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TAXATION AND CUSTOMS UNION DG **ITSM** **SUBJECT:** **FQP - Annex 15: Change Management**		
FRAMEWORK CONTRACT # TAXUD/2007/CC/088		

Document History

Edi.	Rev.	Date	Description	Action (*)	Pages
0	01	06/07/2007	First Draft	I	All
0	02	05/10/2007	Further implementation	I/R	As req.
0	03	08/10/2007	Further implementation	I/R	As req.
0	04	15/10/2007	Draft delivered for information to DG TAXUD	I/R	As req.
0	05	31/10/2007	Draft delivered for information to DG TAXUD	I/R	As req.
0	06	30/11/2007	Further implementation + Implementation of comments received from DG TAXUD. Delivered for information to DG TAXUD	I/R	As req.
0	07	10/12/2007	Further updates	I/R	As req.
0	08	01/04/2008	Further updates	I/R	As req.
0	09	07/07/2008	Consolidation after intermediate deliveries of processes outside of the scope of the FQP document	I/R	As req.
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1	01-2	06/10/2009	First evolutive version	I/R	As req.
1	01-3	21/10/2009	Further updates	I/R	As req.
1	01-4	12/11/2009	Further updates	I/R	As req.
1	01-5	23/11/2009	Further updates	I/R	As req.
1	01-6	02/12/2009	Further updates	I/R	As req.
1	01-7	08/12/2009	Further updates	I/R	As req.
1	01-8	10/12/2009	Sent for information to DG TAXUD		
1	01-9	15/12/2010	Further update	I/R	As req.
1	02	01/02/2010	Delivered for review to DG TAXUD after internal QC	I/R	As req.

1	03	05/02/2010	Re-delivered for review to DG TAXUD after internal QC	I/R	As req.
1	04	22/03/2010	Delivered for acceptance to DG TAXUD	I/R	As req.

(*) Action: I = Insert R = Replace

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1.   Introduction

This document is an annex to the Framework Quality Plan, deliverable DLV 0.1.1 requested in Specific Contract 04 [A2] under Framework Contract (IT Service Management for DG Taxation and Customs Union) [A1], Work Package WP.0.1.

This document presents the Level 1, 2 and 3 of the ITSM process FQP - Annex 15: Change Management.

2.   Reference and Applicable Documents

This chapter presents two lists of relevant programme related documents. They are divided into reference and applicable documents.

2.1   Reference Documents

Id	Reference	Title	Date	Version
R1	ITS-IFQP-SC04-Framework Quality Plan	Framework Quality Plan	22/03/2010	1.04
R2	ITS-IFQP-SC04-Annex 9	ITSM Glossary	22/03/2010	1.13
R3	IITSM Internal procedures on CIRCA	XXX	N/A	N/A
R4	ITS-IFQP-SC04-Annex 13 Problem Management	Problem Management	22/03/2010	1.04
R5	QAC-EMCSChangeMan	EMCS Change Management Process	08/08/2009	1.13

Table 1 – Reference documents

2.2   Applicable Documents

An applicable document is a document which content is binding for a contractor no matter what is mentioned in this FQP.

Id	Reference	Title	Date	Version
A1	TAXUD/2007/CC/088	Framework Contract	04/05/2007	N/A
A2	TAXUD/2008/DE/114	Specific Contract 04	30/06/2008	N/A
A3	QAC-SC01-FQP_TEM	Framework Quality Plan Template	N/A	1.01

Table 2 – Applicable documents

3. Terminology

3.1 Abbreviations and Acronyms

A list of the abbreviations and acronyms used in the context of the ITSM Programme, and more specifically for this document is provided in Annex 9 ITSM Glossary [R2].

3.2 Interface with DG TAXUD

Where there is a non-specific reference to DG TAXUD, Directorate Generale Taxation and Customs Union DG or other similar descriptions, it means that the interface can be with any one of the following business threads of DG TAXUD:

- DG TAXUD A4/CPT;

- DG TAXUD A4/ISD;

- DG TAXUD A4/APM;

- DG TAXUD A3/TAX;

- DG TAXUD A3/EXC;

- DG TAXUD A3/CUST;

- DG TAXUD A3/LISO.

Where it is intended that a reference is to a specific business thread, one of the business threads above shall be stated.

4. ITSM Process model

4.1 Level 0: Process flows
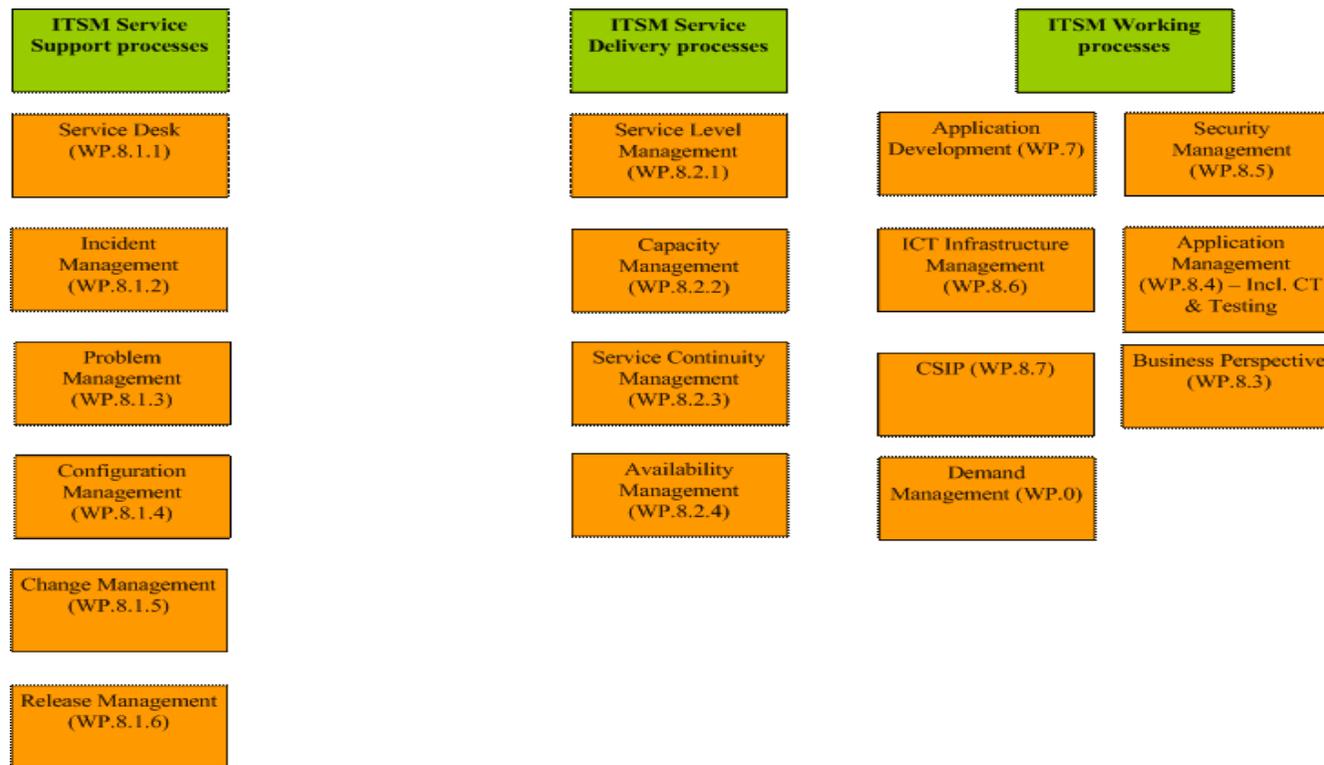
Figure 4-1: ITSM Process Model

4.2   Level 1: Change Management

The goal of Change Management is to ensure that standardised methods and procedures are used for efficient handling of all changes, in order to minimise the impact of change-related incidents and to improve day-to-day operations.
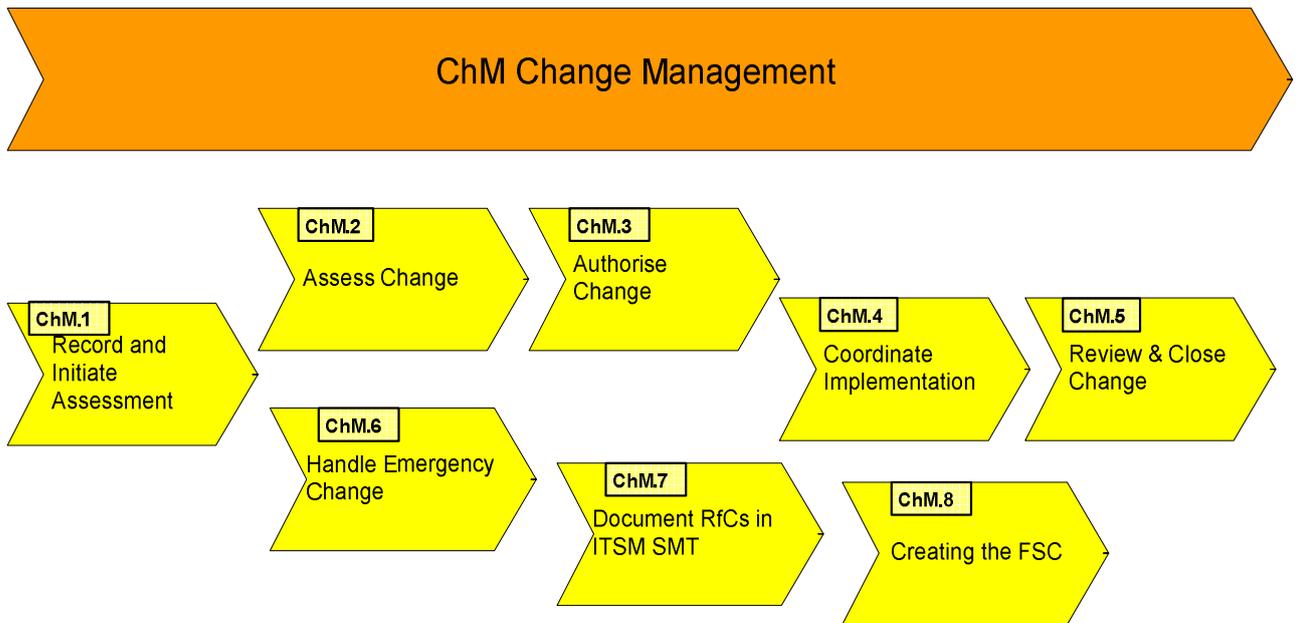
Figure 4-2: ChM Change Management sub-processes

