

***Enterprise IT Service Management
Change Management
Process Guide***



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Enterprise IT Service Management Change Management Process Guide

1 1.0 INTRODUCTION

2 1.1 Purpose

3 The purpose of this process guide is to establish a documented and clear foundation for process
4 implementation and execution across the United States Marine Corps (USMC) enterprise.
5 Process implementation and execution at lower levels (e.g., Regional, Local, and Programs of
6 Record) must align and adhere to directives and schema documented within this guide. The
7 active use of this guide ensures USMC IT activities are executed in a uniform manner.

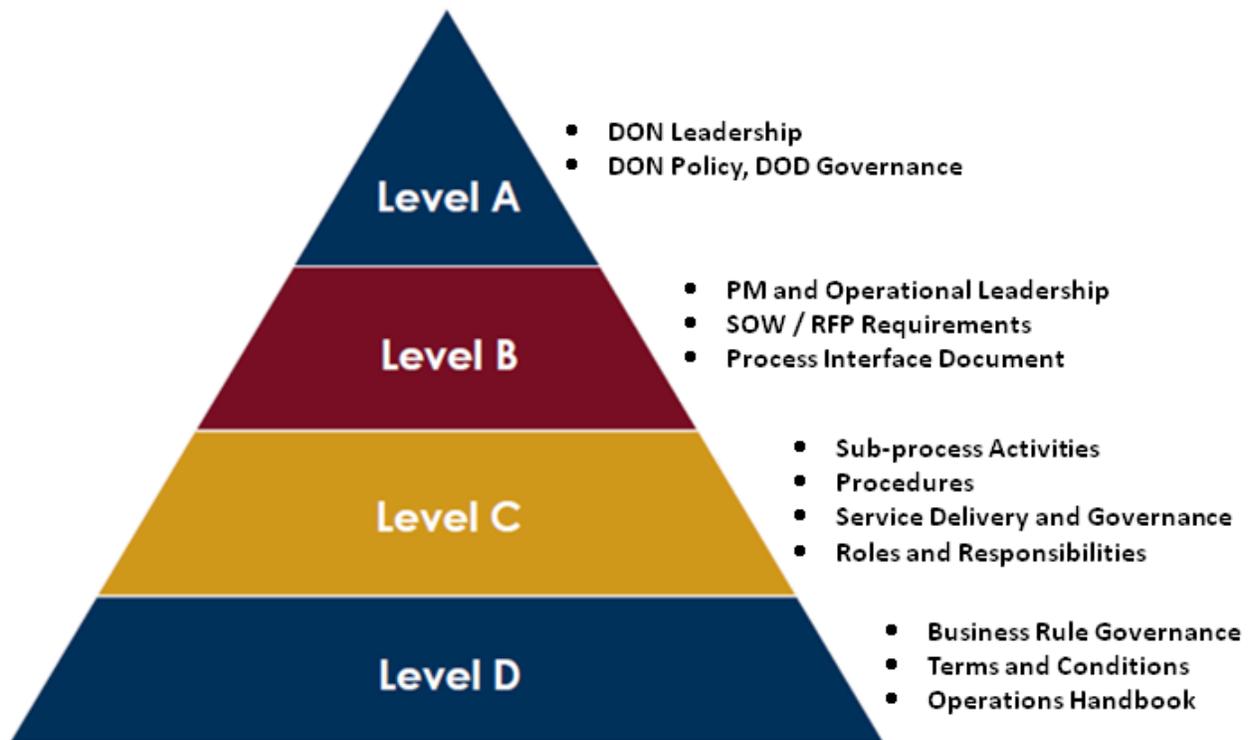
8 1.2 Scope

9 The scope of this document covers Marine Corps Enterprise IT Services (MCEITS) and garrison
10 Secret Internet Protocol Router Network (SIPRNet) related services owned by the USMC while
11 simultaneously providing a foundation for process implementation and execution across the
12 USMC enterprise. Information remains relevant for the global operations and defense of the
13 Marine Corps Enterprise Network (MCEN) as managed by Marine Corps Network Operations
14 and Security Center (MCNOSC) including all Regional Network Operations and Security
15 Centers (RNOSC) and Marine Air Ground Task Force Information Technology Support Center
16 (MITSC) assets and supported Marine Expeditionary Forces (MEF), Supporting Establishments
17 (SE) organizations, and Marine Corps Installation (MCI) commands.

18 This document uses the term “sub-process” to describe process layers that exist beneath the
19 parent process level. This sub-process layer is equivalent to process “Level C” as referenced in
20 the following diagram. Please note that procedures, also associated with Level C, are not
21 included within the scope of this document. The current Procedures and Work Instructions (PWI)
22 can be found at the following location:

23 https://ips.usmc.mil/sites/pg10docr/pm_ccr/E-ITSM/Shared%20Documents/Forms/AllItems.aspx?RootFolder=%2fsites%2fpg10docr%2fpm%5fccr%2fE%2dITSM%2fShared%20Documents%2fProcedure%20Work%20Instructions&FolderCTID=&View=%7b575B66E8%2dD286%2d4040%2d980A%2d12D8990F333E%7d





27

28

Figure 1. Process Design Pyramid

29 1.3 Document and Process Change Procedures

30 This document will be reviewed semi-annually for accuracy by the Process Owner with
31 designated team members. Modifications to this document are ultimately governed by the USMC
32 Enterprise Change Management (ChM) process. Please direct any questions or comments
33 concerning this document to the USMC Enterprise Service Desk at 1-800-TBD,
34 Support@usmc.smil.mil, Support@usmc.mil, or eitsm@usmc.mil. For detailed information on
35 process change requests, refer to Section 2.3 in this document.

36



37 2.0 PROCESS OVERVIEW

38 2.1 Purpose, Goals, and Objectives

39 The goal of the Change Management (ChM) process is to facilitate the successful introduction of
40 changes within the IT environment. The process also ensures that appropriate details of changes
41 to IT resources (assets, Configuration Items [CI]) are recorded.

42 Objectives of ChM include:

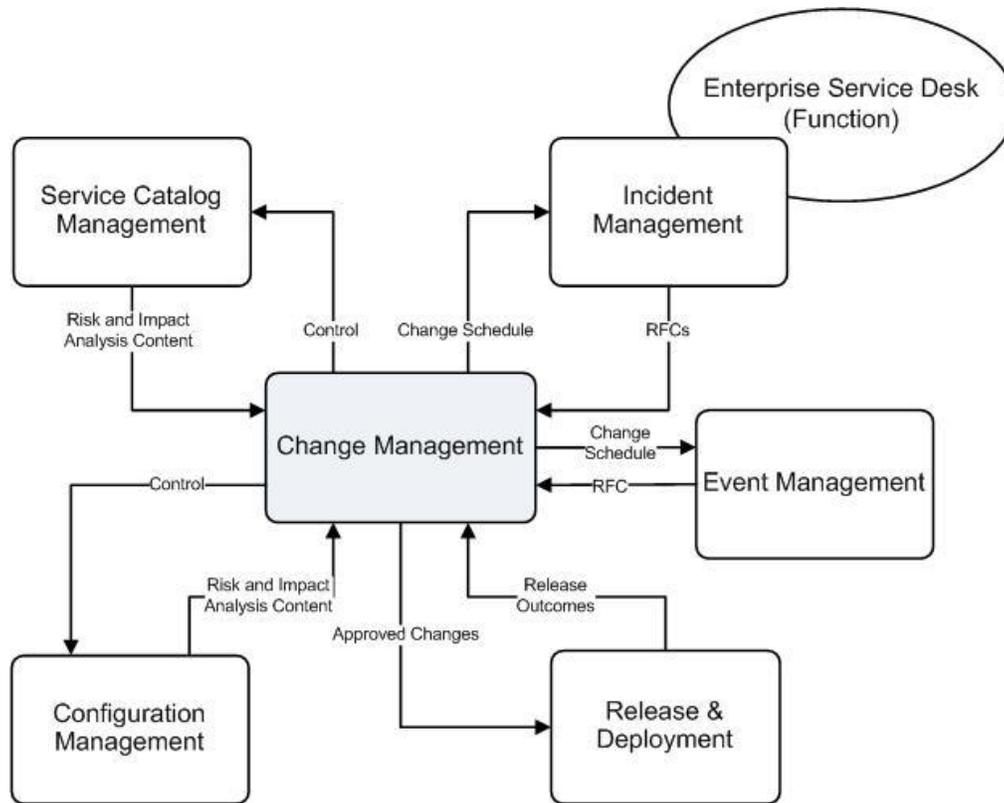
- 43 • Controlling IT infrastructure changes through standardized, repeatable methods and
44 procedures
- 45 • Supporting the efficient handling of changes
- 46 • Providing accurate, timely information on changes
- 47 • Minimizing the impact of changes on IT operations
- 48 • Reduce Incidents caused by changes
- 49 • Provide accurate assessment of the cost of proposed changes before they are incurred
- 50 • Provide an enhanced perception of the quality of IT.

51 2.2 Relationships with other Initial Processes

52 All IT Service Management processes are interrelated. The six (6) Initial Processes in Figure 2
53 were selected due to the strength of the relationships and dependencies between them and the
54 degree to which they underpin USMC near-term objectives. While any one of the Initial
55 Processes can operate in the presence of an immature process, the efficiency and effectiveness of
56 each is greatly enhanced by the maturity and integration of all Initial Processes. Figure 2 depicts
57 key relationships that exist between ChM and the other Initial Processes. This figure is not all-
58 encompassing and the relationships shown can be direct or indirect.

59





60
61 **Figure 2. ChM Relationship with other Initial Processes**

62 The following list describes the ChM relationship (input or output) to other Initial Processes, as
63 depicted in the Figure 2:

64 • **Service Catalog Management**

- 65 — Control: The Service Catalog’s value is dependent on the accuracy of its content.
66 Effective coordination between ChM and Service Catalog Management (SCM) is
67 required to ensure that every Request for Change (RFC) is analyzed for impact to the
68 Service Catalog. As changes that result in material changes to service catalog content
69 are released into production, the Service Catalog is updated accordingly.
- 70 — Risk and Impact Analysis Content: The Service Catalog is the definitive source of
71 record for services that are present in the Configuration Management Database
72 (CMDB) and can provide rapid, at-a-glance views into key service attributes to
73 include availability targets, maintenance windows, and change freeze periods for the
74 purposes of change evaluation and planning.

75 • **Incident Management**

- 76 — Change Schedule: The Change Schedule is a valuable tool for the Service Desk and
77 other key Incident Management process stakeholders for the purposes of initial
78 diagnosis and troubleshooting. Determining “what changed?” is on the critical path to

79 rapid restoration of service. The Change Schedule can provide quick, valuable insight
80 into this activity.

81 — RFCs: Some incidents will require an RFC to execute corrective actions and restore
82 service.

83 • **Event Management**

84 — Change Schedule: Event Management (EM) utilizes the Change Schedule to prepare
85 for the potential need to suspend and resume monitoring and EM activities associated
86 with changes that impact any service attributes being monitored (e.g., availability,
87 performance, capacity, etc.).

88 — RFC: EM will identify qualified events that do not result in an Incident but do require
89 an RFC prior to execution of corrective action. For example, an unauthorized CI or a
90 non-standard configuration may trigger an alert and require an authorized RFC prior
91 to execution of corrective action.

92 • **Release and Deployment Management**

93 — Authorized Changes: Release Management awaits authorization of RFCs prior to
94 deployment. Beyond triggering authorization, the RFC includes key directives such as
95 approved deployment windows to which Release Management adheres.

96 — Release Outcomes: The Change Management process does not “end” for an RFC
97 upon authorization. Rather, Release Management provides Change Management with
98 key outcomes, such as actuals for deployment start/end, results of post release testing,
99 and any Incidents encountered. This information is used by Change Management to
100 determine any further actions, to include initiation of a Post Implementation Review
101 (PIR) or closure of the RFC(s).

102 • **Configuration Management**

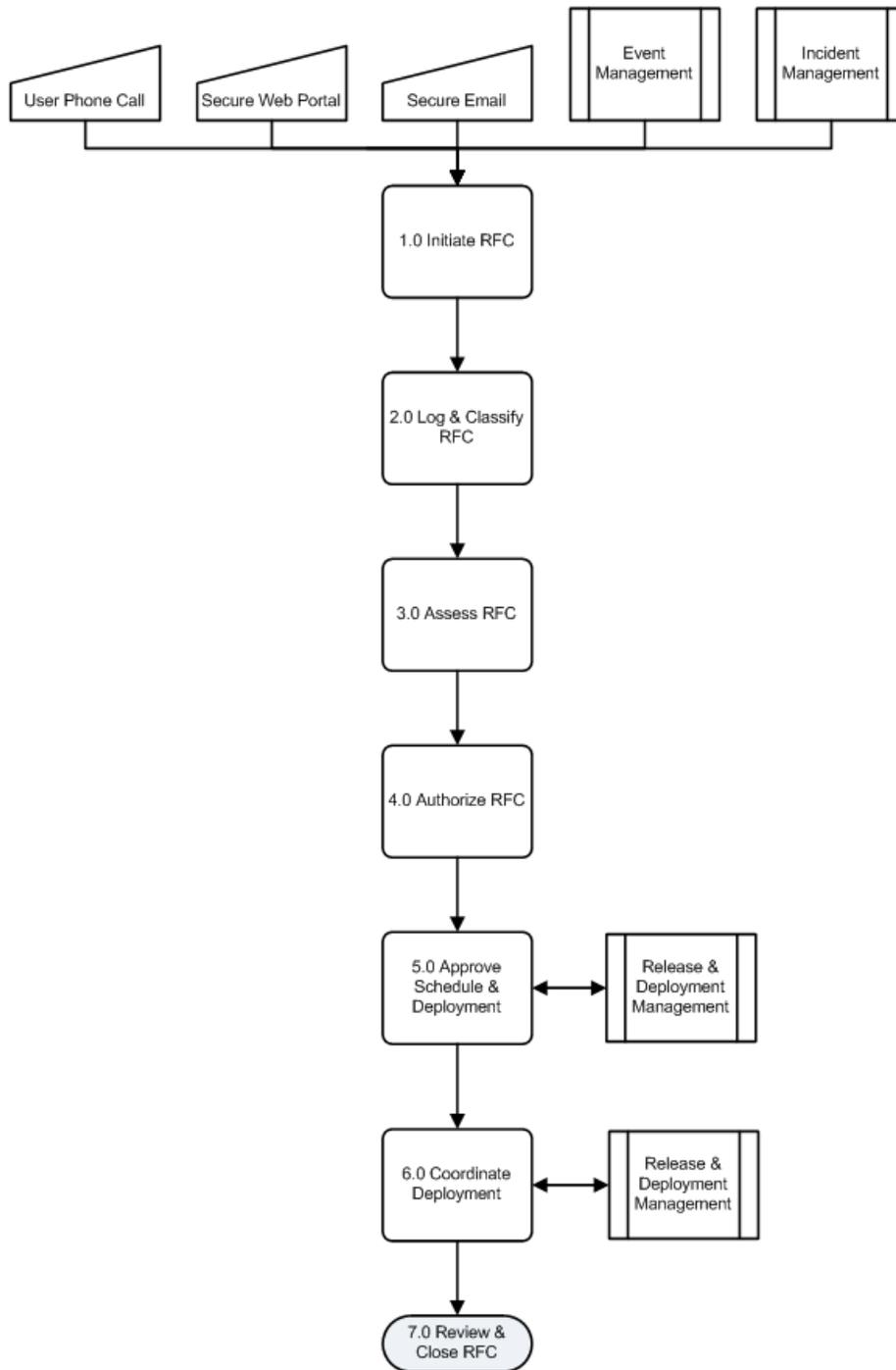
103 — Risk and Impact Analysis Content: The CMS depicts relationships between services
104 and CIs, enabling risk and impact analysis for the purposes of Request for Change
105 (RFC) evaluation.

