementation details.	Implementer
Reviews PIR and Close Change	Change Manager reviews PIR and closes the Change	Change Manager
Regressing failed Standard Change	<p>If the implementation of a Standard Change fails, (e.g. it is regressed or causes an adverse / unexpected impact upon service) the Change Requester must inform CE Change Management immediately. Dependent upon the reason for implementation failure, the Standard Change template may be removed from the template library, until a proven successful track record can be provided again.</p>	Change Requester

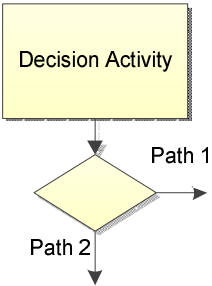

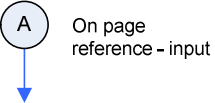
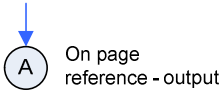

7. Glossary and Definition of Terms

Term	Description
Incident Record	An incident record, to record detailed information of an incident. Consequently, the Incident record will also be used to keep track of the up-to-date progress; maintain all incident related records such as troubleshooting procedure and action taken; and for ongoing statistical purposes.
Change	Here refers to the service activities that will bring about the network/IT configuration change, and it involves the high risk for the business. Generally it includes the data of the network change, IT Change, software update, release notes, test results and so on, for the details please refer to Change Definition and its level Criterion. Any roll back planning in the event of a failure is not in the coverage of CE change management.
SLA	The Service Level Agreement (SLA) is a formal negotiated agreement between two parties that sits underneath the contract of appointment. It is an agreement between a client and its service provider that records the common understanding about services and responsibilities.
CAB	Change Advisory Board
CI	Configuration Item
KEDB	Known Error Data Base
NOC	Network Operation Centre
PTW	Permission To Work
SOP	Standard Operating Procedure
TBD	To be done
Back out Plan	A plan that restores service to previously existing levels for changes that must be backed out/regressed.
BRT	Business Readiness Testing
Change Risk	Risk is a possible event that could harm or loss; affect the ability to achieve objectives. A risk is measured by the probability of a threat, the vulnerability of the asset to that threat, and the impact it would have occurred. Change categories define the complexity and impact of the change being handled within the process. Different categories have different requirements.
Request for Change	A formal proposal for a change to be made. It includes details of the proposed change, and should be recorded electronically where possible.
Change Impact	A change impact is defined as the planned effect (degradation or downtime) on business or technical services. Impact is often based on how the service levels are affected.
E-RFC	Emergency Request For Change - Emergency changes are those that are vital to meeting an urgent business requirement (including an incident resolution) need and cannot conform to the normal change process.

Term	Description
Escalation	Referring unresolved issues that arise during process activities to appropriate and increasing levels of authority to obtain resolution.
FSC	Forward Schedule of Change
Lead Times	The time intervals required allow proper analysis and approval of changes prior to their scheduled implementation. The purpose is to ensure that there is sufficient time between opening and implementing a change to allow the organisation to handle it in a businesslike manner.
CE	Customer Experience
PIR	Post Implementation Review
RFC	Request for Change
R-RFC	Retrospective Request For Change
SIT	System Integration Testing
SLA	Service Level Agreement
UAT	User Acceptance Testing
OLA	Operating Level Agreement

8. Appendix A: Process Flow Diagram Key

Symbol	Definition	Description
 Start event	Start Event	This shape is used to indicate the start of the process. Usually there is only one start point in a process; however, in some circumstances it is possible to have multiple start points in a process.
	Document Input	This shape is used when a document is required as an input to successfully perform an activity. The information flow connector shows the direction of the information flow.
	Document Output	This shape is used when a document is produced as an output to an activity. The information flow connector shows the direction of the information flow.
	Annotation or comment	This shape is used to provide an explanation or comment.
	Process Flow	This shape is used to connect shapes, e.g. activity shapes, to show the main process flow.
	Off-page reference	This shape is used when a complex process has been split up across several pages. It is used to connect activity shapes that are located across several pages.
	Activity	This shape is used for activities. A process is essentially a number of linked activities.

Symbol	Definition	Description
	Decision and Decision Activity	<p>These two shapes are used for decisions. Please note that:-</p> <p>The diamond shape must not contain any text.</p> <p>All decision text must be added to the decision activity shape.</p> <p>The connectors from the diamond shape will contain the outcomes of the decision.</p>
	Process	This shape is used to link shapes to other processes.
	On page reference - Input	This shape is used to link activity shapes that are located on the same page but not in the same location. This is to avoid crossed process flow connector lines which can be difficult to read. The number is simply a reference. The connector arrow depicts the direction of process flow; an input.
	On page reference - Output	This shape is used to link activity shapes that are located on the same page but not in the same location. This is to avoid crossed process flow connector lines which can be difficult to read. The number is simply a reference. The connector arrow depicts the direction of process flow; an output.
	End Event	This shape is used to indicate the end of the process. Usually there is only one end point in a process; however, in some circumstances it is possible to have multiple end points in a process.