4.3　Level 2: Change Management

ChM.1 Record and Initiate Assessment
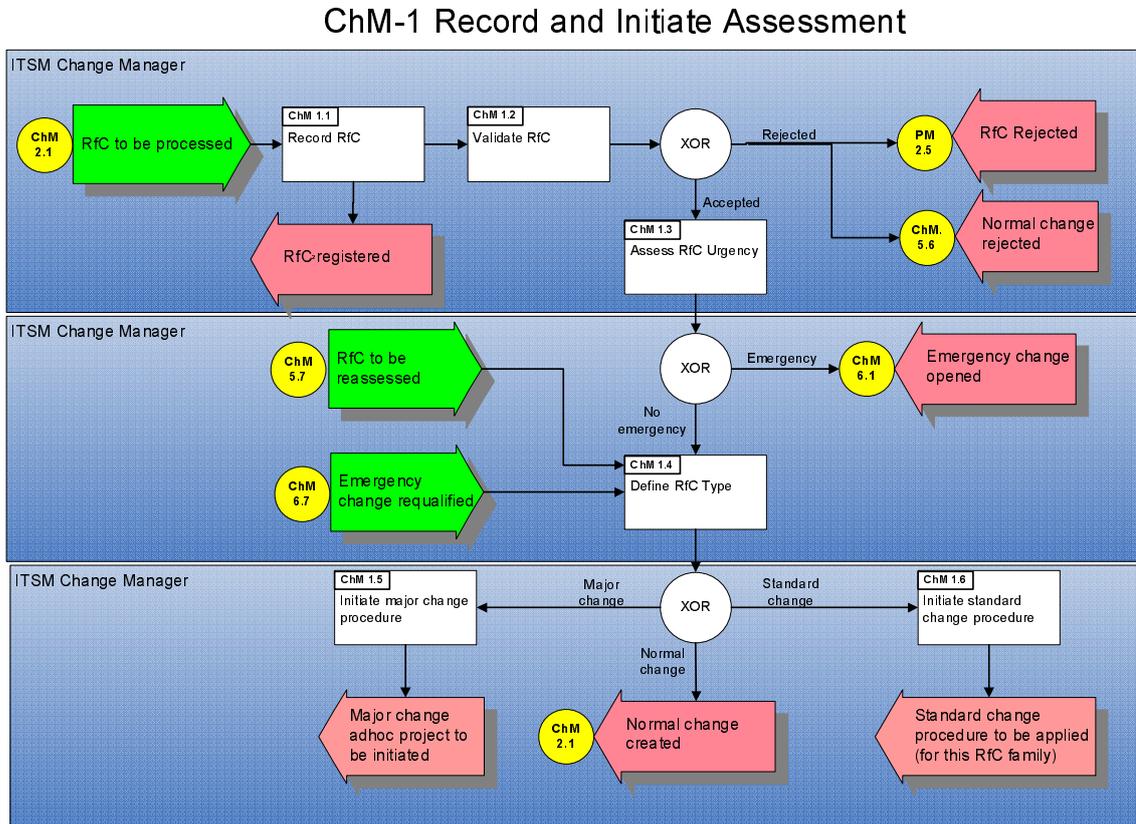
Figure 4-3: ChM.1 Record and Initiate Assessment
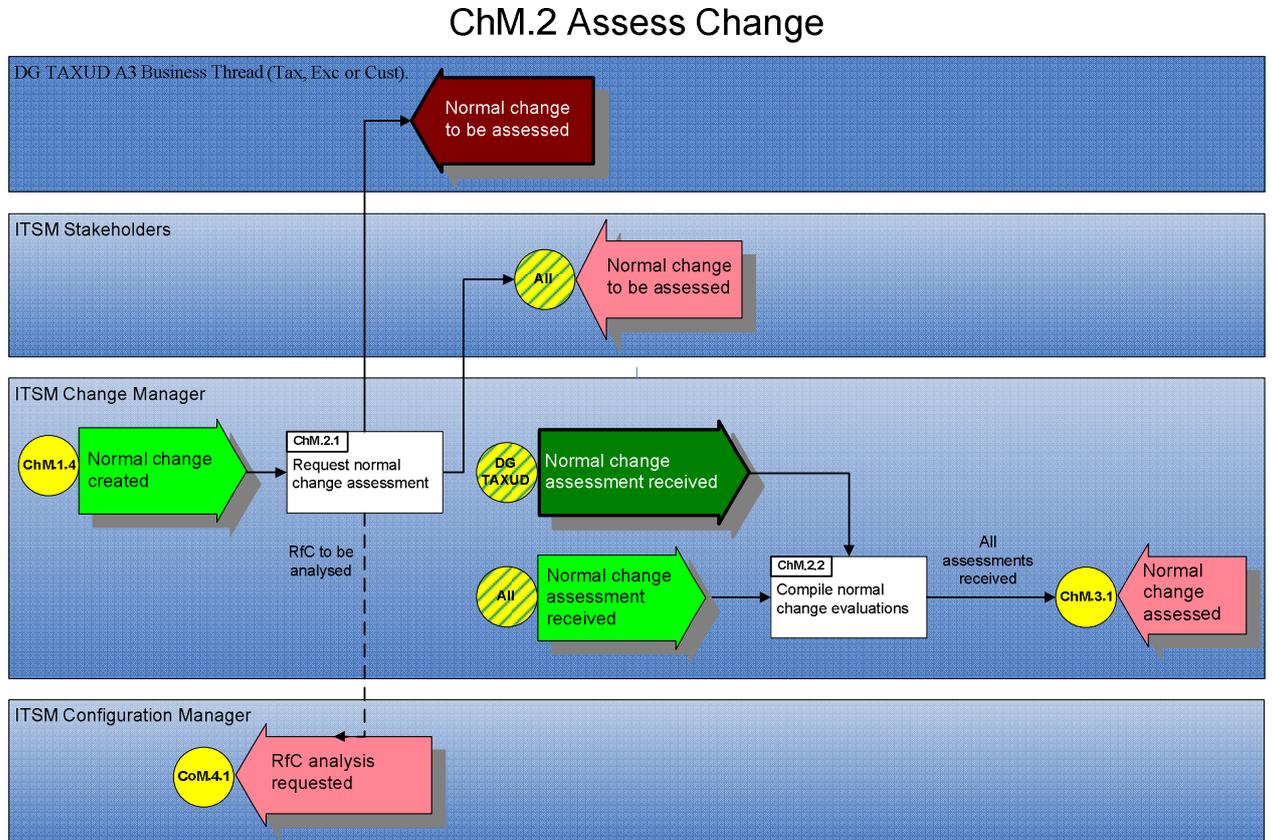
ChM.2 Assess Change