106 — Control: To keep information current, CI data and history is updated both by ChM to
107 Configuration Management (CfM) and vice versa. Configuration Management
108 provides the infrastructure data required to assess Customer impact of an IT
109 infrastructure component failure and aids identification of the CI Owners and
110 associated User(s). Status of Changes, especially completion, is an input to CfM
111 keeping the CMDB current.



2.3 High-Level Process Model

The ChM process consists of seven (7) distinct sub-processes and is integrated with the Release and Deployment Management (RDM) and CfM processes. The following workflow depicts these processes and sub-processes that collectively enable and underpin ChM. See Section 4.0 for complete descriptions of the sub-process activities.



117

118

Figure 3. High-Level ChM Workflow



119 Table 1 contains descriptions of each sub-process. Each sub-process number is hyperlinked to its
120 detailed description in Section 4.0, Sub-Processes.

121 **Table 1. ChM Process Activity Descriptions**

Number	Process Activity	Description
1.0	Initiate RFC	An RFC is submitted via approved channels (tool, email, etc.), triggering the ChM process. Any user may submit an RFC, though common and significant changes often originate through MCNOSC, MCSC, Regional (MITSC/RNOSC), or Local (Base) commands. Programs of Record (POR) may submit RFCs to the enterprise ChM process as appropriate. RFCs may result from the Event and Incident Management processes.
2.0	Log & Classify RFC	Includes logging, classifying and prioritizing RFCs. These procedures help appropriately route and record the RFC and facilitate the subsequent review and authorization process.
3.0	Assess RFC	Review the RFC for completeness and accuracy. RFCs that fall outside the span of control and review of the enterprise ChM process or are otherwise incomplete or inaccurate are returned with a rationale for denial. The reviewing authority is determined by RFC type, classification, and/or Change Manager discretion; reviewing authority may be the Change Manager or a designated review body, for example Change Advisory Board (CAB). Changes that require external review (UNS, UUNS, ECP, etc.) are routed outside the ChM process to the appropriate USMC process for consideration and authorization in accordance with these pre-existing processes. Once authorized, such RFCs re-enter the enterprise ChM process at activity 5.0, <i>Approve Schedule and Deployment</i> .
4.0	Authorize RFC	Determines the disposition of a change, including pertinent review information, by the decision authority. Objectives include the performance of impact analyses and the issuance of a decision or recommendation disseminated to the appropriate parties (e.g., Change Requester, RD Manager, etc.). Change Manager or designated representative focuses review on: <ul style="list-style-type: none"> • Reason for change • Risks involved • Resources needed • Responsibility for execution • Return required for success • Relationship to other changes Note that not all RFCs require CAB review. Standard and other designated changes are reviewed and authorized by the Change Manager or designated approvers in accordance with the CAB review process detailed in Section 2.3.1.3.
5.0	Approve Schedule and Deployment	The appropriate change authority, as determined by the category of the change, approves the deployment of the change after reviewing the implementation plan with RDM (as required). The focus of this step is scheduling and "collision avoidance" (e.g., ensuring the deployment schedule adheres to any maintenance window or freeze periods and does not interfere with other scheduled changes). Approval of a change for deployment is separate from change authorization, which occurs earlier in the process.



Number	Process Activity	Description
6.0	Coordinate Deployment	Ensure change is implemented as specified by reviewing all deployment updates and notifications received from the deployment team to ensure the deployment is in compliance with the approved RFC. Act on deployment team feedback as needed to drive desired closure to the RFC.
7.0	Review and Close RFC	Review and close the RFC and communicate status to Change Requester. This activity ensures change records are accurately closed and recorded, and optimizes the overall process efficiency by identifying service improvement opportunities via standard reviews and Post Implementation Reviews.

122

123 2.3.1 Process Description

124 Change Management assesses proposed changes to the IT infrastructure. Each proposed change
125 is submitted as a change request (also called a Request for Change or RFC). Each change request
126 is logged as a change that must be assessed and authorized. Changes are recorded as Change
127 Records, but are typically referred to simply as a change.

128 Each change is assigned a change category and priority. Based on this, the change follows a
129 specified change model which describes how the change is processed. For instance, there is a
130 change model for a minor change, a major change, and an emergency change.

131 Once assessed, a change undergoes a decision to be authorized or not by the Change Authority.
132 Changes that are authorized must have back-out plans. Authorized changes are added to the
133 change schedule and are implemented by other processes, including RDM, which rolls out
134 hardware and software that is ready to be deployed.

135 Simple, straightforward changes often originate from the Service Desk in the form of a service
136 request and handled as standard changes, which do not require change assessment or
137 authorization. Instead, they are typically sent to the appropriate process to implement the
138 standard change.

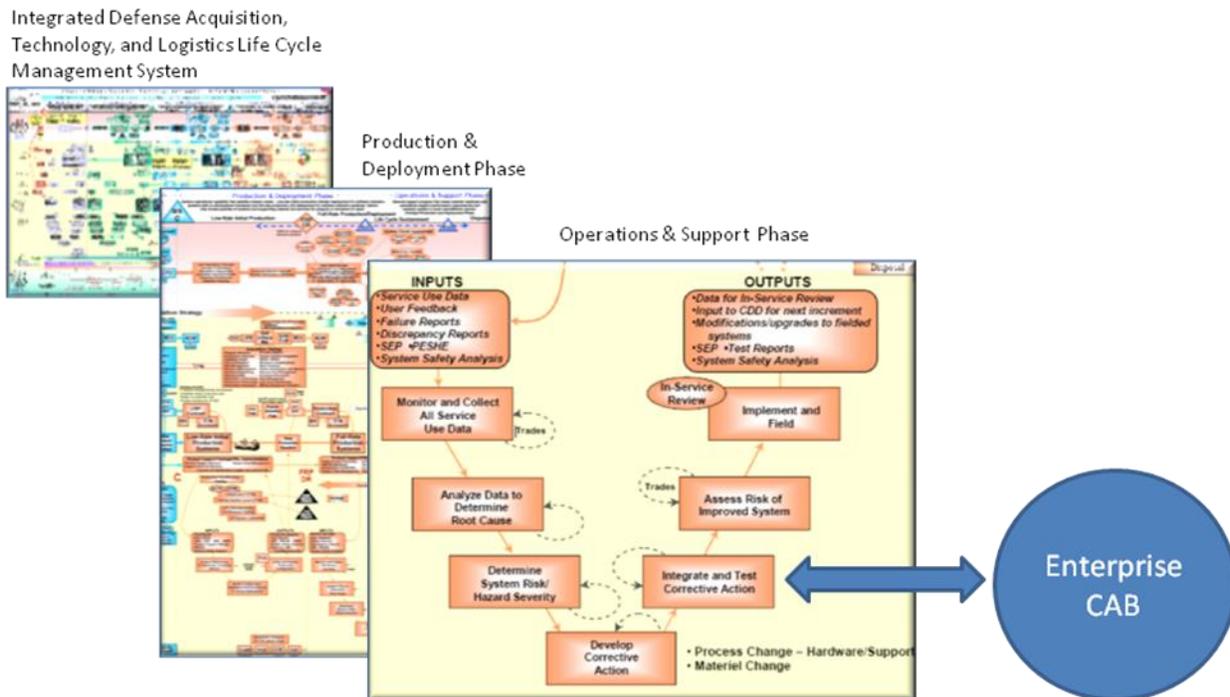
139 2.3.1.1 ChM Process Integration with the Acquisition Life Cycle

140 The Integrated Defense Acquisition, Technology, and Logistics Life Cycle Management System
141 provides a thorough workflow model from the Materiel Solution Analysis Phase through the
142 Operations & Support phase. The Joint Capabilities Integration & Development System (JCIDS)
143 is a procedure that helps generate and define requirements based upon capabilities as requested
144 or defined by all four DoD military services, including the USMC; JCIDS is an integral part of
145 the Life Cycle Management System and can be viewed as the equivalent to the USMC's Service
146 Strategy step in the service lifecycle.

147 The Management System, upstream of the enterprise ChM process, introduces new systems into
148 the production environment and provides lifecycle support on existing systems within the final
149 Operations & Support phase. As potential configuration items, these systems and their integrated
150 components are subject to change management as they are being fielded within the operational
151 environment. Systems that are enterprise in nature or provide enterprise services (as evidenced



152 within the enterprise Service Catalog) are subject to ChM as provided by the enterprise ChM
153 process based within MCNOSC.



154

155

Figure 4. ChM and Acquisition Conceptual Integration

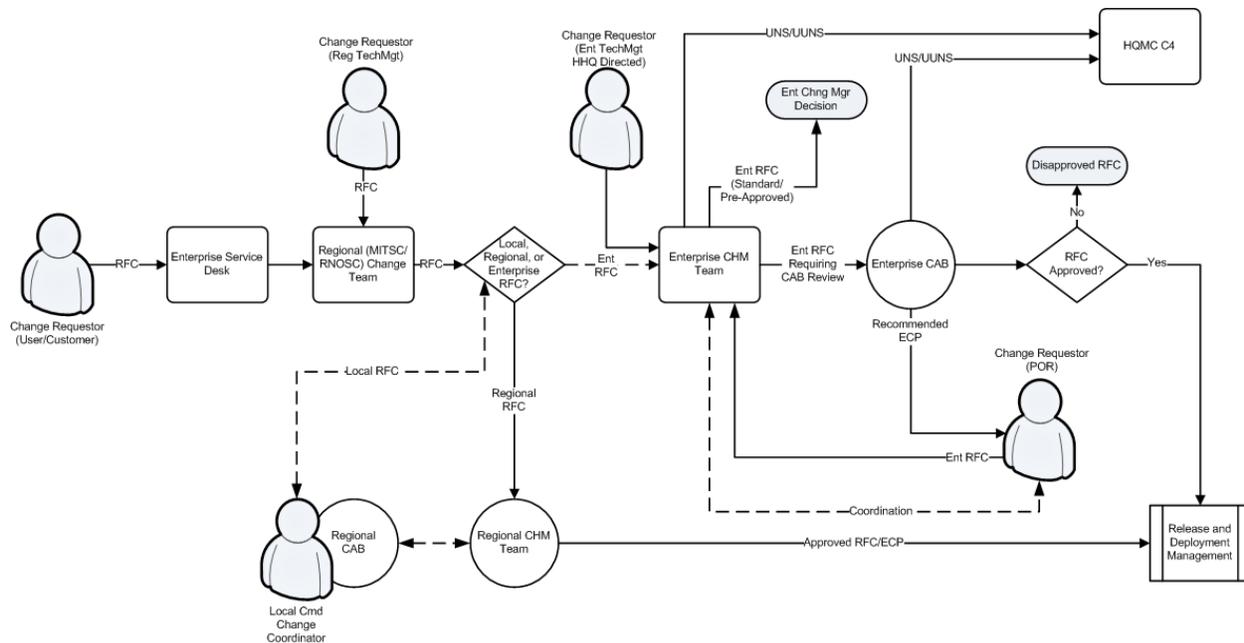
156 Enterprise ChM becomes actively involved from a process-centric standpoint once Milestone
157 “C” is reached, and an introduced system has been developed, produced, and baselined per the
158 Acquisition process. Prior to base-lining, emergent systems and services fall outside the span of
159 control of the Enterprise ChM process.

160 The span of control, however, does not align with the span of visibility. Acquisition project
161 officers are encouraged to discuss impending system introductions with ChM personnel at
162 regular Enterprise CAB (EntCAB) meetings, and EntCAB members should attend Milestone “C”
163 briefings. Enterprise systems, programs, and services are monitored by the Enterprise ChM
164 process for situational awareness and future standardization efforts. Various avenues are utilized
165 to maintain visibility beyond the Enterprise ChM process’ span of control; these avenues include
166 attendance at relevant ITSG/MROC briefings, review of operational requirements definitions
167 (e.g., Universal Needs Statement), use of supportive technology (e.g., Combat Development
168 Tracking System), and case-by-case briefings by project officers resident within applicable POR
169 PMOs.

170 2.3.1.2 RFC Flow

171 Figure 5 illustrates the standard routing of RFCs from the Change Requester to process
172 termination.





173

174

Figure 5. ChM RFC Flow

175 2.3.1.3 USMC Change Advisory Board Structure

176 Regional and enterprise ChM processes maintain a Change Advisory Board (CAB). These CABs
 177 rest within a multi-level, hierarchical model and are aligned with the ChM process they support.
 178 Just as RFCs may flow between various ChM processes, RFCs may also be routed from one
 179 CAB to another. Types of CABs within the overall framework include:

180 • **Enterprise CAB:** The EntCAB reviews changes to CIs and provides recommendations
 181 (e.g., authorization or rejection) regarding RFCs that are filtered through PORs and
 182 regional CABs. The output is a recommendation made to the respective Enterprise Change
 183 authority. The EntCAB handles changes below the level of the IT Steering Group (ITSG)
 184 and above the level of standard, minor, or pre-authorized changes as reviewed by the
 185 relevant Change Manager (POR, regional, or MCNOSC). As such, the EntCAB reviews
 186 major or significant changes and/or those changes that impact the enterprise.

187 • **Regional/POR CABs:** Regional (RNOSC/MITSC) and POR CABs review RFCs
 188 submitted by users within their respective commands or programs, and those RFCs
 189 forwarded by local Change Managers within their area of responsibility. When the
 190 Regional/POR CAB determines an RFC has a potential enterprise impact, the RFC is
 191 submitted to the EntCAB for review.