Figure 4-4: ChM.2 Assess Change

ChM.3 Authorise Change
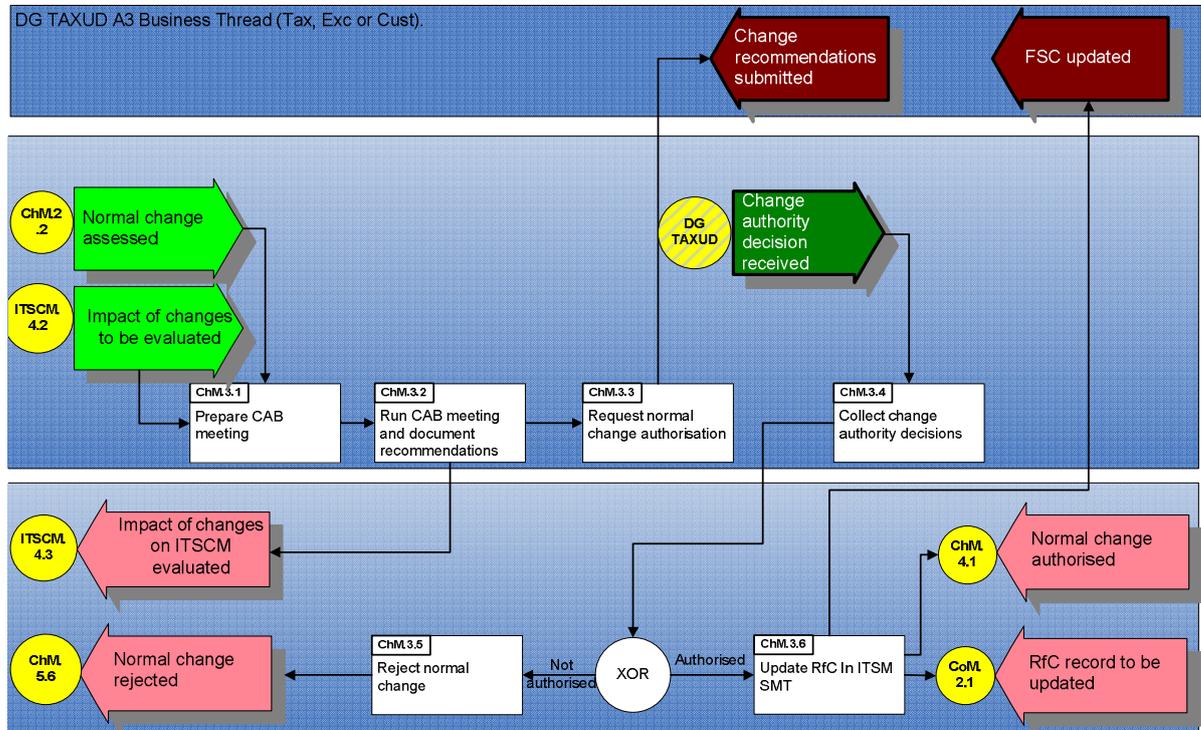
Figure 4-5: ChM.3 Authorise Change

ChM.4 Coordinate Implementation
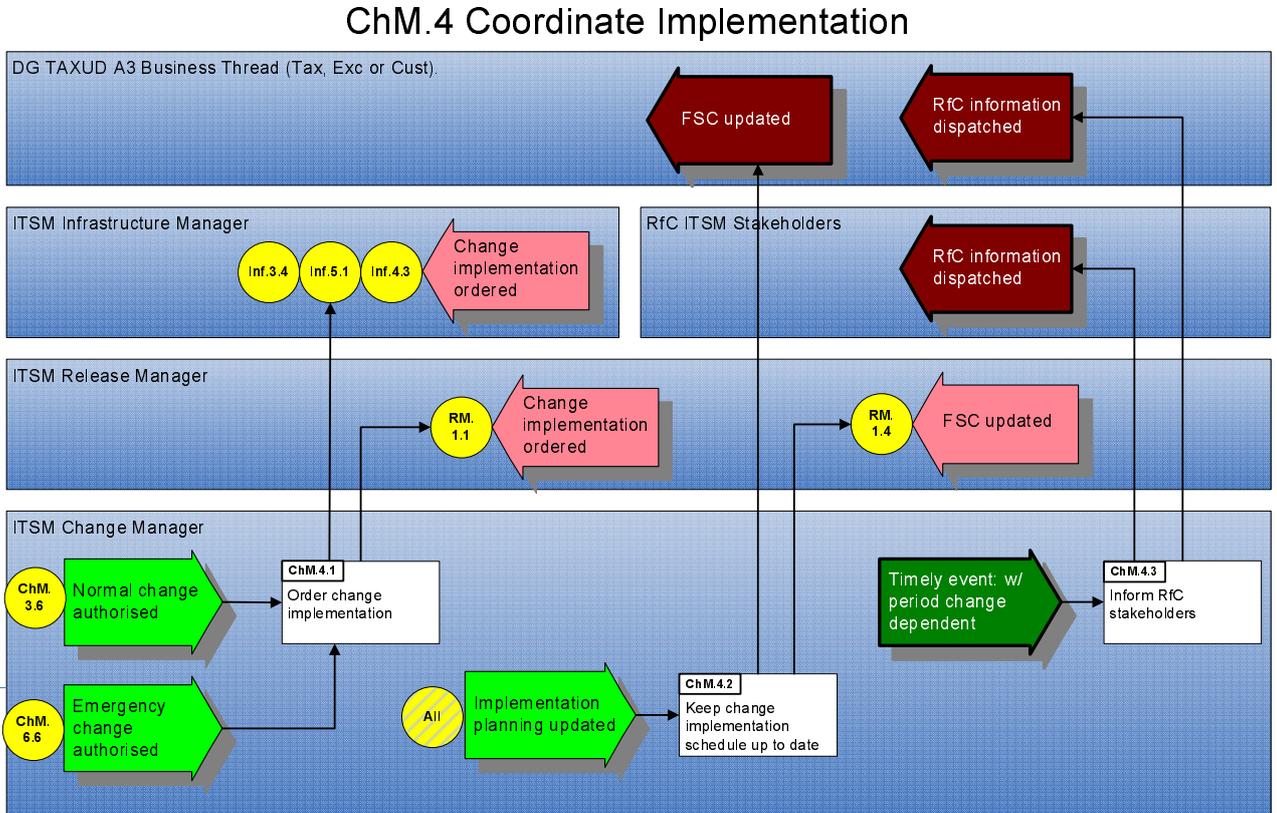
Figure 4-6: ChM.4 Coordinate Implementation

ChM.5 Review & Close Change
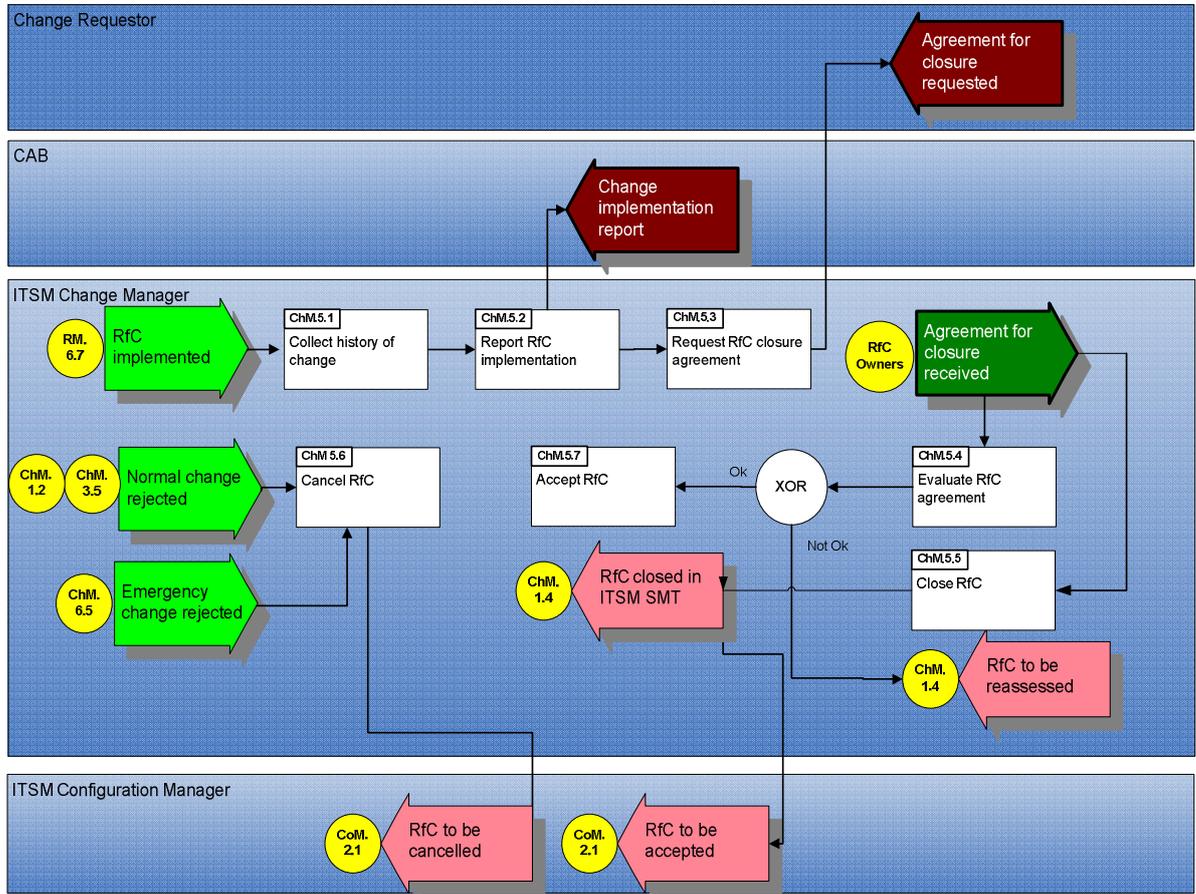
Figure 4-7: ChM.5 Review & Close Change