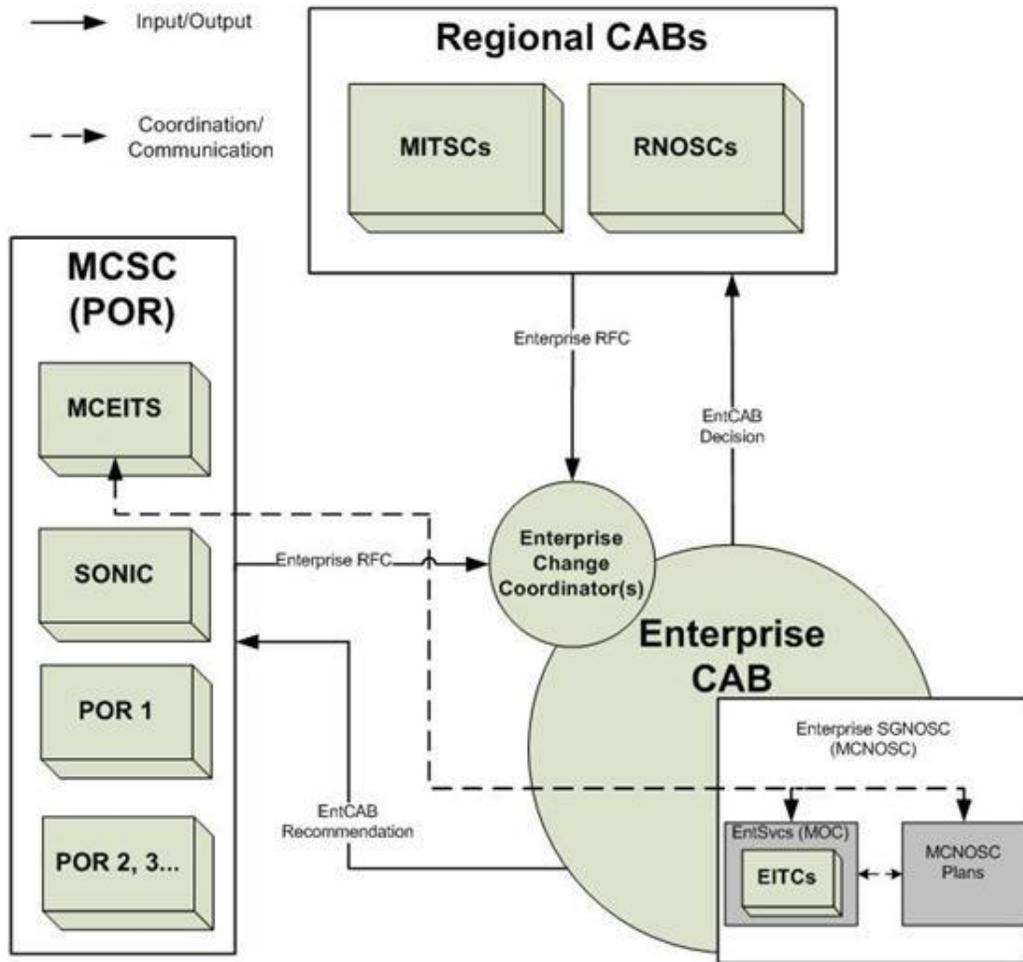
192 • **Local CABs:** Not all local commands warrant the existence of a local CAB, in which case
 193 the local Change Manager reviews and adjudicates appropriate RFCs. RFCs should be
 194 worked in coordination with the local command's respective regional ChM process.

195 Communications between CAB levels is accomplished by Change Coordinators; within local
 196 ChM processes, the Change Manager may serve as the Change Coordinator where appropriate.



197 While RFCs may be generated by a user at any level, each RFC is reviewed (at a minimum) by a
 198 responsible individual commensurate with the location of the Change Requester. This flow
 199 ensures RFCs are handled at the appropriate level and limits the volume of non-relevant RFCs
 200 routed to the Regional/POR CABs and the EntCAB.

201 The integration of Regional/POR CABs and the EntCAB is depicted in Figure 6.



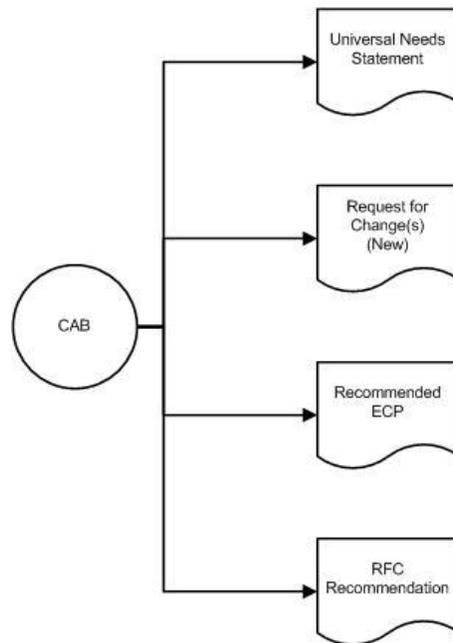
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203

Figure 6. EntCAB, POR, and Regional CAB Integration

204 As depicted below, four primary outputs of CABs (at any level) can be expected after review of a
 205 submitted RFC.





206

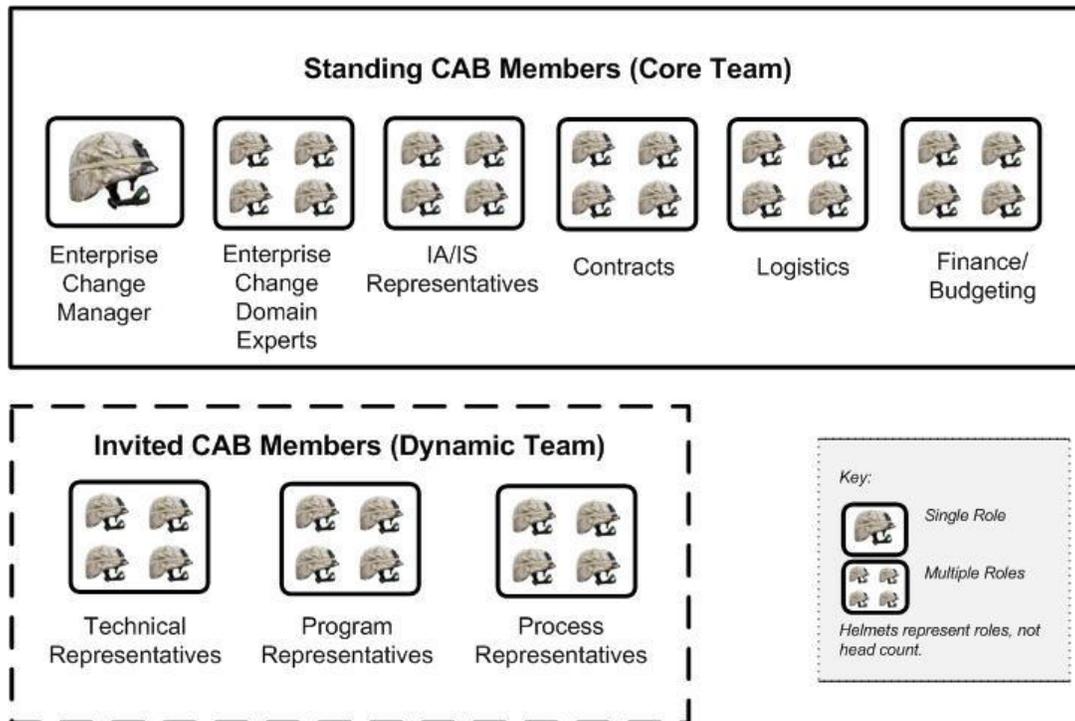
207

Figure 7. CAB Standard Outputs

208 2.3.1.3.1 EntCAB Membership

209 EntCAB membership is comprised of Standing and Invited members. Standing members
210 constitute the Core Team; these representatives, including the enterprise Change Manager, have
211 permanent representation on the EntCAB. Invited members constitute the Dynamic Team; these
212 persons are invited at the behest of the Change Manager in accordance with the type and scope
213 of RFCs being reviewed.

214 The members depicted on Figure 8 represent *functional* coverage, not specific billets or
215 resources. When appropriate, the Change Manager may excuse certain core members from
216 attendance. For example, if certain administrative functions have already been reviewed for an
217 RFC at the Regional level, representation of those functions is not required during the enterprise
218 review.



219

220

Figure 8. CAB Functional Membership Representation

221 2.4 Key Concepts

222 ChM relevant key concepts are described below:

223 2.4.1 Change

224 A Change is defined as any action or event that alters the status of a CI. This typically includes
 225 anything that adds to, deletes from, or modifies the IT environment. The definition of a change is
 226 the addition, modification, or removal of approved, supported, or base-lined hardware, network,
 227 software, application, environment, system, desktop build, or associated documentation.

228 2.4.2 Change Advisory Board

229 The CAB is a select group (including representatives from IT and the business) with the decision
 230 authority for significant changes. Significant changes are characterized as having complex or
 231 considerable impact and/or build or runtime required resources. Change Management will
 232 develop a Change Authority Matrix for all significant change models, based on location of CIs,
 233 administrative control, and impacted services.

234 2.4.3 Change Request or Request for Change

235 A Change Request or RFC is the means for documenting proposed change and actual change
 236 activity in IT resources or capabilities. Change requests can be triggered for a wide variety of



237 reasons, from a wide variety of sources. Change requests can be concerned with any part of the
238 infrastructure or with any service or activity.

239 **2.4.4 Change Model**

240 A Change Model provides a repeatable way of dealing with a particular category of change and
241 defines specific steps that will be followed for a change in this category. Change Models may be
242 simple (i.e., a Standard Change) or they may be very complex (i.e., Application Inclusion
243 Process [AIP]).

244 **2.4.5 Change Proposal**

245 For large-scale changes (e.g., applying a patch to every USMC Windows machine by a
246 scheduled date), a *Change Proposal* RFC is initiated. A Change Proposal is an IT Infrastructure
247 Library (ITIL) term referring to a large and/or complex change. A Change Proposal provides
248 details of the strategy for how the change will occur. A Change Proposal can spawn multiple
249 “child” RFCs that reference the “parent” Change Proposal.

250 **2.4.6 Critical Success Factors**

251 Critical Success Factors are elements, items or activities required to ensure success of the
252 mission. These are the milestones of the project.

253 **2.4.7 Emergency CAB**

254 Emergency CAB meetings are convened to facilitate emergency changes or when emergency
255 decisions must be made. The ChM process is still followed, albeit certain activities (e.g., *Log &*
256 *Classify RFC*) may have to occur retroactive to deployment. The Emergency CAB (ECAB) is a
257 subset of each CAB in the overall USMC CAB structure, which allows emergency RFC
258 decisioning to occur by an individual or smaller component of the overall CAB membership.
259 RFCs are declared emergencies at the recommendation of the Change Requester or Change
260 Advocate, and upon concurrence with either the Change Manager or Watch Officer on behalf of
261 the Change Manager.

262 **2.4.8 Evaluation**

263 The purpose of evaluation is to provide a consistent and standardized means of determining the
264 performance of a service change in the context of existing and proposed services and IT
265 infrastructure. The actual performance of a change is assessed against its predicted performance
266 and any deviations between the two are understood and managed.

267 **2.4.9 Key Performance Indicators**

268 Key Performance Indicators are measures or metrics of progress toward meeting a Critical
269 Success Factor within a process, project, plan or IT services.



270 **2.4.10 Post-Implementation Review**

271 A Post Implementation Review is a structured and exhaustive review that occurs for specific
272 changes at the behest of the Change Manager. A Post Implementation Review is an activity
273 found within the *Review and Close RFC* sub-process and is distinct from a Change Review.

274 **2.4.11 Service**

275 A Service is a means of delivering value to customers by facilitating outcomes customers want to
276 achieve without the ownership of specific costs and risks. Services facilitate outcomes by
277 enhancing the performance of associated tasks and reducing the effect of constraints.

278 **2.4.12 Service-Level Management**

279 Service-Level Management is the process responsible for negotiating Service-Level Agreements
280 (SLAs), and ensuring that these are met.

281 **2.4.13 Service Management**

282 Service Management is a set of specialized organizational capabilities for providing value in the
283 form of services. Service Management takes the form of a set of functions and processes for
284 managing services over their lifecycle. It is the means by which services are dealt with on a day-
285 to-day basis.

286 **2.4.14 Service Transition**

287 Service Transition provides guidance for the development and improvement of capabilities
288 necessary to transition new and/or changed services into the operational environment. Service
289 Transition is concerned with managing change, risk, and quality assurance.

290 **2.4.15 Systems Management**

291 Systems Management is a collective expression for several disciplines related to the management
292 of systems, such as Applications, Infrastructure, Network, Operations, and Security. Within the
293 ITIL framework, these activities fall within both the Technical and Operations Management
294 functions.

295 **2.5 Quality Control**

296 **2.5.1 Metrics, Measurements and Continual Process Improvement**

297 Continual service improvement depends on accurate and timely process measurements and relies
298 upon obtaining, analyzing, and using information that is practical and meaningful to the process
299 at hand. Measurements of process efficiency and effectiveness enable the USMC to track
300 performance and improve overall end user satisfaction. Process metrics are used as measures of
301 how well the process is working, whether or not the process is continuing to improve, or where
302 improvements should be made. When evaluating process metrics, the direction of change is more
303 important than the magnitude of the metric.



304 Effective day-to-day operation and long-term management of the process requires the use of
 305 metrics and measurements. Reports need to be defined, executed, and distributed to enable the
 306 managing of process-related issues and initiatives. Daily management occurs at the process
 307 manager level. Long-term trending analysis and management of significant process activities
 308 occurs at the process owner level.

309 The essential components of any measurement system are Critical Success Factors (CSFs) and
 310 Key Performance Indicators (KPIs).

311 2.5.2 Critical Success Factors with Key Performance Indicators

312 CSFs are defined as process- or service-specific goals that must be achieved if a process (or IT
 313 service) is to succeed. KPIs are the metrics used to measure service performance or progress
 314 toward stated goals.

315 The following CSFs and KPIs can be used to judge the efficiency and effectiveness of the
 316 process. Results of the analysis provide input to improvement programs (i.e., continual service
 317 improvement).

318 Table 2 describes the metrics that will be monitored, measured, and analyzed:

319 **Table 2. ChM Critical Success Factors with Key Performance Indicators**

CSF #	Critical Success Factors	KPI #	Key Performance Indicators	Benefits
1	Changes are processed in a timely manner	1	RFC aging Calculation: Average number of days between RFC submission and RFC decision dates	Determines the timeliness and efficiency of the Change Management process by reviewing number of open changes and the length of time required before an RFC is decided
		2	RFC backlog/aging Calculation: Number of RFCs opened in previous reporting period and not yet decided	
2	Change process compliance by USMC IT and user communities is high	3	% of rejected RFCs Calculation: Percentage of RFCs closed in a rejected status	Determines the effectiveness of the process by demonstrating the number of rejected RFCs, tracking the trends in the monthly RFC totals, and demonstrates the level of adoption throughout the enterprise via the number of changes made outside the process
		4	Total number of RFCs opened Calculation: Total number of RFCs opened in a one month period	
		5	Unauthorized changes Calculation: Number of discovered, unauthorized changes (i.e., changes that were implemented outside the ChM process)	



CSF #	Critical Success Factors	KPI #	Key Performance Indicators	Benefits
3	Production services are protected from the adverse impacts of change	6	% of authorized changes that result in an incident Calculation: % of RFCs linked to an incident record created after the RFC implementation date	Measure the primary objective of the ChM process by indicating the number of changes that result in incidents (i.e., self-imposed disruptions to service)

320

321



322 3.0 GOVERNANCE

323 Governance deals with the authority and accountability for directing, controlling and executing
324 IT services. IT governance involves creating the governing principles. This includes:

- 325 • Who makes directing, controlling, and executing decisions
- 326 • How the decisions are made
- 327 • What information is required to make the decisions
- 328 • What decision making mechanisms should be required
- 329 • How exceptions are handled
- 330 • How the governance results should be reviewed and improved

331 Enterprises have always strived for effective administration, direction and control. However,
332 there is an increased focus on IT governance because of federal regulations related to privacy,
333 antiterrorism, security and other factors.

334 IT governance encompasses the organizational structures and IT management processes used to
335 sustain and extend strategies and objectives. Clearly defining roles and responsibilities within
336 each process is a critical activity of IT governance for the USMC. By introducing controlled
337 governance, the level of transparency and accountability within IT operations is improved,
338 thereby reducing risks while linking IT goals with USMC mission accomplishment.

339 3.1 Roles and Responsibilities

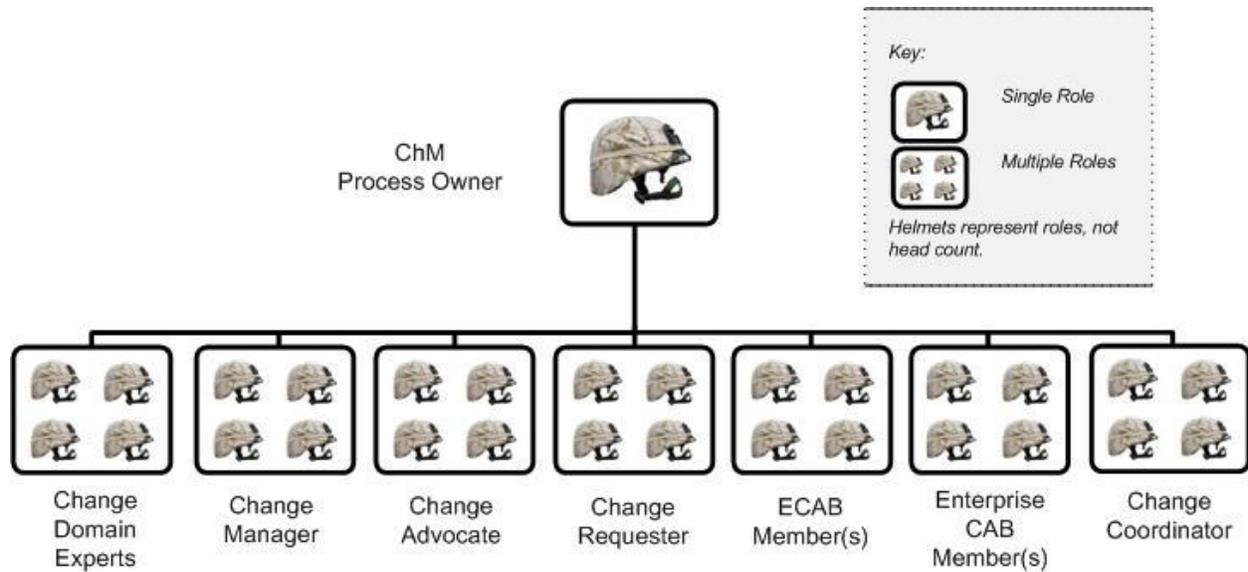
340 Each process has roles and responsibilities associated with design, development, execution and
341 management of the process. A role within a process is defined as a set of responsibilities. Process
342 Managers report process deviations and recommended corrective action to the respective process
343 owner. Authoritative process guide control is under the purview of the Process Owner.

344 Management (i.e., responsibility) of a process may be shared; generally, a single manager exists
345 at the MCNOSC enterprise and at each MITSC. For certain processes, especially those within
346 Service Design and Service Transition, managers also exist within MARCORSYSCOM and
347 Programs of Record. Some Service Operation processes (e.g., Event Management) require
348 managers at the RNOSC. There are instances where roles are combined or a person is
349 responsible for multiple roles. Factors such as AOR, size of user base and size of the process
350 support team dictate exactly which roles require a dedicated person(s) and the total number of
351 persons performing each role. This process guide defines all *mandatory* roles.

352 3.1.1 Roles

353 The following abstract drawing depicts process roles for the USMC, followed by a description of
354 these roles. Note that these are *roles* and not, necessarily, *billets*. One billet may cover multiple
355 roles in accordance with the amount of work required within a particular command or level
356 (Enterprise, Region, and Local).





357

358

Figure 9. ChM Roles

359 While the end goal is to have a single ChM Process Owner residing at the enterprise level, the
 360 USMC will initially use a shared process ownership framework. There will be a ChM Process
 361 Owner for the Acquisition sector, inclusive of all USMC IT Programs of Record, as well as a
 362 ChM Process Owner for the Operational sector, inclusive of all other USMC organizations at the
 363 enterprise, regional, and local levels. Multiple Change Managers exist at the regional (MITSC,
 364 RNOSC) and local levels. Where an RNOSC is co-located with a MITSC, it is expected the
 365 Change Manager covers both RNOSC and MITSC. Local commands, EITCs, and individual
 366 PORs have designated Change Managers (e.g., MCEITS SIE). These managers report upward,
 367 and receive policy guidance from, the Enterprise Change Management process owner.



Table 3. ChM Defined Roles and Responsibilities

Role	Overall Responsibility
Role #1 ChM Process Owner	
<p>The Process Owner owns the process and the supporting documentation for the process. The primary functions of the Process Owner are oversight and continuous process improvement. To these ends, the Process Owner oversees the process, ensuring that the process is followed by the organization. When the process is not being followed or is not working well, the Process Owner is responsible for identifying and ensuring required actions are taken to correct the situation. In addition, the Process Owner is responsible for the approval of all proposed changes to the process, and development of process improvement plans.</p> <p>May delegate specific responsibilities to another individual within their span of control, but remains ultimately accountable for the results of the ChM process.</p>	<ul style="list-style-type: none"> • Ensures that the Change Management process and working practices are effective and efficient • Ensures that all stakeholders are sufficiently involved in the Change Management process • Ensures tight linkage between Change Management processes and other related processes • Ensures that the process is defined, documented, maintained, and communicated • Ensures organizational adherence to the process • Establishes and communicates the process roles and responsibilities • Decision maker on any proposed enhancements to the process. • Ensures the requirements for the Change Management system/tool are defined and secures the appropriate funding • Establishes and communicates the process performance metrics • Ensures the process documentation complies to the organization's document control process
Role #2 Change Domain Expert (CDE)	
<p>Recognized Subject Matter Expert (SME). Invited to CAB reviews when RFC falls within individual's expertise.</p>	<ul style="list-style-type: none"> • Creates RFCs when required • Provides comprehensive and accurate information for inclusion in RFC records • Provides specialized skills and knowledge of one or more domains (technical, business, and/or application) to assist in the evaluation of the risk and impact of an RFC • Ensures the Change Manager is informed as to the proposed schedule, impact, and cost of changes • Involved in performing root cause analysis on failed changes • Identifies and documents corrective actions for failed changes



Role	Overall Responsibility
Role #3 Change Manager	
Responsible for the daily operational management of the ChM process, including the coordination of reviews, reporting, and scheduling.	<ul style="list-style-type: none"> • Change Classification <ul style="list-style-type: none"> — Analyzes and seeks to understand change integration across the environment — Ensures that RFCs that do not meet the defined requirements are rejected • Change Advisory Board (CAB) <ul style="list-style-type: none"> — Reviews all outstanding RFCs awaiting consideration or action — Chairs the CAB meetings — Ensures management and customers are sufficiently informed as to schedule, impact, and cost of changes — Ensures that the CABs are authoritative and effective — Decides on the composition of the CABs, and who is involved in assessing and validating the Change schedule • Change Scheduling <ul style="list-style-type: none"> — Schedules all required non-emergency RFCs for CAB authorization, issues agendas and circulates all RFCs to CAB members in advance of authorization/meetings to allow prior consideration — Ensures communication of the Change Schedule (CS) across the organization — Ensures the Change Schedule (CS) is updated when required and published • Change Implementation <ul style="list-style-type: none"> — Raises Change-related issues to the required level of management — Ensures that all RFCs are closed • Post-Implementation <ul style="list-style-type: none"> — Reviews all implemented changes (post-change reviews) — Analyzes change records to detect any positive trends or problems and proposes actions to rectify apparent weak areas in the Change Management process
Role #4 Change Advocate	
Oversees and guides the RFC through the ChM process; aligned with the Change Requester.	<ul style="list-style-type: none"> • Responsible for the shepherding of a specific change (as submitted by a Change Requester) throughout the ChM process • Assigns an initial priority, risk, and impact based on predefined change priority definitions • Follows the Change Management process for building, testing, and implementing a change • Provides additional information regarding the change when requested by the Change Manager • May provide or seek funding change • Monitors Progression of change • Communicates change status to the IT Service stakeholders. • Participates in the Post-Implementation Review process if requested • Recommends closure of assigned RFC <p>Note: Not all changes require a Change Advocate.</p>



Role	Overall Responsibility
Role #5 Change Requester	
Initially submits the RFC, triggering the ChM process.	<ul style="list-style-type: none"> • Follows the Change Management process for submitting an RFC • In liaison with the Change Advocate, provides a clear description of the business needs, goals, and objectives of the requested change • Provides additional information regarding the change when requested by the Change Manager • Confirms the completed change can be closed after notification from the ESD that the work has been completed • Participates in the Post-Change Review process if requested
Role #6 Emergency CAB (ECAB) Voting Member	
ECAB member that retains the authority to vote on a specific RFC.	<ul style="list-style-type: none"> • Validates the emergency change is truly an emergency (based on emergency change criteria) • Ensures RFC for Emergency Change is complete: <ul style="list-style-type: none"> — Has there been Adequate Planning — Check for Implementation Readiness — Are there Testing and Back-out Plans — Does anyone need Training — Who is affected by Scheduling — Has the Change Owner had adequate communication with customers regarding downtime • Ensures RFC for Emergency Change receives appropriate authorization (based on ChM Policy) • Makes the final decision that the resolution proposed to correct the production issue is the best option given the situation • Ensures Emergency Change is reviewed by the CAB after implementation • The ECAB consists of a change approver(s) according to the change approval matrix for each change model.
Role #7 Enterprise CAB Members (EntCAB) Voting Member	
CAB member that retains the authority to vote on a specific RFC.	<ul style="list-style-type: none"> • Attends all relevant CAB meetings as required by the Change Manager • Reviews all submitted Major and Significant RFCs to validate their impact, resources required to implement them, and any ongoing costs • Provides decision upon review, or requests more information, for each Normal – Major CR • Participates in scheduling and coordination of the Forward Schedule of Changes • Supports all CAB recommendations • When requested, participates in Change Post-Implementation Reviews • EntCAB consists of a change approver(s) according to the change approval matrix for each change model.



Role	Overall Responsibility
Role #8 Change Coordinator	
Acts as a liaison between the process and external organizations (e.g., PORs, Regions, etc.) at the behest of the Change Manager.	<ul style="list-style-type: none"> • Ensures RFCs submitted are valid, complete, and accurate • Rejects any RFC that does not meet the defined requirements • Applies the required categories to submitted RFCs • Applies the required priorities to submitted RFCs • Determines type of RFC and identifies appropriate Change Advocate • Provides input to management regarding staff skill levels for Change Management • Provides input into important decisions regarding Change Management supporting technology requirements • Raises Change-related issues to the required level of management • Participates in other ITSM process initiatives and process reviews deemed necessary by the Change Manager • Participates in POR and Regional Change activities as necessary (i.e., as directed by the Change Manager(s))

369

370 3.1.2 Responsibilities

371 Processes may span departmental boundaries; therefore, procedures and work instructions within
 372 the process need to be mapped to roles within the process. These roles are then mapped to job
 373 functions, IT staff and departments. The process owner is accountable for ensuring process
 374 interaction by implementing systems that allow smooth process flow.

375 The Responsible, Accountable, Consulted, Informed, Participant (RACI-P) model is a method
 376 for assigning the type or degree of responsibility that roles (or individuals) have for specific
 377 tasks.

- 378 • **Responsible** – Completes the process or activity; responsible for action/implementation.
 379 The degree of responsibility is determined by the individual with the ‘A’.
- 380 • **Accountable** – Approves or disapproves the process or activity. Individual who is
 381 ultimately answerable for the task or a decision regarding the task.
- 382 • **Consulted** – Gives needed input about the process or activity. Prior to final decision or
 383 action, these subject matter experts or stakeholders are consulted.
- 384 • **Informed** – Needs to be informed after a decision or action is taken. May be required to
 385 take action as a result of the outcome. This is a one-way communication.
- 386 • **Participant** – Assists ‘R’ in the execution of the process and/or activity.

387 Table 4 establishes responsibilities for high-level process activities by organization for the
 388 enterprise ChM process. Note that subordinate organizations (Regional and Local) have their
 389 own RACI-P charts, which align with the enterprise.



390

Table 4. Responsibilities for Enterprise ChM*

ChM Process Activities	MCNOSC	HQMC (C4)	MCSC (POR)	MCCDC	RNOSC	MITSC	Application Owner	Tenant/Supported Command
Initiate RFC	RA	P	P	P	CP	P	CP	CP
Create and Record RFC	RA	I	P			P	CP	
Assess RFC	RA		CP		CP	P	CP	
Authorize RFC	RA		CP		CP	P	CP	
Approve Schedule and Deployment	RA	I	P	I	CP	P	CP	I
Coordinate Deployment	RA	I	P	I	PC	PC	CP	I
Review and Close Change	RA	I	I		CP	CP	CP	

Legend:
Responsible (R) – Completes the process or activity
Accountable (A) – Authority to approve or disapprove the process or activity
Consulted (C) – Experts who provide input
Informed (I) – Notified of activities
Participant (P) – Assists in execution of process or activity

Note: Any department that is designated as Responsible, Accountable, Consulted, or Participant is not additionally designated as Informed because being designated as Responsible, Accountable, Consulted, or Participant already implies being in an Informed status. A department is designated as Informed only if that department is not designated as having any of the other four responsibilities.

Note: Only one department can be accountable for each process activity.

391

392

393

*This RACI-P chart depicts responsibilities (only) for *enterprise* changes.

394 3.2 Policies

395 This process requires the following policies for success:

396 1. Roles established

397 ChM has a process owner who acts as adjudicator, a process manager, and other key
 398 roles allowing for the integration of the ChM process with other POR/Regional ChM
 399 processes (i.e., CABs), as appropriate.

400 2. C4 guidance

401 Certain assumptions are made regarding this process. The following is C4
 402 implementation guidance:

403 a. Audit intervals

404 b. Funding



405 c. Span of authority (e.g., CAB membership)

406 d. Types of changes (e.g., standard)

407 e. Sponsorship and engagement

408 3. Awareness Campaign

409 A comprehensive awareness campaign is planned and carried out as part of process
410 implementation to ensure proper communication to users, stakeholders, and support
411 personnel.

412 4. Compliance with Governance requirements (See Appendix C for more information)

413 a. DIACAP requirements for releases that affect the security posture of the network
414 are followed

415 b. DoD compliance including Common Criteria Certification

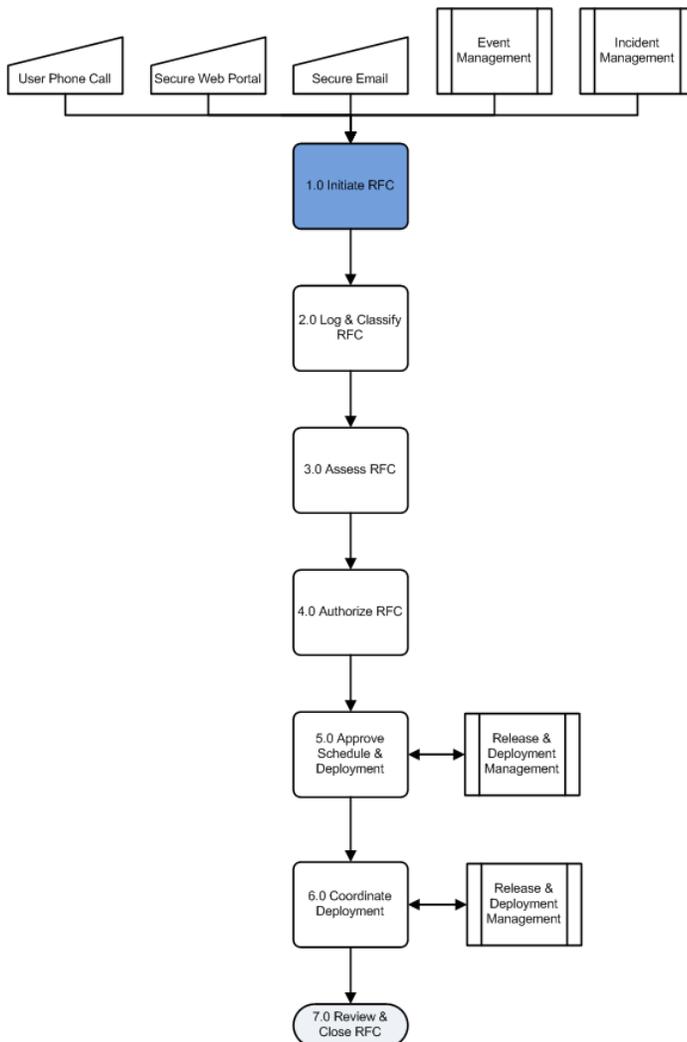
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418 **4.0 SUB-PROCESSES**

419 The USMC ChM process consists of seven (7) sub-processes. These Level C processes (or
420 activities) are described below, and remain relevant to the structure and activities adopted at the
421 regional and local levels.