ChM.6 Handle Emergency Change
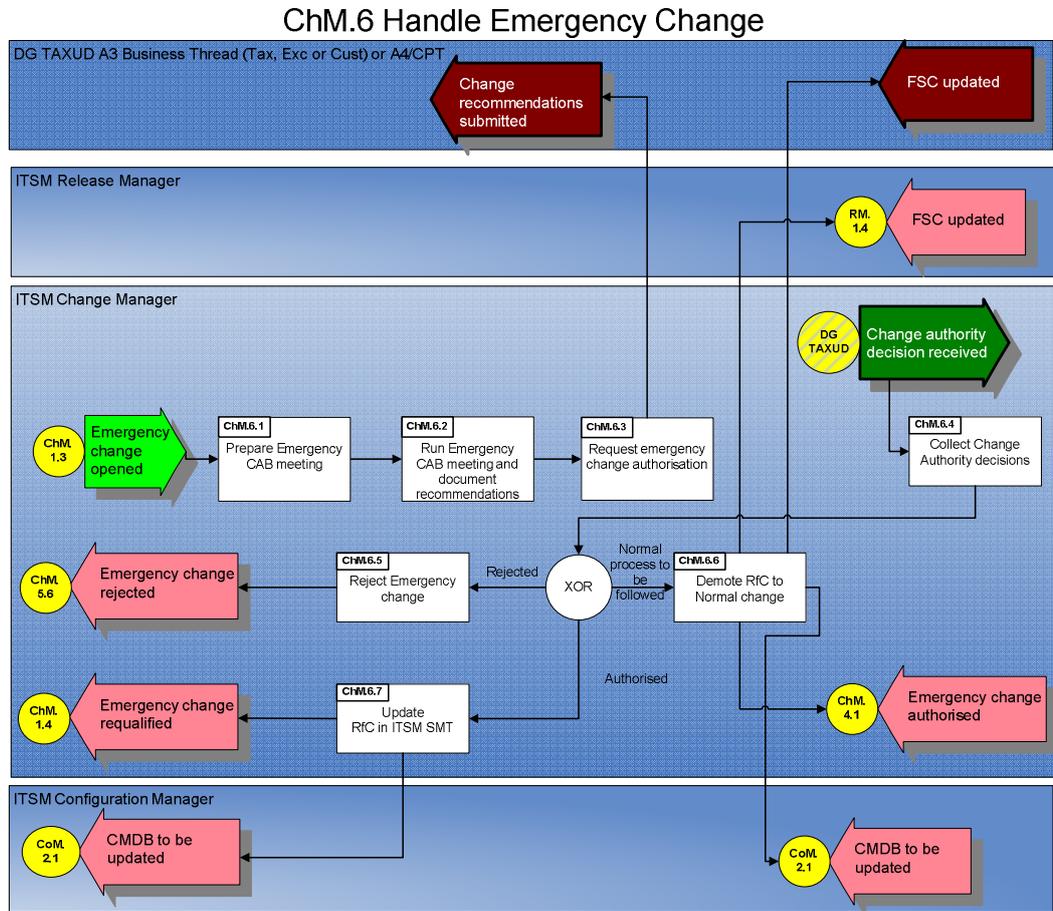
Figure 4-8: ChM.6 Handle Emergency Change

ChM.7 Document RfCs in ITSM SMT
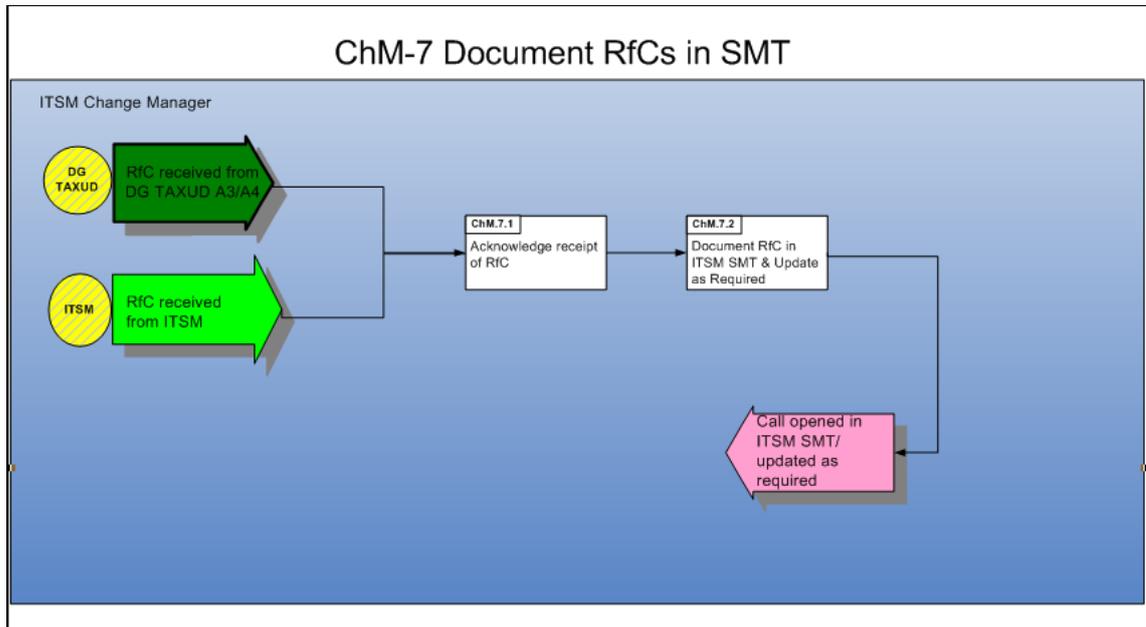
Figure 4-9: ChM.7 Document RFCs in ITSM SMT
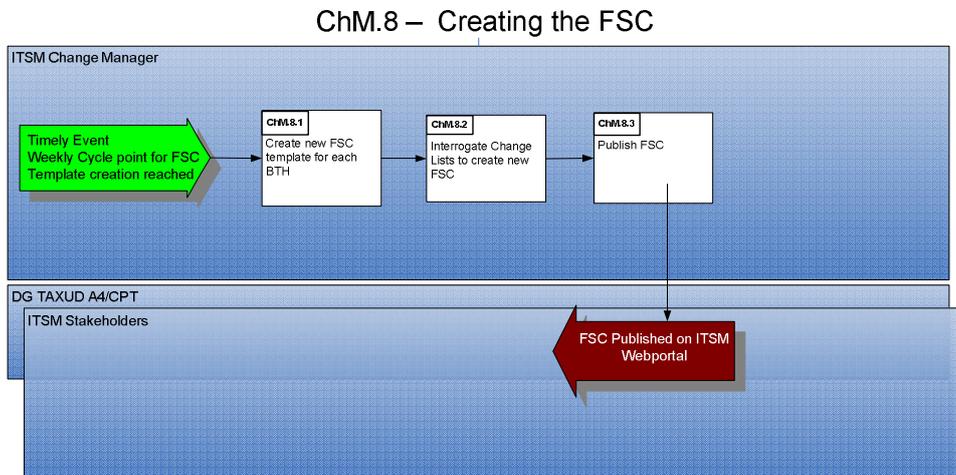
ChM.8 Create FSC

Figure 4-10: ChM.8 Creating the FSC

RACI Table for ChM

Activity	ITSM Change Manager	ITSM Change Advisory Board	ITSM Change Authority	ITSM Configuration Manager	ITSM Release Manager	ITSM Service Desk	ITSM Problem Management	ITSM Capacity Management (ITSM Infra)	ITSM Application Manager	ITSM Security Manager	CI Owner	RfC Originator	ITSM Business Perspective	DG TAXUD A4/CPT	DG TAXUD A4/ISD	DG TAXUD A4/APM	DG TAXUD A3/Tax	DG TAXUD A3/Exc	DG TAXUD A3/Cust	DG TAXUD A3/LISO	3rd Party Developers
ChM.1.1 Record RfC	A					R						I									
ChM.1.2 Validate RfC	AR											C									
ChM.1.3 Assess RfC urgency	AR			C																	
ChM.1.4 Define RfC type	AR			I								I	C	C	C	C	C	C	C	C	
ChM.1.5 Initiate major change procedure	AR						C	C				I									
ChM.1.6 Initiate standard change procedure	A					R						I									
ChM.2.1 Request normal change assessment	AR						C	C	C	C	C		C	C	C	C	C	C	C	C	
ChM.2.2 Compile normal change evaluations	AR			I																	

Activity																					
ChM.3.1 Prepare CAB meeting	AR	I			I	I	I	I	I	I	I	I	I	I	I	I	I	I	I	I	I
ChM.3.2 Run CAB meeting and document recommendations	AR	C			C	C	C	C	C	C	C		C								
ChM.3.3 Request normal change authorisation	AR		C											CI	CI	CI	CI	CI	CI	CI	CI
ChM.3.4 Collect change authority decision	AR		C											CI	CI	CI	CI	CI	CI	CI	CI
ChM.3.5 Reject normal change	R		A										I	CI	CI	CI	CI	CI	CI	CI	CI
ChM.3.6 Update RfC in ITSM	AR			C										CI	CI	CI	CI	CI	CI	CI	CI
ChM.4.1 Order change implementation	AR			I	I									CI	CI	CI	CI	CI	CI	CI	CI
ChM 4.2 Keep Change Implementation Schedule Up-to-date	AR																				
ChM.4.3 Inform RfC stakeholders	AR	I	I	I	I	I	I	I	I	I	I	I	I	I	I	I	I	I	I	I	I
ChM.5.1 Collect history of change	AR			RC																	
ChM.5.2 Report RfC implementation	AR			C									I								
ChM.5.3 Request RfC closure agreement	AR	I											C	C	C	C	C	C	C	C	C
ChM.5.4 Evaluate RfC agreement	AR	I																			
ChM.5.5 Close RfC	AR												I	CI	CI	CI	CI	CI	CI	CI	CI
ChM.5.6 Cancel RfC	AR	I	I										I	CI	CI	CI	CI	CI	CI	CI	CI
ChM 5.7 Accept RfC	AR	I	I										I	CI	CI	CI	CI	CI	CI	CI	CI
ChM.6.1 Prepare emergency CAB meeting	AR	C											I	I	I	I	I	I	I	I	I
ChM.6.2 Run emergency CAB meeting and document recommendations	AR	C	I																		
ChM.6.3 Request emergency change authorisation	AR	I	C											CI	CI	CI	CI	CI	CI	CI	CI
ChM.6.4 Collect change authority decision	AR		C	I										CI	CI	CI	CI	CI	CI	CI	CI
ChM.6.5 Reject emergency change	R		A										I	CI	CI	CI	CI	CI	CI	CI	CI
ChM.6.6 Demote RfC to normal change	AR	I	I		I	I	I	I	I	I	I	I	I	CI	CI	CI	CI	CI	CI	CI	CI
ChM.6.7 Update RfC in ITSM SMT	AR			C																	