422 **4.1 Initiate RFC**

Any user may submit an RFC via available tools (email, web portal, ITSM tool front-end, etc.). All RFCs, at a minimum, are reviewed by the first line manager prior to CAB submission or escalation (as determined by the change type and classification). Wherever possible, RFCs should first be managed by existing ChM processes in accordance with the location of the user. For example, an active member of a POR that wishes to modify a CI within that POR's span of control, even if the resulting impact may be enterprise-wide, should first submit the RFC to the POR ChM process. Similarly, users at the local level (base, post, or station) should filter RFCs through their own, local ChM process in conjunction with Command policies.

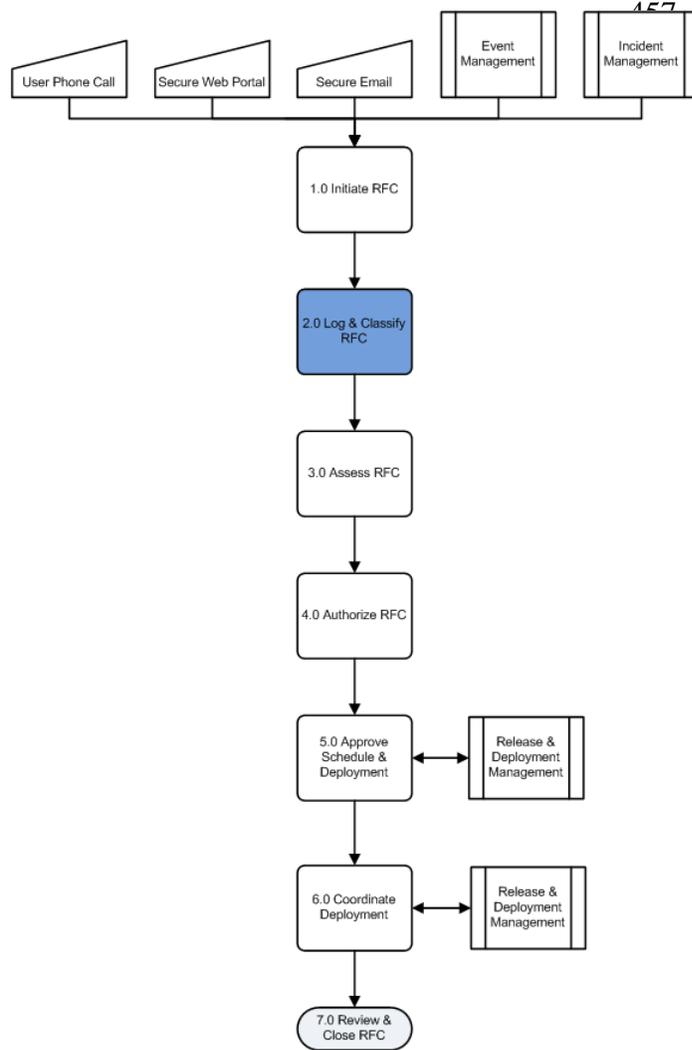
These peer-level gates act as filters for RFCs so the enterprise ChM process (1) is not inundated with multiple non-appropriate RFCs, and (2) does not become a burden on functioning ChM process at the Region (POR/MITSC/RNOSC) or Local levels.

450 Change Coordinators serve as resource
451 interfaces between Regional and Local ChM processes (i.e., CABs) and the EntCAB.

452 In summary, RFCs that propose to impact an enterprise service, or affect the standardization of
453 CIs (systems, services, or infrastructures) between Region and/or Local commands must be
454 brought to the attention of the Enterprise ChM process.

455



456 **4.2 Log & Classify RFC**

The objectives of the *Log & Classify RFC* activity are:

- To enable the proper logging of a valid (accepted) RFC
- To evaluate the RFC against defined change procedures and policies and, when appropriate, to return incomplete or invalid RFCs to the initiator
- To properly classify the change in accordance with defined Impact, Urgency, and Priority definitions

The *Log & Classify RFC* activity begins with the acceptance of a user-initiated RFC (see *1.0 Initiate RFC*). RFCs are triggered for a wide variety of reasons, and from a wide variety of sources. RFCs can be concerned with any part of the infrastructure or with any service or activity. RFCs within the scope of the Enterprise ChM process include those changes that affect CIs within the enterprise CMDB (system or service).

The formal creation of an RFC from a user-submitted request necessitates that all required information is logged.

483 Incomplete, inaccurate, or non-applicable (e.g., out of scope or non-enterprise) submissions are
 484 returned to the user or originating body. Wherever possible a rationale for return is provided; for
 485 in-scope but inaccurate or incomplete requests, a detailed list of further required information is
 486 provided. A properly completed and scoped RFC is *logged* using the naming conventions and
 487 chronological serialization in accordance with established Service Asset & Configuration
 488 Management policies.

489 There are the following types of changes:

- 490 • Normal Change: Any alteration to the production IT environment or any planned action
 491 that may cause an interruption of IT Services. Normal Changes require formal ChM
 492 control, review, and authorization, and they follow the standard ChM process activities.
- 493 • Emergency Change: A change that must be introduced as soon as possible. For example,
 494 to resolve or avoid a Major Incident that has high impact or severe degradation on the
 495 operation of the MCEN, or a priority security event such as implementing a security patch



496 that is vital to the mission effectiveness of deployed and contingency USMC forces. An
497 Emergency Change must be implemented within a timeframe that does not allow normal
498 change review; therefore Emergency Changes follow a condensed Normal Change
499 process. Emergency changes are submitted to the ECAB for authorization or rejection.
500 The ECAB is a sub-set of the CAB that makes decisions about Emergency Changes.
501 Membership of the ECAB may be decided at the time a meeting is called, and depends on
502 the nature of the Emergency Change.

503 **NOTE:** Each RFC is reviewed for its particular circumstances. A Critical or High Priority
504 value, or a high Risk value does not necessarily mean that a change is an emergency.

505 • Standard Changes: A change to a service or infrastructure that is low-risk, low-cost,
506 relatively common, frequently occurring, and has a proven and documented
507 implementation plan. These types of changes are well-documented and are therefore pre-
508 authorized. A Standard Change requires pre-authorization by ChM and the CAB, but once
509 authorized they do not require case-by-case ChM authorization. RFC initiation is not
510 required to implement a Standard Change. They are logged and tracked using a different
511 mechanism, such as a Service Request. Standard Change examples:

- 512 ○ Password change
- 513 ○ Upgrade of a Personal Computer (PC)
- 514 ○ Desktop move for a single user

515 Changes are assigned a priority classification based on the result of the Change Management
516 *Impact, Urgency* and *Priority* system.

517 • Impact is defined as the measure of the effect of a change on the USMC's mission,
518 services, and systems.

519 • Urgency of a change is based on how long the implementation can afford to be delayed
520 (to resolve a situation or fulfill a need).

521 • Priority is the result of Impact and Urgency and denotes the classification (i.e., *Critical*,
522 *High*, *Medium*, or *Low*) and relative importance of a change (its Priority) as compared to
523 other changes.

524



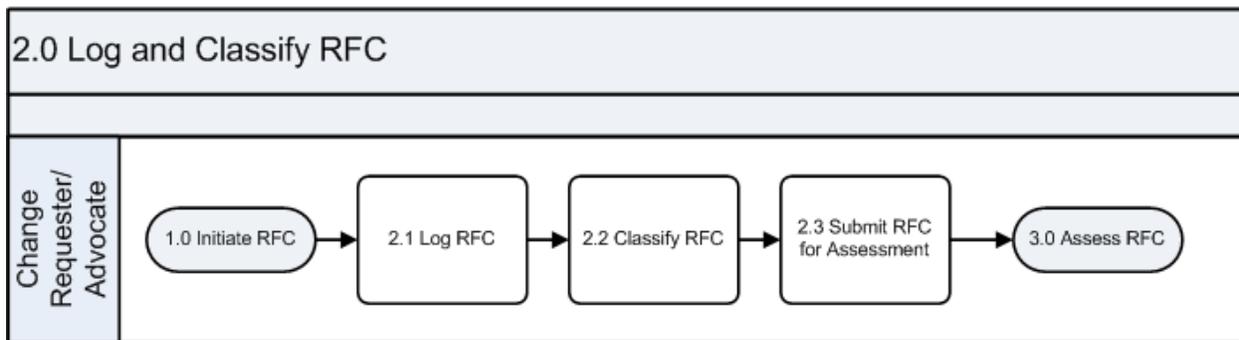
525 The *Impact* and *Urgency* system is shown in Figure 10 below, with its resulting *Priority*
526 classification (*Critical, High, Medium, or Low*).

URGENCY	IMPACT			
	1 – Extensive / Widespread	2 – Significant / Larger	3 – Moderate / Limited	4 – Minor / Localized
1 – Critical	Critical	Critical	High	High
2 – High	Critical	High	High	Medium
3 – Medium	High	Medium	Medium	Medium
4 – Low	Low	Low	Low	Low

527

528

Figure 10: ChM Impact and Urgency Classification System



529

530

Figure 11: ChM Log and Classify RFC Sub-Process

531 Table 5 describes the Log and Classify RFC sub-process steps as depicted above in Figure 11:

532

Table 5. ChM Log and Classify RFC Sub-Process Descriptions

2.0 Log and Classify RFC		
Number	Process Activity	Description
2.1	Log RFC	<ul style="list-style-type: none"> • Provide an RFC summary and detailed notes. • Provide RFC miscellaneous details (e.g., information about the RFC requester; the IT Service(s) affected by the change; the action to be taken, and the equipment, software, or systems that the action is to be taken against, etc.). • Provide required information as per the Change Model type (e.g., Back-Out Plan, Deployment Plan). • Associate CIs to the RFC. • Provide a schedule for when the RFC should be deployed. • Provide the standard impact analyses: Technical Impact Analysis, IT Services and Service Catalog Impact Analysis, USMC Mission or Program Impact Analysis,



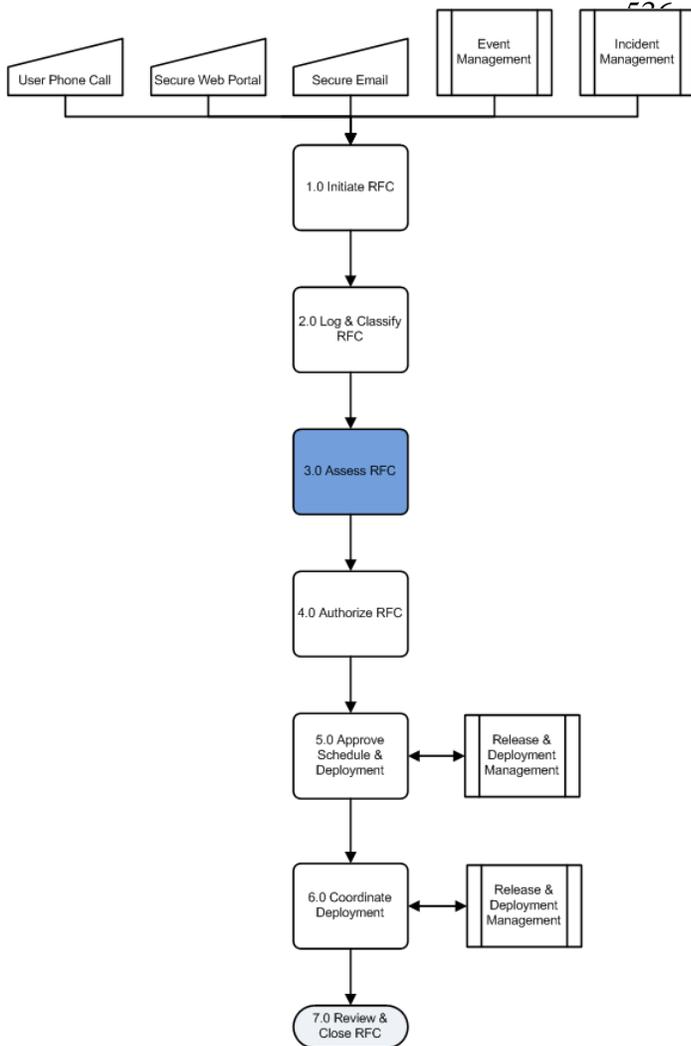
2.0 Log and Classify RFC		
Number	Process Activity	Description
		and the Scheduling and Deployment Analysis.
2.2	Classify RFC	<ul style="list-style-type: none"> • Provide Impact, Urgency and Priority information about the RFC: <ul style="list-style-type: none"> ○ <i>Impact</i> is defined as the measure of the effect of a change on the USMC's mission, services, and systems. ○ <i>Urgency</i> of a change is based on how long the implementation can afford to be delayed (to resolve a situation or fulfill a need). ○ <i>Priority</i> is the result of Impact and Urgency and denotes the classification (i.e., <i>Critical, High, Medium, or Low</i>) and relative importance of a change (its Priority) as compared to other changes. • Provide Risk information about the RFC: Risk is the probability of an event that could cause harm, damage, injury, liability, loss, or affect the ability to achieve objectives. A risk is measured by the likelihood of a threat, the vulnerability of an asset to that threat, and the impact if it occurs.
2.3	Submit RFC for Assessment	Submit the RFC for assessment to the Change Management organization responsible for reviewing it.

533

534



535 **4.3 Assess RFC**



The objectives of the *Assess RFC* activity are:

- To validate RFC (completion, accuracy, classification, etc.)
- To determine the level of review required for deciding the RFC (including whether external review processes/authorities are required)

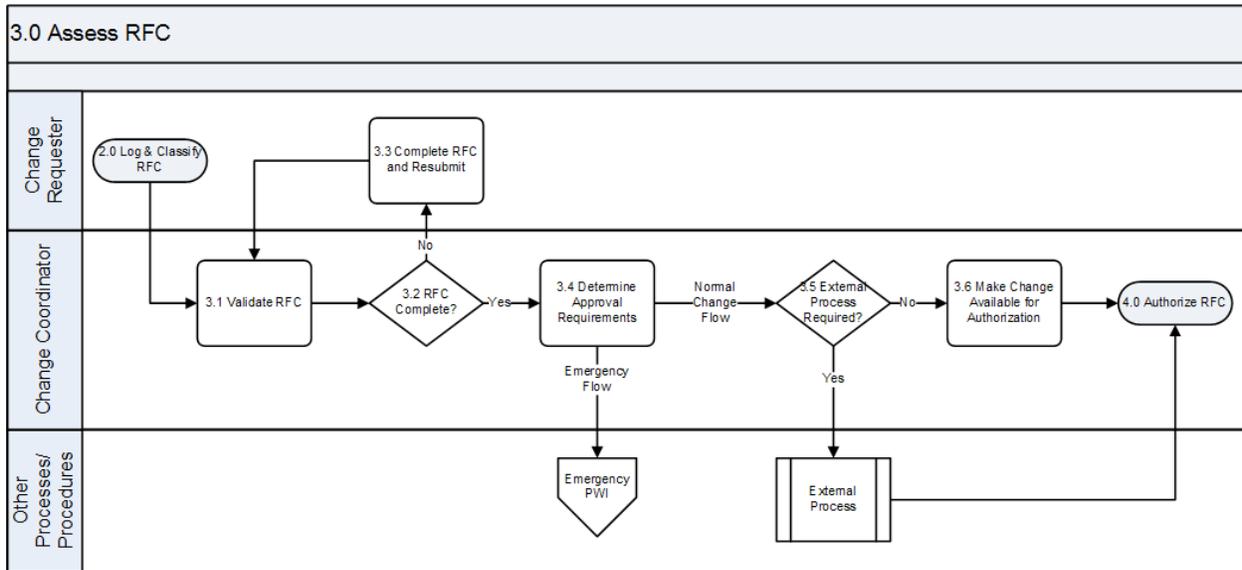
The *Assess RFC* activity analyzes each RFC to determine its impact on existing and planned CIs as well as the impact on resources required to build and deploy the change. This involves identifying the appropriate change model for handling the RFC from the previous Level C process, scheduling an EntCAB meeting (or other review meeting, as appropriate) if specified by the change model, and obtaining a complete set of analysis results and issues.