ChM.7.1 Acknowledge receipt of RfC	AR	I	I		I	I	I	I	I	I	I	I											
ChM.7.2 Document RfCs in the ITSM SMT & Update as Required	AR	I	I		I	I	I	I	I	I	I	I											
ChM.8.1 Create new FSC for each BTH	AR	I	I		I	I	I	I	I	I	I	I											
ChM.8.2 Interrogate Change Lists to create new FSC	AR	I	I		I	I	I	I	I	I	I	I											
ChM.8.3 Publish FSC	AR	I	I		I	I	I	I	I	I	I	I	I	I	I	I	I	I	I	I		

Table 4-1: ChM RACI Table

Communication interfaces with DG TAXUD

Interface description communication with DG TAXUD	Direction	Format
ChM.2 Assess Change		
Request for assessment of impact, risk and required resources	Outgoing	e-mail
Normal change assessment received	Incoming	e-mail, text document, RfC Excel template
ChM.3 Authorise Change		
Change recommendations submitted	Outgoing	e-mail
Update FSC	Outgoing	db record in ITSM SMT
Change authority decision received	Incoming	e-mail
ChM.4 Coordinate Implementation		
Orders ITSM build	Outgoing	e-mail
FSC updated	Outgoing	e-mail, FSC Excel spreadsheet
RfC information dispatched (DLV.10.29.x-DLV.10.31.x-DLV.10.31.x for Excise)	Outgoing	e-mail
ChM.5 Review & Close Change		
Agreement for closure requested	Outgoing	e-mail, ITSM SMT
Change implementation report	Outgoing	e-mail, CIRCA
Agreement closure received	Incoming	e-mail, ITSM SMT
ChM.6 Handle Emergency Change		
Change recommendations submitted	Outgoing	e-mail
FSC updated	Outgoing	db record in ITSM SMT
Change authority decision received	Incoming	e-mail
ChM.7 Document RfC in ITSM SMT		
RfC received from DG TAXUD A3/A4	Incoming	e-mail
ChM.8 Creating the FSC		
FSC Published on ITSM Portal	Outgoing	ITSM Portal

Table 4-2: ChM Communication interfaces with DG TAXUD

4.4   Level 3: Change Management

Procedure	
ChM.1.1 Record RfC	**<u>ChM.1 Record and Validate Change</u>** **ChM.1.1 Record RfC** A change request can be raised by any DG TAXUD Business Thread (DG TAXUD A3/Tax, Exc or Cust), NAs or ITSM (ITSM Problem Manager, Business Perspective Manager, Testing Manager, ITSM Application Manager, ITSM Capacity Manager, etc). The change originator is asked to forward his/her request via an RfC template, which is an Excel spreadsheet containing mandatory and optional fields of information. The RfC template is a document that follows the change request through its life cycle and collects all the information that is retrieved throughout the change process. The RfC template and related documents are made available on the ITSM Portal. The following information is tracked: (m) = mandatory information Section A: Information about Change (provided by the Change Originator): • Request date (m); • First name of issuer (m); • Last name of issuer (m); • E-mail address of issuer (m); • Incident number; • Problem number; • Change Name (m); • Configuration item (m); • Description of change (m); • Justification of change (m); • Alternatives; • Nature of change (m); • Preferred implementation. Section B: Registration and Classification (provided by the ITSM Change Manager):

- Registration date (m);

- RfC # (m);

- Received by (m);

- Other CIs affected (m);

- Other RfCs affected (m);

- Impact level (m);

- Urgency level (m);

- Priority level (m);

- Change Procedure (m);

- External Change (m);

- Acceptance Date (m);

- Change Notes.

Section C: Evaluation summary (compiled by the ITSM Change Manager from the contributions of CI Owner, Developer, Application, Capacity, Security and ITSM Business Perspective Manager):

- Evaluation Date (m);

- Impact Analysis (m);

- Risk assessment of change (m);

- Risk assessment of no change (m);

- Evaluation Notes (m).

Section D: Final recommendation (compiled by the ITSM Change Manager from the result of the CAB);

- Date of CAB Decision (m);

- CAB Recommendation (m);

- Motivation of CAB Proposal (m);

- Release type (m);

- Release number (m);

- Build delivery date (m);

- Change implementation date (m).

Section E: Release Information (provided by the ITSM Release Manager):

- Scheduled testing;

- Scheduled release date;

- Actual implementation date/time;

- Location of release/implementation plan;

- Location of back-out plan;

- Name of change builder/implementer;

- Release notes.

Section F: Change Review (compiled by the ITSM Change Manager from the results of the CAB discussion);

- Review date;

- Review summary.

The ITSM Change Manager may receive the RfC via e-mail, phone or meeting. In the latter case, the ITSM Change Manager forwards the RfC template to the change originator. If the change originator does return the change request template, the ITSM Change Manager will record the RfC by opening a call in the ITSM SMT. The following information is entered on call level:

- The Business Thread that raised the RfC;

- The incident category is set to ITSM SD.Change Request;

- The related Configuration Item is selected from a drop down list;

- The name field of the incident follows the following naming convention:

- The first part of the text string references the Business Thread;

  o The second part indicates the RfC number;

  o The third part displays the RfC label;

  o The fourth part references the linked incident number if the cause of the RfC is an incident;

  o The fifth part indicates the linked problem number if the cause of the RfC is a problem;

- The field 'Final solution' contains the description of the RfC.

During the life cycle of the RfC, the ITSM Change Manager will create 5 incident steps to track the status of the RfC.

In the first incident step the Change Originator is informed that his/her RfC is registered. The ITSM Change Manager attaches an RfC Excel template containing the RfC number, the information provided by the Change Originator and the evaluation of the ITSM Change Manager.

The second incident step contains the impact assessment while the third incident step contains the recommendation of the CAB

meeting. The ITSM Change Manager attaches the updated RfC Excel template.

The fourth incident step holds Post Implementation Review (PIR) report.

In the fifth incident step the Change Originator is asked if he/she is satisfied with the implementation of the RfC and whether the RfC can be closed.

The Member States that wish to discuss a particular RfC of the Excise Business Thread, may request to open an online discussion on the ITSM Portal.

ChM.1.2

Validate RfC

ChM.1.2 Validate RfC

The ITSM Change Manager checks the RfC to see if the submitted change request meets the minimum criteria for further processing. The ITSM Change Manager checks if:

- The request is complete (e.g. the change originator did not forget to provide information concerning reason, solution or budget);

- The RfC is not a duplicate of an already accepted or rejected request;

- The request is not impractical or unrealistic.

If the change request misses one or more of the above criteria, it is rejected. The DG TAXUD Business Thread related to the change must approve rejection and the change originator is asked to correct or to withdraw his/her request. This triggers step ChM.5.6 Cancel RfC and/or PM.2.5 Park Problem (Status "Wait for SOL") [R4].

ChM.1.3

Assess RfC Priority

ChM.1.3 Assess RfC Priority

The ITSM Change Manager in conjunction with the Change Authority or the Business Thread, decides if the RfC is urgent. The urgency rules are based on time of implementation.

The following levels can be distinguished:

- Critical: there are mainly 2 criteria to distinguish critical RfCs:
  o The first criterion relates to change requests that arise from errors that significantly impair system function and business operations and increase the system's vulnerability, or both;
  o The second criterion is the preferred implementation time requested by the change originator, which may make it not feasible to assess the change in the periodic CAB meetings. The reason for a short implementation

schedule does not come from an error or problem but from an urgent business need.

- High: There is an event in the near future (maximum 4 weeks) that will have a severe impact on business service;

- Medium: The Change Originator seeks a solution within the next 3 months;

- Low: The implementation of the RfC is not specified;

If the change request meets the urgent change criteria the urgency level is set to 'critical' and the ITSM Change Manager triggers the emergency change process (see step ChM.6 Handle Emergency Change). In this case, the priority level is solely set by the urgency of the change.

In the next step, the ITSM Change Manager assesses the impact level of the RfC. Impact measures how critical a change is for the business. A good measure is the number of people or critical systems affected by the change. The ITSM Change Manager retrieves this information from the CMDB and, if it is not available yet, he/she contacts the CI owner, Capacity or Application Management. The following impact levels are classified:

- High: This level has the greatest risk of failure, creates the greatest exposure to the business in the event of failure, or has no possible roll-back option. A change of this complexity typically requires extensive planning, coordination, and communication, in addition to a detailed installation plan and recovery procedure;

- Medium: This level has a medium risk of failure. A change of this complexity typically requires significant planning, coordination, and communication, in addition to a coordinated installation and recovery procedure;

- Low: This level has low risk of failure. A change of this complexity typically requires a limited degree of planning, coordination, and communication effort;

- No impact: This level implies minimal risk of failure. Change installation requires no planning, coordination and communication effort outside the requesting party.

Having the information on the urgency and impact of the change, the ITSM Change Manager assigns a priority level, which is derived from the table below. The highest priority is set to 0 and the lowest to 4.

Priority		Impact			
		High	Medium	Low	No Impact
Urgency	Critical	0	0	0	0

High	1	2	3	4
Medium	2	3	4	4
Low	3	4	4	4

Afterwards, the ITSM Change Manager assigns the nature or reason for change. The following categories are distinguished :

- Adaptive changes require the adapting of software to changes in the environment;

- Corrective changes deal with repairs of faults or defects;

- Evolutive changes are new or changed user requirements;

- Preventive changes increase the system maintainability.

The ITSM Change Manager logs the information of the classification process in the RfC. For a detailed list of registered attributes see ChM 1.1 Record RfC and section B of the RfC template.

ChM.1.4

Define RfC Type

ChM.1.4 Define RfC Type

The ITSM Change Manager evaluates if the RfC is a major change, a standard change or a normal change:

- An RfC is a major change if it is:

    o Very complex as it provokes changes to a lot of dependent CIs; and/or

    o Requires the coordination between several Business Threads; or

    o Very risky i.e. has a high impact on the continuity of the business service.

    Note: Sometimes it might be necessary to implement a change though there is not enough time to run all tests but business requirements might require going for the change.

    In these cases the ITSM Change Manager initiates the major change procedure (see step ChM 1.5 Initiate major change procedure). The change request is handled as a project with its own project plan and Project Manager, which coordinates the change implementation.

- A standard change request concerns changes that are common and repetitive. The changes follow the same pattern and are handled by a well established procedure like the request to add, change or delete a user account.

- If the RfC does not meet the criteria for a major or standard change, it is considered by default as a normal change. A

normal change is not repeated regularly and is not too complex. A normal change must follow the complete change management process.

The ITSM Change Manager updates the RfC and sets the type of the change process accordingly to major, standard or normal.

The ITSM Change Manager will consult the Configuration Manager to retrieve the available information about a CI and its dependencies. This information will be forwarded to the CI owner of ITSM (in general the AM Application Family Manager) to confirm the information and the relations to other CIs. He/she will revise the information if necessary and sends it back with his impact analysis to the ITSM Change Manager. If the CMDB information needs to be updated the ITSM Change Manager will inform the ITSM Configuration Manager accordingly.

ChM.1.5
Initiate major change procedure

ChM.1.5 Initiate major change procedure

If a major change is identified, the ITSM Change Manager asks ITSM Infrastructure or ITSM Application Manager to assign a Project Manager to coordinate the major change request. Application Management provides the Project Manager for all applications of DG TAXUD's Business Threads, while ITSM Infrastructure allocates a Project Manager for all major ITSM hardware and software changes.

The ITSM Change Manager still manages the authorisations, review and closure of the subordinate changes and controls the adherence to the Change Management procedure in general. Often, the authorisations are granted at a higher level than the CAB (DG TAXUD executive management).

Notes: So far the ITSM Change Manager has had no occasion to execute the major change procedure.

ChM.1.6
Initiate standard change procedure

ChM.1.6 Initiate standard change procedure

The ITSM Change Manager is notified about a standard change. Standard changes have to be monitored and audited regularly. For example, uncontrolled changes to the test or production environment could be tracked via the release list of the ITSM Release Manager as each release should trigger a change request. The authorisation is delegated in a formal decision from the Change Authority to the owner of the procedure. The CAB (see ChM.3.1 Prepare CAB meeting for the list of CAB members for more details) reviews periodically (quarterly) the standard change procedures to verify if these are working as expected. The ITSM Change Manager will document unreported standard changes and report to the CAB, which will take appropriate action. He/she can use the release

list and the regular CMDB consistency checks of the Configuration Manager to track these unauthorised changes.

Notes: Currently there is only one standard change procedure implemented for opening, changing and deleting user accounts. This procedure is executed by the Service Desk, which also maintains the account request forms.

Changes to the testing and production environment are candidates for standard[1] changes as these are repetitive and follow a common path. These are not yet handled always the same way. Therefore these non-standard changes will be treated currently as normal changes. Once the process is more common, standard procedures are created depending on the environment (test or production) and physical location (DIGIT or ITSM).

ChM.2 Evaluate Change

ChM.2.1

Request normal change assessment

ChM.2.1 Request normal change assessment

At this stage, the ITSM Change Manager asks via e-mail all stakeholders concerned by the change to send him/her detailed information on the impact, risk and required resources. The second impact assessment will verify the information about the CI relationships that the ITSM Change Manager requests from the Configuration Manager (CoM.4.0 Report on CIs). In most cases the ITSM Change Manager forwards his/her request via e-mail and asks to fill in the appropriate fields of the RfC Excel template, which serves as a kind of change life-cycle document. This allows the stakeholder to review the current status and the collected information.

The following stakeholders are addressed:

- CI Owner, Application Management and Change Builder: Technical feasibility of change that is whether or not a reliable hardware and software, technical resources capable of meeting the needs of the change request can be acquired or developed in the required time;

- Business Perspective and Change Builder: Economic feasibility (costs and benefits) of the change i.e. the expected effort and workload required to implement and the advantages (e.g. cost savings, increased revenue) gained by implementing the change;

  Note: Costs are calculated on the basis of required resources in terms of man days and material. To its full extent it is only done for applications developed by ITSM: ITSM SMT and the ITSM Portal. DG TAXUD applications

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[1] Standard changes: following a pre-defined process = security patches, Cots upgrades …

are judged on effort basis.

- CI Owner, ITSM Capacity Manager and ITSM Application Manager: Impact analysis of the change i.e. an assessment of the extent of the change;

- ITSM Security Manager: Risk and security analysis i.e. a possible disruption of the service, connectivity issues, user access, impact on Security Convention etc;

- ITSM Application Manager and Development Team: Planning of the change i.e. taking into account possible timing constraints and set preliminary build, test and implementation dates for the change;

- DG TAXUD: the client of ITSM, which owns all CIs related to the Trans-European System. In addition, it controls the development of the ITSM Tools and the ITSM infrastructure;

- ITSM SD: The ITSM Service Desk to assist in communication.

ChM.2.2 Compile normal change evaluations

ChM.2.2

Compile normal
change evaluations

The ITSM Change Manager compiles a summary report of the evaluations sent by the various stakeholders of the RfC before the CAB meeting. Stakeholders may ask the ITSM Change Manager for complementary information to proceed with their assessment. The stakeholders will notify the ITSM Change Manager if they support the change from their field of knowledge. If critical[2] stakeholders (like ITSM AM/INFRA, DIGIT, CCN) do not send their evaluations, the ITSM Change manager sends out a reminder. All changes with incomplete evaluations will not be presented to the CAB until complete.

The assessment is documented with the change request in the RfC. The ITSM Change Manager, through the ITSM Configuration Manager, then updates the CMDB and set the status of the change request to 'Approved' in the RfC.

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[2] All stakeholders are potentially critical, however more critical are CI-owner, ITSM AM/INFRA, DIGIT, CCN.

ChM.3 Authorise Change[3]

ChM.3.1

Prepare CAB
meeting

ChM.3.1 Prepare CAB meeting

The CAB meetings for normal changes are organised periodically. The ITSM CAB is held every Tuesday morning via a phone conference. The EMCS CAB[4] is run on a monthly basis and, in general, is organised before a SAPS meeting.

The CAB meetings can be run face-to-face or via phone conference depending on the risks and the complexity of a given RfC.

The ITSM Change Manager schedules the CAB meeting and arranges for the meeting room or the phone conference. The ITSM Change Manager prepares and issues the agenda of the CAB meeting 5 days before the meeting. The agenda is subject to a formal review cycle and provides the location and date of the meeting or the date of the phone conference and a link to the folder (placed on the new ITSM Portal tool) where the meeting documentation is available. The meeting documentation consists of:

- The RfC change lists with the open changes to be discussed;

- The minutes of the last meeting containing the last review of the RfC, as well as an action list;

- The Forward Schedule of Change.

The ITSM Change Manager highlights the RfCs that will be discussed and references the relevant documents that were received during the assessment period (see step ChM 2.2 Compile normal change evaluations). He/she also addresses all open actions from the last meeting and if necessary reminds the action owners to provide the requested deliverables.

The standard CAB members are:

- ITSM Change Manager;

- ITSM Release Manager;

- ITSM Application Manager or Infrastructure Manager (upon explicit request by DG TAXUD A4/CPT);

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[3] Unauthorised changes can be tracked mainly using three sources of information:

- The release plan for all operational changes to environment
- The release notes for all functional changes
- Regular audits of the Configuration Manager

[4] Please see EMCS Change Management procedure for details on the Excise Change Management [R5].