The urgency required for change implementation is assessed. When combined with the mission impact, changes are assigned a priority. Additional factors influence change

562 prioritization, including financial, contract, certification, and security requirements. These factors
563 are reviewed by the appropriate functional representation.

564





565

566

Figure 12. ChM Assess RFC Sub-Process

567 Table 6 describes the Assess RFC sub-process steps as depicted above in Figure 12:

568

Table 6. ChM Assess RFC Sub-Process Descriptions

3.0 Assess Change		
Number	Process Activity	Description
3.1	Validate RFC	Determine if accurate change model (e.g., minor, standard, major) has been ascribed to the change via 2.0, <i>Log & Classify Change</i> . The Change Manager retains authority to modify classification. Determine completeness of RFC. The Change Manager retains authority to return the RFC to the Change Requester for further action.
3.2	RFC Complete?	
3.3	Complete RFC and Resubmit	If the RFC is determined to be incomplete by the Change Manager, the Change Advocate (working with Change Requester as required) reviews the information required to complete the RFC, performs the requested actions to complete the RFC, and re-submits the RFC for validation. If the RFC is determined to be complete, it progresses to step 3.4, <i>Determine Approval Requirements</i> .
3.4	Determine Approval Requirements	During this activity it is determined the level of rigor with which the change is reviewed and the number of persons and/or organizations that must review the change before it continues along the process flow. In accordance with the RFC, CAB review may be required; in such instances the composition of the CAB is also determined. Personnel outside the core CAB team are identified as appropriate review authorities for the RFC in question.



3.0 Assess Change		
Number	Process Activity	Description
3.5	External Process Required?	<p>Certain changes will fall outside the span of control of the enterprise ChM process. These include, but are not limited to, Universal Needs Statements (UNS), Urgent UNS and Engineering Change Proposals (ECP). RFCs meeting these criteria are routed outside the enterprise ChM process and are subjected to external processes before being adjudicated. RFCs that are authorized externally re-enter the enterprise ChM flow within activity 5.0, <i>Approve Schedule and Deployment</i>.</p> <p>Please refer to sections 2.3.1.1, 2.3.1.2, and 2.3.1.3 for a description and discussion of the acquisition lifecycle and potential ChM outputs (e.g., ECP, UNS, etc.).</p>
3.6	Make Change Available for Authorization	<p>Pertinent information on the change is tailored to the respective reviewing body (e.g., technical information for the technical assessment team) and forwarded accordingly. Change Manager acts as task manager, forwarding due dates and communications framework with technical and/or business and programmatic details.</p>

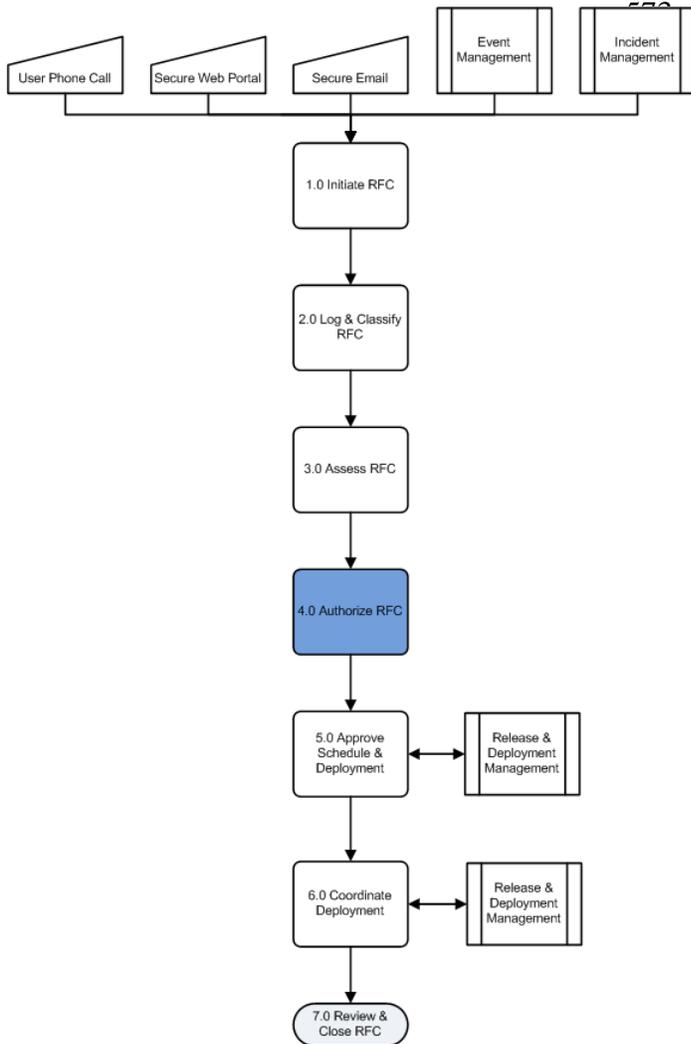
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572 **4.4 Authorize RFC**

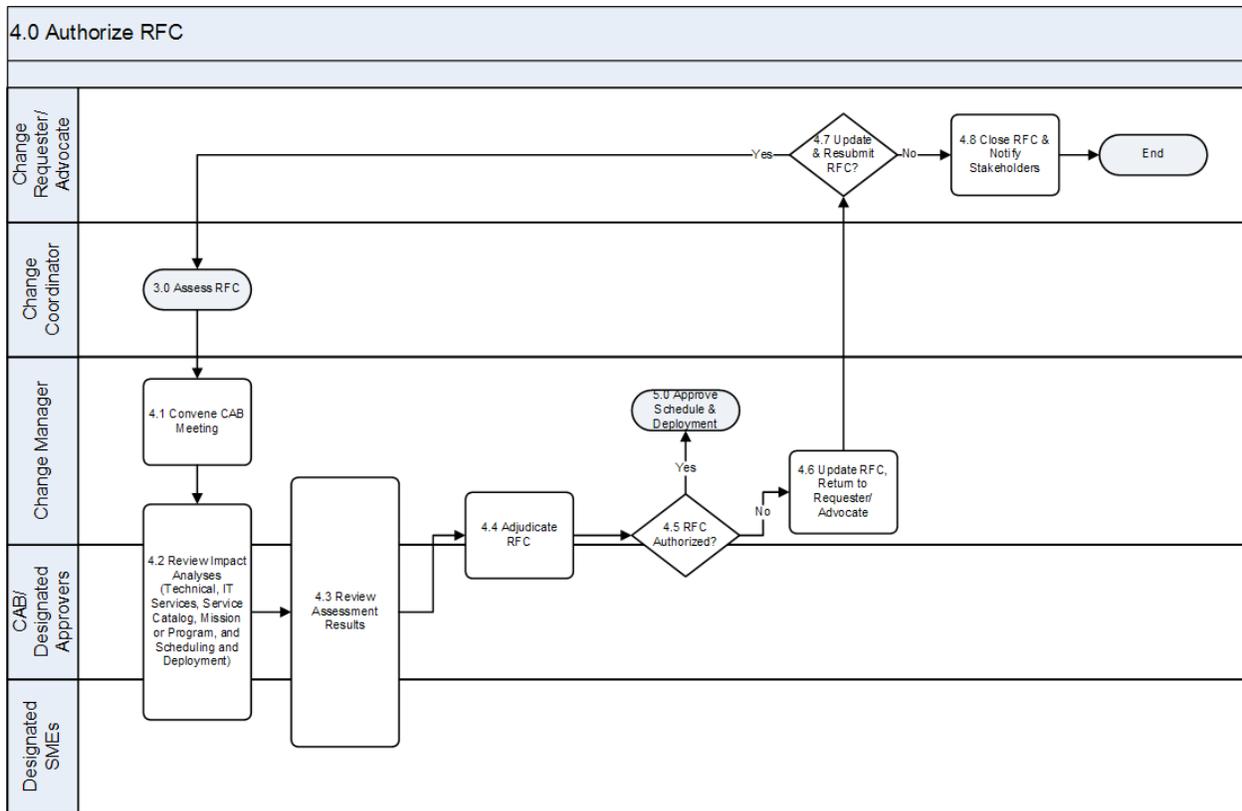


Authorize RFC is initiated at the completion of the *Assess RFC* sub-process when a change, including pertinent review information, is ready for final authorization by the decision authority.

The objectives of this activity are:

- To perform impact analyses across technical, mission, and/or programmatic lines
- Review the RFC and accompanying information for purposes of deciding the RFC
- Decision the RFC (e.g., authorize, reject)





593

594

Figure 13. ChM Authorize RFC Sub-Process

595

Description of the Authorize RFC workflow sub-process is given in Table 7.

596

Table 7. ChM Authorize RFC Sub-Process Descriptions

4.0 Authorize RFC		
Number	Process Activity	Description
4.1	Convene CAB Meeting	The CAB meets to review and provide advice on submitted RFCs.
4.2	Review Technical Impact Analysis	Designated reviewers assess the impact and risk of the proposed change to relevant technical operations. Reviewers also assess the impact and risk of <i>not</i> implementing the change, especially if the change is to fix or improve existing technical operations of infrastructure components.
	Review IT Services and Service Catalog Impact Analysis	Designated reviewers assess the impact and risk to IT Services and the Service Catalog structure and content.
	Review USMC Mission or Program Impact Analysis	Designated reviewers assess the impact and risk of the proposed change to USMC operations or program schedules/cost. Reviewers also assess the impact of <i>not</i> implementing the change, especially if the change is to fix or improve existing mission or program activities.
	Review Scheduling and Deployment Analysis	Designated reviewers review the Change Calendar (contains information about all the upcoming changes and their implementation dates), deployment approach (e.g., how the RFC will be deployed within deployment windows and the recommended number of RFCs), required resources (e.g.,



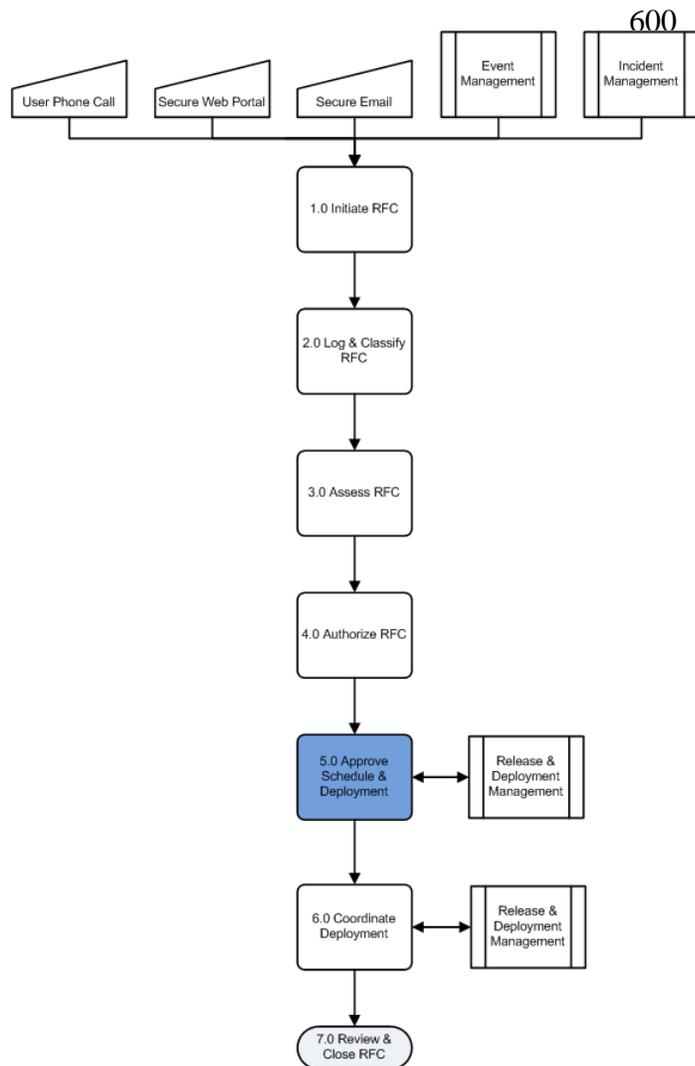
4.0 Authorize RFC		
Number	Process Activity	Description
		personnel, equipment), and projected service availability impact, including impact on SLAs (where available).
4.3	Review Assessment Results	Conduct review of collected business, program, and/or technical impact assessments. Determine urgency of the change. Prepare information for eventual review by the decision authority (e.g., EntCAB). Ensure that required RDM involvement is coordinated with the appropriate RDM Manager.
4.4	Adjudicate RFC	The decision authority, as determined by the type of the RFC, adjudicates the RFC (see 2.3.1.2) or submits recommendation to the appropriate approval authority.
4.5	RFC Authorized?	Authorized RFCs progress to the next activity, <i>Approve Schedule and Deployment</i> . Note authorized RFCs are subject to deployment review (by ChM and/or RDM) and are not automatically approved for implementation.
4.6	Update RFC, Return to Requester/Advocate	Unauthorized RFCs are updated with the rationale for rejection, such as incomplete data, lack of funding, ambiguous or unknown benefits of change implementation, etc., and Rejected/Closed. Unauthorized RFCs are returned to the Change Advocate/Change Requester with the accompanying rationale.
4.7	Update and Resubmit RFC?	The Change Requester and/or Change Advocate retain the ability to modify the RFC based upon feedback and re-submit, provided noted discrepancies have been properly addressed.
4.8	Close RFC and Notify Stakeholders	RFCs placed in a final state (<i>Rejected, Cancelled, or Closed</i>) must be communicated to the stakeholders via the Change Manager, a designated representative, or the Enterprise Service Desk (ESD).