- Representative of DG TAXUD Business Thread (A3) and CPT (A4);

- X/Dev or ITSM Infra Development Manager;

- Service Desk;

- The Quality contractor.

The ITSM Change Manager invites additional experts when advice is required on specific aspects of a change request (e.g. ITSM Security Manager, System Owner, etc.). The CAB/Emergency Committee members are in most cases the same as those of the CAB.

ChM.3.2 Run CAB meeting and document recommendations

ChM.3.2

Run CAB meeting and document recommendations

The ITSM Change Manager chairs the CAB and presents the results of the change assessment (step ChM.2.2) to the board members. He/she reviews the RfC with the CAB members and asks their consent. In general, the CAB:

- Reviews all outstanding RfCs;

- Reviews and confirms the preliminary priority status of the change;

- Reviews the impact, cost and resource assessment;

- Concludes a recommendation for the Change Authority whether to authorise or to reject the change;

- Discusses the planning and proposes preliminary schedules for change building, testing, deployment and training;

- Decides which RfCs will be bundled into a release;

- Reviews the Post Implementation Report (PIR), which is an internal document and will be send for Information (SfI) to DG TAXUD A4/CPT.

In general, the CAB seeks to attain decisions with mutual consent. In all cases, the CAB is not the Change Authority, it only expresses a recommendation and does not grant authorisation. However, the Change Autority can delegate the decision making to the CAB.The role of Change Authority differs depending on the business thread or type of RfC. The adoption or rejection of CAB recommendations is given by the Change Authority, which differs depending on the Business Thread or type of RfC.

The ITSM Change Manager takes note of discussions and the decisions and produces minutes of the CAB meeting, which are subject to a formal review cycle. He/she logs the following

information in the RfC:

- Updated priority status if necessary;

- Impact, cost and resource information;

- Proposed release number;

- Proposed date of implementation;

- Preliminary date of build delivery and testing.

The ITSM Change Manager produces updated change lists, which are annexed to the minutes of the CAB. Minutes and change lists are subject to a formal review cycle.

Once the documents have passed the review, they are published on the new ITSM Portal tool, the ITSM single source of reference for all change related documents. The actions concluded during the meeting are registered in the ITSM Action tracking tool (JIRA) and published in an Excel worksheet on the new ITSM Portal tool. The change lists of the Excise Business Thread are also published on the ITSM Portal for all internal RfCs and on the website of Excise CIRCA interest group for all external RfCs. According to the frequency of the meetings the ITSM change lists are published weekly and the Excise change lists monthly.

ChM.3.3 Request normal change authorisation

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ChM.3.3

Request normal
change authorisation
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The authorisation bodies of CAB recommendations, as described hereafter, vary according to the Business Thread and/or the type of RfCs; the ITSM Change Manager is notified via e-mail.

The DG TAXUD Business Threads distinguish between internal and external RfCs for the authorisation procedure.

External RfCs concern all change requests that affect applications of the MSA or the National Domain. In that case, a committee of MSA representatives and DG TAXUD decide on the proposals of the CAB. The ITSM Change Manager is not part of the decision process. For Excise change requests, this is the ECWP and the Excise Committee.

Thus there are three bodies involved in the decision process for external change requests. The CAB prepares a detailed proposal, which is documented by the ITSM Change Manager. The ITSM Change Manager publishes the change lists of the external RfCs and the recommendation of the CAB on CIRCA. The Business Thread of DG TAXUD will notify the MSA via the Service Desk about the new proposal. The publication and notification initiates a 15 calendar days objection period, in which the MSAs have the opportunity to tacitly accept the change or send their remarks for rejection to DG TAXUD. In particular, the MSAs have to give their consent to the proposed

schedule of implementation; they can raise an objection related to external RfCs by sending an e-mail to the Excise CPT members at DG TAXUD-EMCS@ec.europa.eu.

If the MSAs do not send any comment, the RfCs of the proposed release are formally authorised by the DG TAXUD Business Thread via e-mail to the ITSM Change Manager.

In case an objection is raised for one or more RfCs, the ITSM Change Manager sets the status of these change requests to 'frozen'. These RfCs and the recommendation of the CAB are subject to discussion in the following Committee Working Party (CWP) with the MSA. Each Business Thread of DG TAXUD has its own CWP.

The DG TAXUD Business Thread records the recommendation of the CWP in the minutes of the meeting, which are then published on CIRCA. Thereafter, DG TAXUD requests the final authorisation of the change request via a written procedure to a Committee of the MSAs - the Excise committee in case of the Excise CWP, which often meets directly after the meeting of the CWP.

If the CWP fails to come to an agreement on the remarks of the objection period or in case more information is required, the objected RfCs are sent back to the CAB for another assessment. If necessary, the CAB revises its original recommendation. The ITSM Change Manager then publishes the modified recommendation on CIRCA. Without initiating another objection period, DG TAXUD presents the proposal to the next CWP meeting. If the CWP still cannot come to an agreement, the recommendation of the CAB is forwarded to the Committee of the MSA via a written procedure to take the final decision. The ITSM Change Manager is notified by DG TAXUD via e-mail about the authorisation or rejection.

Corrective changes relate to the applications of the Common Domain and have no impact outside of this. If so, DG TAXUD Business Thread (A3) and CPT (A4) will grant the final authorisation. As both are part of the CAB, their authorisation is formally recorded in the minutes of the CAB meeting.

ChM.3.4 Collect change authority decisions

ChM.3.4

Collect change authority decisions

The ITSM Change Manager logs the decision of the Change Authority (DG TAXUD) to authorise or reject a change in the minutes of the CAB meeting and the change request.

If the normal change request is rejected, the ITSM Change Manager proceeds with step ChM 3.5 – Reject normal change.

If the change request is authorised, the ITSM Change Manager carries on with step ChM 3.6 – Update RfC in ITSM SMT.

ChM.3.5 Reject normal change

ChM.3.5
Reject normal change

The ITSM Change Manager updates the change record of the RfC with the reason and the date of rejection. He/she sets the status of the RfC to 'Rejected' in the RfC and updates the FSC if a provisional implementation date was already recorded for planning reasons. The next step is ChM 5.6 – Cancel RfC.

For the Excise Business Thread, the ITSM Change Manager publishes the ECWP position on CIRCA.

ChM.3.6 Update RfC in ITSM SMT

ChM.3.6
Update RfC database

The ITSM Change Manager updates the RfC with the following information:

• The modification of the RfC from the Change Authority if necessary;

• The date of authorisation;

• The status of the RfC with 'Approved';

• The FSC information of the authorised RfCs.

The ITSM Change Manager proceeds with step ChM 4.1 Order change implementation.

ChM.4 Coordinate Implementation

ChM.4.1 Order change implementation

ChM.4.1
Order change implementation

For all DG TAXUD Business Threads (DG TAXUD A3/Tax, Exc and Cust), DG TAXUD A3's related Business Thread orders the build of the new release as soon as the Change Authority grants authorisation.

For the ITSM Business Thread, the ITSM Change Manager escalates to order the build of the release at ITSM Infrastructure; ITSM Infrastructure then raises the necessary RfCs.

The ITSM Change Manager launches the change implementation by informing DG TAXUD A3's related Business Thread and the ITSM Release Manager about the updated FSC via e-mail and publishing on the ITSM Portal. The FSC provides the ITSM Release Manager with the delivery date of the build and the expected implementation date of the release, so he/she can start the planning of the deployment.

The ITSM Change Manager then sets the status of the RfC to 'Scheduled' in the ITSM SMT.

ChM.4.2 Keep change implementation schedule up-to-date	## ChM.4.2 Keep change implementation schedule up-to-date The ITSM Change Manager maintains the FSC up to date by getting regular updates from the ITSM Release Manager by e-mail and other written communication. If Changes introduce errors/problems (e.g. detected during testing phases), the EMCS CAB may decide to stop the implementation or rollback the Changes, and then report to the ECWP and further discuss the Changes (eventually issue a new RfC).
ChM.4.3 Inform RfC stakeholders	## ChM.4.3 Inform RfC stakeholders The ITSM Change Manager maintains the FSC and the RfC progress status up to date by getting regular updates from the ITSM Release Manage by e-mail and other written communication r. He/she submits this information on a regular basis to the RfC stakeholders, i.e. all that have an interest in the RfCs like CI owner, CAB members and users. The change lists for the ITSM Business Thread are published on a weekly basis on the ITSM Portal, while the change lists for the other Business Threads are issued monthly on ITSM Portal and CIRCA.
ChM.5.1 Collect history of change	## ChM.5 Review & Close Change ## ChM.5.1 Collect history of change The implementation report, which the ITSM Release Manager provides after deployment of the release in the production environment, informs the ITSM Change Manager about the successful implementation of the release and the corresponding change requests. The ITSM Change Manager then verifies that all change related information that documents the history of the change request, is available. If some information is missing he/she completes it. Change related information • RfC related incident calls; • RfC related problem number if applicable; • RfC impact; (See the RfC template for a complete list at https://kt-itsm.ncts-co.be/browse.php?fFolderId=3798) Release related information stored in te DSL/ODL • Authorisation; • Release note;

	• Deployment document; • Back-out plan; • Test plan; • Implementation document; • Test reports (SAT, preSAT, Conformance or Qualification); • Implementation report. The ITSM Change Manager sets the status of the RfC to 'Implemented' in the ITSM SMT.
ChM.5.2 Report RfC implementation	## ChM.5.2 Report RfC implementation The ITSM Change Manager summarises the results of the implementation report mainly for major change requests and presents it to the next CAB meeting. Normal and standard changes are assessed respectively quarterly and bi-annually, and published on the ITSM Portal. The summary will be used for a post-implementation review (PIR), which focuses on: • Completeness of information; • Incidents during the implementation; • Used and planned resources (man days); • Compliance with the change objectives; • Effectiveness of the change process; • Summarise lessons learned. The CAB members discuss the PIR in order to improve the change process. The summary focuses on: • Completeness of information; • Incidents during the implementation; • Used and planned resources (man days); • Compliance with the change objectives. The CAB uses the provided information for a post-implementation review (PIR). The CAB members discuss the lessons learned in order to improve the change process. The ITSM Change Manager updates the RfC with • The implementation date of the RfC; • The RfC status 'Implemented';

	• The review results to the RfC. The ITSM Change Manager produces an updated version of the FSC, with new/removed/updated RFC's, and publishes it on the new ITSM Portal Tool. Minutes of CAB meetings are e-mailed to the ITSM Configuration Manager.
ChM.5.3 Request RfC closure agreement	**ChM.5.3 Request RfC closure agreement** The ITSM Change Manager notifies the ITSM Service Desk the RfC has been done and that the "incident" related to the RfC can be closed. The ITSM Service Desk then asks the Change Originator if he/she is satisfied with the solution.
ChM.5.4 Evaluate RfC agreement	**ChM.5.4 Evaluate RfC agreement** The ITSM Service Desk forwards the answer of the Change Originator to the ITSM Change Manager. If the Change Originator is satisfied, the ITSM Service Desk closes the incident and the ITSM Change Manager proceeds with step ChM 5.5 – Close RfC. In case the Change Originator does not agree with the solution, the change request is reassessed in step ChM 1.4 – Define RfC type.
ChM.5.5 Close RfC	**ChM.5.5 Close RfC** The ITSM Change Manager records the closing date in the RfC. If the RfC impacts the Excise Business Thread, the ITSM Change Manager e-mails the RfC SMT reference number to the ITSM Configuration Manager.
ChM.5.6 Cancel RfC	**ChM.5.6 Cancel RfC** If a normal change request is rejected in step ChM.1.2 – Validate RfC or step ChM.3.5 – Reject normal change or an emergency change in step ChM.6.5 – Reject emergency change, the ITSM Change Manager notifies the ITSM Service Desk that the change request is rejected and the RFC is cancelled. The ITSM Service Desk informs the Change Originator about the reason of cancellation and that he/she can re-submit his/her request if he/she can correct the reason of rejection. In this case, the RfC is re-opened. The ITSM Change Manager records the date of cancellation in the RfC, which equals the date of notification of the Change Originator.
	ChM.6 Handle Emergency Change **ChM.6.1 Prepare emergency CAB meeting** Changes will in most cases be foreseen and planned, built and tested according to the established procedures. Changes that are

ChM.6.1

Prepare emergency CAB meeting

deemed to be urgent are those which, for a particular reason, require a quick decision and implementation.

Examples may be a security breach, a bug fix, or urgent need to release a particular functionality. The main characteristic of Urgent Changes is the short time period that is available for evaluating the impact, planning, implementation, testing, and deployment of the Change.

Urgent Changes are kept to a bare minimum, as they may sacrifice build and test controls because of the time constraints and therefore bear a risk.

A general difference between the normal change and emergency change procedure is that for the emergency change the ITSM Change Manager does not have enough time to collect the impact information in advance but assesses and discusses this in an ad hoc CAB meeting of the Emergency Committee.

To prepare the emergency CAB meeting, the ITSM Change Manager mainly consults the CMDB to create a list of relationships of the CI's concerned by the requested change. He/she provides the emergency CAB members with all available documentation about the related CIs that is referenced in the CMDB.

Depending on the requirements of the CI-owner /Change Authority, the ITSM Change Manager contacts all Emergency CAB members to request their availability for a conference call or a face-to-face meeting. In situations where the change is understood by everyone, the ITSM Change Manager could accept approvals for the change by e-mail from the CAB members, instead of a conference call.

The composition of the emergency CAB depends on the emergency change request but usually the members are also in the normal CAB. Provisions for stand-ins have to be in place. If CAB members are only available for a conference call he/she opens a call via the Service Desk to ask ITSM Infra to book a phone line. The ITSM Change Manager submits the agenda with meeting details to the Emergency CAB members via e-mail.

ChM.6.2

Run emergency CAB meeting and document recommendations

ChM.6.2 Run emergency CAB meeting and document recommendations

The ITSM Change Manager chairs the Emergency CAB and presents the results of the CMDB report on the concerned CIs. The Emergency CAB then:

- Assesses the emergency status of the RfC;

- Estimates the impact, risks and necessary resources;

- Decides the necessary tests;

- Proposes an implementation date for the urgent change.

The ITSM Change Manager takes note of the discussion and the recommendation of the Emergency CAB in the minutes of the meeting.

If the urgent change request impacts the National Domain of the MSAs, DG TAXUD distributes the recommendation of the Emergency CAB on behalf of the ITSM Change Manager to the MSAs for a quick consultation.

| ChM.6.3
Request emergency change authorisation | ## ChM.6.3 Request emergency change authorisation
If the change request does not impact the National Domain of the MSAs or MSAs do not have to be consulted, DG TAXUD representatives will authorise the recommendation of the Emergency CAB, which is recorded in the minutes of the meeting.

In case MSAs have been consulted, DG TAXUD forwards the answers of the MSAs to the ITSM Change Manager who then presents the results of the consultation to the Emergency CAB in another ad hoc meeting. If necessary the Emergency CAB revises its recommendation. The DG TAXUD representative will grant the final authorisation, which is recorded in the minutes. |
|---|---|
| ChM.6.4
Collect change authority decisions | ## ChM.6.4 Collect change authority decisions
The ITSM Change Manager receives the authorisation or rejection of a change request via e-mail or minutes.

If the urgent change request is rejected, the ITSM Change Manager carries on with step ChM 6.5 – Reject normal change.

If the urgent change request is authorised, the ITSM Change Manager proceeds with step ChM.6.6 – Update RfC.

The decision of the Change Authority - either DG TAXUD for the common domain or the Excise Committee for the national domain of Excise - to authorise or reject a change is logged in the minutes of the CAB meeting and the change request. The authorisation of the ITSM CAB - as Change Authority for ITSM Tools and infrastructure - is only logged with the change record. Minutes of all CAB meetings are also sent to the ITSM Configuration Manager. |
| ChM.6.5
Reject emergency change | ## ChM.6.5 Reject emergency change
Same as step ChM.3.5 – Reject normal change. |

ChM.6.6 Demote RfC to normal change	## ChM.6.6 Demote RfC to normal change If the Emergency CAB and/or the Change Authority disagree(s) with the status of the urgent change the RfC is demoted to a normal change and the RfC is re-directed to step ChM.1.4 Define RfC Type.
ChM.6.7 Update RfC in ITSM SMT	## ChM.6.7 Update RfC in ITSM SMT Same as step ChM.3.6- Update RfC in ITSM SMT.
	## ChM.7 Document RfCs in ITSM SMT When the ITSM Change Manager receives an RfC, he/she begins the process of managing the change in a visible and traceable manner.
ChM.7.1 Acknowledge receipt of RfC	## ChM.7.1 Acknowledge receipt of RfC The first step in the process of managing change after the receipt of the RfC is to acknowledge its receipt by e-mail.
ChM.7.2 Document RfCs in ITSM SMT & Update as Required	## ChM.7.2 Document RfCs in ITSM SMT & Update as Required After the step above, the ITSM Change Manager enters the RfCs into the ITSM SMT through a number of steps: • The ITSM Change Manager opens a new incident and attaches the RfC; • As more information is received and the RfC passes through the process, further steps are added to the incident call to record the Risk/Impact assessment, the decision of the CAB, the PIR and then the Request for Closure. The step by step procedure of this process is set out in the ITSM Change Management Working Procedures [R3].
	## ChM.8 Creating the FSC The ITSM Change Manager creates an FSC for each Business Thread in order to: • Track the implementation cycle of the RfCs; • Provide visibility of the changes in the implementation cycle; • Provide information that can be used for statistical reporting

	and analysis.
ChM.8.1 Create new FSC template for each BTH	**ChM.8.1 Create new FSC template for each BTH** On a weekly basis, the ITSM Change Manager creates an FSC that can be used for each Business Thread. The FSC is an intelligent Excel spreadsheet with programmed interactive columns and cells and is stored in the DSL at \\fstax01\DSL\FSC.
ChM.8.2 Interrogate Change Lists to create new FSC	**ChM.8.2 Interrogate Change Lists to create new FSC** On a weekly basis the ITSM Change Manager interrogates each Change List using the FSC template, to create an updated FSC for each Business Thread. A new up to date FSC is created each week when this procedure is repeated.
ChM.8.3 Publish FSC	**ChM.8.3 Publish FSC** After producing an FSC, the ITSM Change Manager publishes it on the new ITSM Webportal overwriting any previous version so that the latest version published is always the current version.