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599 **4.5 Approve Schedule and Deployment**



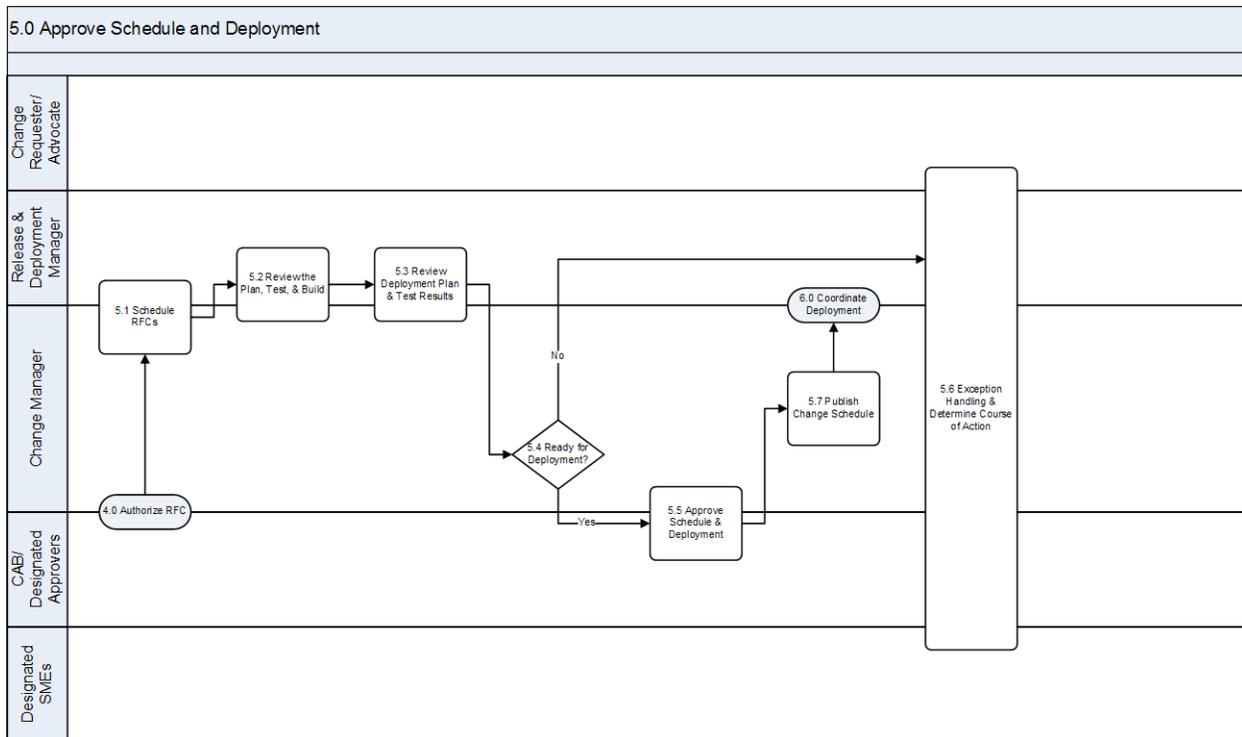
629 service availability.

The objective of this activity is to finalize scheduling and approve deployment of authorized changes and ensure such changes remain aligned with mission needs. ChM confers with RDM on planning the release (requirements, duration, resources, etc.) and incorporating the change into a release package. RDM oversees testing the release package according to the approved test plans (including tests of the Deployment Plan, the Back-out Plan, etc.). ChM receives the results of the testing from RDM; this includes issues, risks, recommendations and action plans. Unsuccessful testing can mean the RFC needs additional work and needs to go through the 4.0 Authorize RFC process activities again for review and adjudication.

The Change Manager is responsible for deconflicting Change Schedules, and publishing the schedule accordingly. The result is an updated Change Schedule, containing details of all approved changes and their implementation dates, projected service availability, containing details of changes to agreed Service-Level Agreements (where available) and

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Figure 14. ChM Approve Schedule and Deployment Sub-Process

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Description of the Approve Schedule and Deployment workflow sub-process is given in Table 8.

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Table 8. ChM Approve Schedule and Deployment Sub-Process Descriptions

5.0 Approve Schedule and Deployment		
Number	Process Activity	Description
5.1	Schedule RFCs	ChM and RDM schedule RFCs that are “authorized but unscheduled” (i.e., RFCs that the designated authorizer(s) and CAB authorized but did not specifically schedule in 4.0 <i>Authorize RFC</i>).
5.2	Review the Plan, Build, and Test	ChM confers with RDM and monitors and ensures that planning, building and testing of the release occurs according to the approved plans.
5.3	Review Deployment Plan and Test Results	RDM collates the results of testing – including the risks, mitigation and recommended exception handling – and reports the results to ChM (and the authorizer(s) and CAB, as required). ChM reviews the test results, including the issues, risks, recommendations and action plan.
5.4	Ready for Deployment?	Based on the test results ChM determines whether the RFC/Release is ready to deploy.
5.5	Approve Schedule and Deployment	When it’s determined that testing is successful then ChM authorizes the scheduling and deployment of the RFC/Release.
5.6	Exception Handling and Determine Course of Action	When it’s determined that testing is not successful then ChM initiates exception handling with RDM and determines a course of action.
5.7	Publish Change Schedule	ChM publishes the Change Schedule which contains



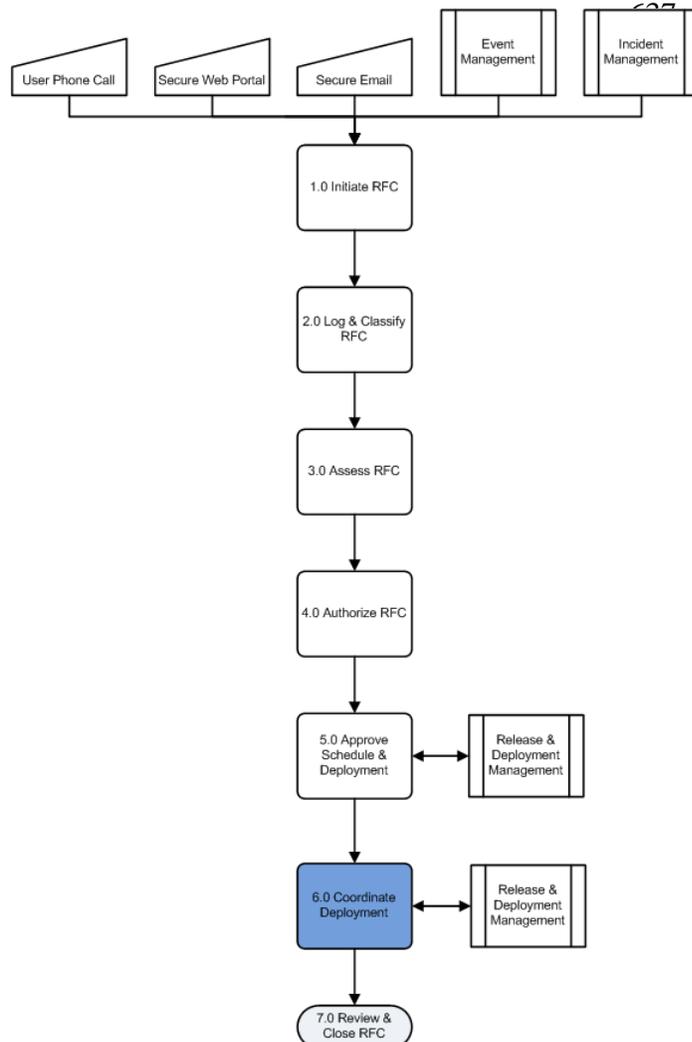
5.0 Approve Schedule and Deployment

Number	Process Activity	Description
		information about approved changes and their implementation dates.

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636 **4.6 Coordinate Deployment**

Objectives of this activity include:

- To ensure that changes are implemented according to the approved release schedule
- To ensure that changes are implemented according to the approved Deployment Plan and Back-out Plan (if required)
- To ensure that service disruption to the customers of IT Services is minimized

Change Management maintains shared responsibility with RDM for ensuring that changes are implemented as scheduled. This role is largely one of coordination and collaboration as the actual implementation is the responsibility of RDM and designated technical experts. Authorized changes, with their scheduled implementation dates and milestones, are passed to RDM and the relevant technical groups, and to the ESD.

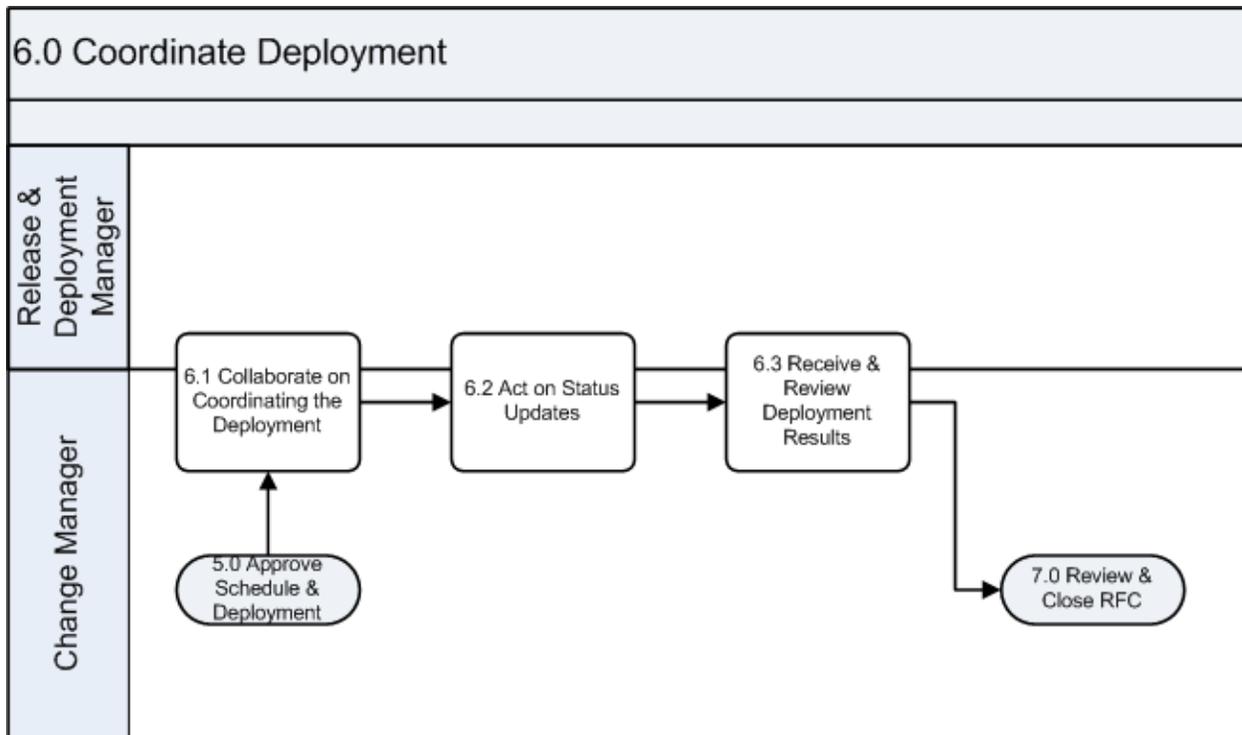
The Change Manager receives and acts on notifications and status updates

662 received from RDM. Notifications detail the deployment accomplishments including the
 663 acceptance criteria met and the readiness status. Updates from the deployment team may specify
 664 resolution action plans to solve any issues uncovered in the deployment with work-around
 665 activities to lessen service, application and user impacts.

666 If unrecoverable failures are encountered in the deployment, or if the release is at risk of
 667 breaching the approved deployment schedule, ChM may receive recommendations from RDM
 668 and the deployment team to initiate a back-out.

669 After the deployment is completed, RDM informs ChM on the result (i.e., successful or
 670 unsuccessful).





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Figure 15. ChM Coordinate Deployment Sub-Process

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Description of the Coordinate Deployment workflow sub-process is given in Table 9.

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Table 9. ChM Coordinate Deployment Sub-Process Descriptions

6.0 Coordinate Deployment		
Number	Process Activity	Description
6.1	Collaborate on Coordinating the Deployment	ChM and RDM collaborate on and maintain a shared responsibility in coordinating deployments. ChM and RDM ensure that: <ul style="list-style-type: none"> • RFCs are implemented according to the approved Test Plan(s), Deployment Plan, and Back-out Plan (as required). • RFCs are implemented according to the approved release schedule. • Service disruption to the customers of IT Services is minimized.
6.2	Act on Status Updates	ChM acts on status updates from RDM: <ul style="list-style-type: none"> • Notifications from RDM provide details about deployment accomplishments including the acceptance criteria met and the readiness status. Updates from the deployment team may specify resolution action plans to solve any issues uncovered in the deployment with work-around activities to lessen IT Service, application, and user impacts. • If unrecoverable failures are encountered in the deployment, or if the release is at risk of breaching the approved deployment schedule, ChM may receive recommendations to initiate a back-out.

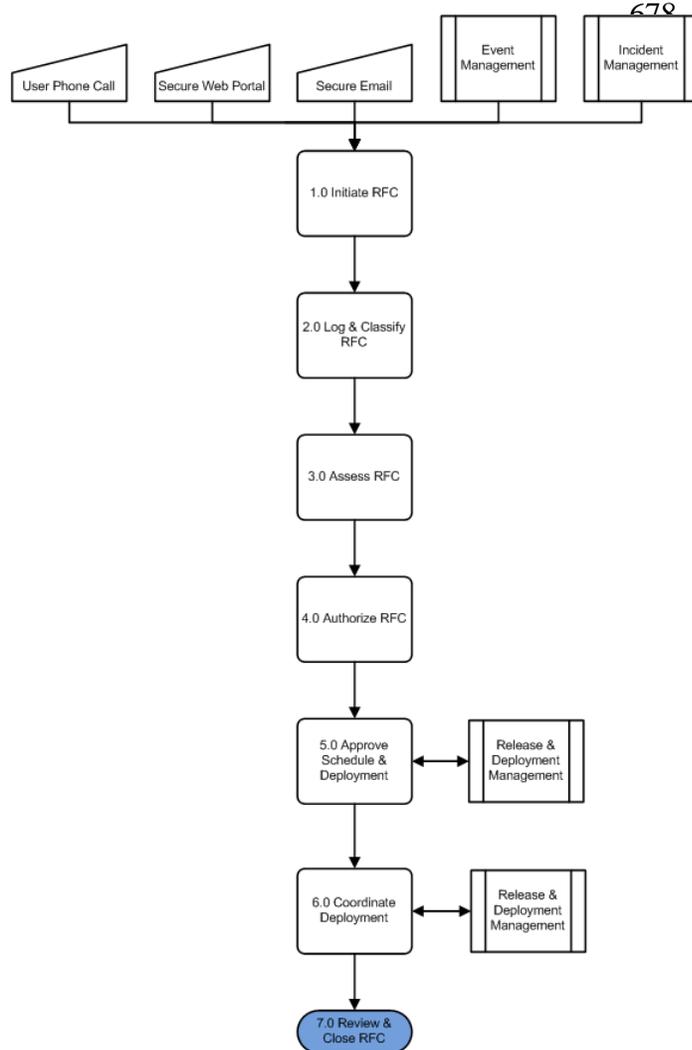


6.0 Coordinate Deployment		
Number	Process Activity	Description
6.3	Receive and Review Deployment Results	<p>After the deployment RDM informs ChM about the deployment results (i.e., successful or unsuccessful.)</p> <ul style="list-style-type: none">• Successful deployments are progressed to completed status.• Deployments that are not successful are noted as such and the reason why is communicated to the RFC Requester and stakeholders.

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677 **4.7 Review and Close RFC**

Objectives of this activity include:

- Closing Change Records when change implementation is completed
- Optimizing Change Management effectiveness and efficiency
- Enabling continuous improvement of the ChM process

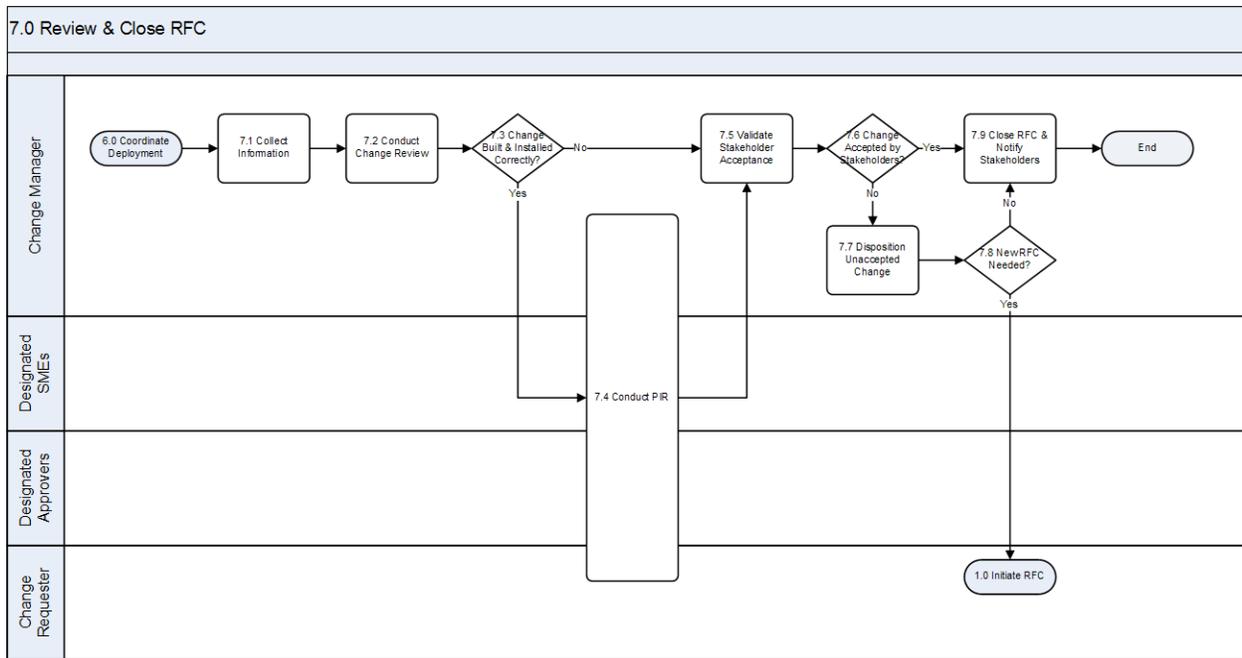
This activity describes the tasks involved in reviewing all implemented changes, after a predefined period has elapsed. It ensures that the Change has had the desired effect and met its objectives, and that Users and Customers are content with the results. The Review activity determines whether the Implementation Plan and/or the Back-out Plan worked correctly, and whether the Change was implemented on time and to cost. Additionally, the Change Manager validates RDM updated the CMDB with the configuration changes that occurred in the release. The Close activity determines whether any follow-up action (such as the creation of a new RFC) is required and if not, a formal close of the

704 RFC is performed. The closure of an RFC includes updating other process areas of the status of
705 the Change.

706 Any nonconformity should be recorded and actioned. Any weaknesses or deficiencies identified
707 in a review of the change control process are fed into service improvement plans.

708 Where a Change has not achieved its objectives, ChM decides what follow-up action is required,
709 which could involve raising a revised RFC. If the review is satisfactory or the original Change is
710 abandoned, the RFC is formally closed in the logging system.





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Figure 16. ChM Review and Close RFC Sub-Process

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Table 10. ChM Review and Close RFC Sub-Process Descriptions

7.0 Review and Close RFC		
Number	Process Activity	Description
7.1	Collect Information	The Change Manager gathers all pertinent information to include any provided stakeholder feedback in preparation for subsequent review.
7.2	Conduct Change Review	ChM reviews all implemented Changes after a predefined period has lapsed. The purpose of these reviews is to establish that: <ul style="list-style-type: none"> • The Change has the desired effect and met its objectives • Users and Customers (stakeholders) are content with the results, or any shortcomings are identified • There have been no unexpected or undesirable side-effects to functionality, availability, capacity/performance, security, maintainability etc. • The resources used to implement the Change were as planned • The implementation plan worked correctly (include comments from the implementers) • The Change was implemented on time and to cost • The back-out plan functioned correctly, if needed
7.3	Change Built and Installed Correctly?	A failed change (i.e., one not properly built or failing test activities) is always subject to Post Implementation Review (PIR).



7.0 Review and Close RFC		
Number	Process Activity	Description
7.4	Conduct PIR	A PIR is a formal change review activity that investigates failed changes or any change as directed by the Change Manager. A PIR covers all aspects of a standard change review with a focus on root cause analysis and continual service improvement for the purposes of preventing future failed changes. All Emergency Changes shall go to PIR. Review board members are invited at the behest of the Change Manager and include, at a minimum, the technical subject matter experts and those persons involved in the initial authorization activity for the change in question. The Change Manager is responsible for ensuring any action items that result from PIR are effectively addressed and closed.
7.5	Validate Stakeholder Acceptance	Upon completion of a change and the change review or Post-Implementation Review process, stakeholders are notified of the implementation and any exceptional circumstances that may have arisen.
7.6	Change Accepted by Stakeholders?	Stakeholders retain the ability to indicate non-acceptance of changes post-deployment. If changes are accepted (by expressed approval or absence of stakeholder comment), the change progresses to step 7.7.
7.7	Disposition Unaccepted Change	In the event stakeholders do not accept a change or the outcomes of a PIR, the Change Manager is responsible for communicating with unsatisfied stakeholders to ascertain the reasons for non-acceptance and the possible need and feasibility of a follow-on RFC initiation. If consensus and validation cannot be achieved, the disposition is escalated for action to the appropriate CAB.
7.8	New RFC Needed?	An RFC initiated as the result of this process is linked to the original RFC record; the new RFC follows the 1.0, <i>Initiate RFC</i> process, as documented.
7.9	Close RFC and Notify Stakeholders	The RFC is closed when it has been successfully implemented and accepted by involved stakeholders. Communication to stakeholders is via the Change Manager, designated representative, or the Enterprise Service Desk.

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Appendix A – ACRONYMS

717 The official list of E-ITSM acronyms can be found through the link referenced below:

718 https://ips.usmc.mil/sites/pg10docr/pm_ccr/E-ITSM/Shared%20Documents/Forms/AllItems.aspx

719



Appendix B – GLOSSARY

Term	Definition
Asset Management	Asset Management is the process responsible for tracking and reporting the financial value and ownership of assets throughout their lifecycle.
Back-out Plan	A Back-out Plan is developed in the Release planning phase. This plan provides a recovery plan to return to the original configuration or process if the release fails to achieve the planned outcome.
Backup	Backup is copying data to protect against loss of integrity or availability of the original data.
Change Schedule	A Change Schedule is a document that lists all approved changes and their planned implementation dates.
Configuration Control	Configuration Control is a sub-process of Configuration Management. Configuration Control is a set of processes and approval stages required to change a CI attribute. Configuration Control encompasses the oversight to ensure that a CI is changed through the Change Management process.
Configuration Identification	A sub-process of Configuration Management, Configuration Identification is the selection, identification, and labeling of the configuration structures and CIs including their respective technical owner and the relationships between them. CIs become the manageable unit that is planned for release into a configuration controlled environment. The CIs consist of hardware, software, services, and documentation.
Configuration Item	A Configuration Item (CI) is any component that needs to be managed in order to deliver an IT Service. Information about each CI is recorded in a Configuration Record within the Configuration Management System (CMS) and is maintained throughout its lifecycle by Configuration Management. CIs are under the control of Change Management. CIs typically include IT services, hardware, software, buildings, people and formal documentation such as process documentation and SLAs.
CI Type	CI Type is a category used to Classify CIs. The CI Type identifies the required attributes and relationships for a configuration record. Common CI Types include: server, document, user, etc.
Configuration Management Database	A Configuration Management Database (CMDB) is a database used to store configuration records throughout their lifecycle. The Configuration Management System (CMS) maintains one or more CMDBs and each CMDB stores attributes of CIs and relationships with other CIs.
Configuration Management Plan	Document defining how configuration management will be implemented (including policies and procedures) for a particular acquisition or program. (Source: MIL HDBK-61A)
Configuration Management System	A Configuration Management System (CMS) is a set of tools and databases used to manage an IT service provider's configuration data. The CMS also includes information about incidents, problems, known errors, changes, and releases and may contain data about employees, suppliers, locations, units, customers and users. The CMS includes tools for collecting, storing, managing, updating and presenting data about all CIs and their relationships. The CMS is maintained by Configuration Management and is used by all IT Service Management processes.
Deployment	Deployment is the activity responsible for movement of new or changed hardware, software, documentation, process, etc. to the live environment. Deployment is part of the Release and Deployment Management Process.
Deployment Readiness Test	A Deployment Readiness Test is conducted to ensure that the deployment processes, procedures, and systems can deploy, install, commission, and decommission the release package and resultant new or changed service in the production/deployment environment.
Deployment Verification Test	A Deployment Verification Test is conducted to ensure the service capability has been correctly deployed for each target deployment group or environment.



Term	Definition
Early Life Support	Early Life Support (ELS) involves Technical Management or IT Operations providing support for a new or changed IT service for a period of time after it is released. During ELS, the IT service provider may review the KPIs, service levels, and monitoring thresholds and provide additional resources for incident management and problem management (when implemented).
EM System	The EM System (EMS) is comprised of tools which monitor CIs and provide event notifications. It is a combination of software and hardware which provides a means of delivering a message to a set of recipients. The EMS often requires real-time interaction, escalation, and scheduling.
Environment	Environment is a subset of the IT infrastructure used for a particular purpose (e.g., live environment, test environment or build environment). It is possible for multiple environments to share a CI (e.g., test and live environments may use different partitions on a single mainframe computer). In the term physical environment, environment can be defined as the accommodation, air conditioning, power system, etc. Environment can be used as a generic term defined as the external conditions that influence or affect something.
Error	An Error is a design flaw or malfunction that causes a failure of one or more CI or IT services. A mistake made by a person or a faulty process that affects a CI or IT service is also an error.
Escalation	Escalation is an activity that obtains additional resources when needed to meet service-level targets or customer expectations.
Event	An Event is a piece of data that provides information about one or more system resources. Most events are benign. Some events show a change of state which has significance for the management of a CI or IT service. The term 'event' is also used to define an alert or notification created by any IT service, CI, or monitoring tool. Events typically require IT operations personnel to take actions and often lead to incidents being logged.
Event Correlation	Event correlation involves associating multiple related events. Often, multiple events are generated as a result of the same infrastructure fault. Events need correlation to prevent duplication of effort in resolving the original fault.
Exit and Entry Criteria (Pass/Fail)	These are criteria (defined well in advance and accepted by the stakeholders) defined at authorized points in the Release and Deployment Process to set expectations of acceptable/unacceptable results.
Fault	Fault is the deviation from <i>normal</i> operation of a CI or a series of CIs. A fault is a design flaw or malfunction that causes a failure of one or more CIs or IT services. Fault is also referred to as an error.
Governance	Governance is the process of ensuring policies and strategy are actually implemented and that required processes are correctly followed. Governance includes defining roles and responsibilities, measuring, and reporting and taking actions to resolve any issues identified.
Key Performance Indicator	A Key Performance Indicator (KPI) is a metric used to help manage a process, IT service, or activity. Many metrics may be measured, but only the most important of these are defined as KPIs and used to actively manage and report on the process, IT service, or activity. KPIs are selected to ensure that efficiency, effectiveness, and cost effectiveness are all managed.
Known Error	A Known Error is a problem that has a documented root cause and a work-around. Known errors are created and managed throughout their lifecycle by Problem Management. Known errors may also be identified by SIE or suppliers.
Monitoring	Monitoring is the process of repeated observation of a CI, IT service, or process to detect events and to ensure that the current status is known.
Notification	Notification is a communication that provides information.
Pilot	A Pilot is a limited deployment of an IT service, a release, or a process to the live environment. A pilot is used to reduce risk and to gain user feedback and acceptance.



Term	Definition
Process	A Process is a structured set of activities designed to accomplish a specific objective. A process takes one or more defined inputs and turns them into defined outputs. A process may include any of the roles, responsibilities, tools, and management controls required to reliably deliver the outputs. A process may define policies, standards, guidelines, activities, and work instructions, if needed.
Quality Assurance	Quality Assurance (QA) is the process responsible for ensuring the quality of a product and also ensuring it will provide its intended value.
Request for Change	A Request for Change (RFC) is a formal proposal for a change to be made. An RFC includes details about the proposed change
Role	A Role refers to a set of connected behaviors or actions that are performed by a person, team, or group in a specific context.
Severity	Severity refers to the level or degree of intensity.
Service Design Package	A Service Design Package (SDP) is composed of document(s) defining all aspects of an IT service and its requirements through each stage of its lifecycle. An SDP is produced for each new IT service, major change, or IT service retirement.
Service Improvement Plan	A Service Improvement Plan (SIP) is a formal plan to implement improvements to a process or IT service.
Service Knowledge Management System	A Service Knowledge Management System (SKMS) is a set of tools and databases used to manage knowledge and information. The SKMS includes the Configuration Management System (CMS) as well as other tools and databases. The SKMS stores, manages, updates, and presents all information that an IT service provider needs to manage the full lifecycle of IT services.
Service Level Agreement	A Service-Level Agreement (SLA) is an agreement between an IT service provider and a customer. The SLA describes the IT service, documents service-level targets, and specifies the responsibilities of the IT service provider and the customer. A single SLA may cover multiple IT services or multiple customers.
Service Validation and Testing	Service Validation and Testing is the process responsible for validation and testing of a new or changed IT service. Service Validation and Testing ensures an IT service matches the design specification and will meet the needs of the business. Service Validation and Testing during release conducts testing in the pre-production Systems Integration Environment (SIE) and during deployment in the pilot production environment.
Single Point of Contact	A Single Point of Contact (SPOC) is an agreement used to assign a single, consistent way to communicate within an organization or unit. For example, the Service Desk will be the SPOC for a service provider.
Snapshot	A Snapshot is the baseline as captured by a discovery tool. A snapshot can also be called a benchmark.
Test	A Test is an activity that verifies that a CI, IT service, or process meets its specification or agreed requirements.
Test Environment	A Test Environment is a controlled environment used to test CIs, builds, IT services, and processes.
Throttling	Some events do not need to be acted on until they have occurred a number of times within a given time period. This is called Throttling. Once a repeated event has reached its limit for repetition, forward that event to be acted upon.
User Acceptance Testing	User Acceptance Testing is a testing activity conducted by the user intended to verify a CI, IT service, or process meets a specification. It is also used to validate whether agreed requirements have been met.
Work-around	Work-arounds for problems are documented in known error records and are intended to reduce or eliminate the impact of an incident or problem for which a full resolution is not yet available. Work-arounds for incidents that do not have associated problem records are documented in the incident record.
Work Instruction	The Work Instruction is a document containing detailed instructions that specify exactly what steps are followed to carry out an activity. A work instruction contains much more detail than a procedure and is only created if very detailed instructions are needed.



723

Appendix C – POLICIES

724 References to industry governing policies and laws can be found through the link referenced
725 below:

726 https://ehqmc.usmc.mil/org/c4/projects/CP/eitsm/Shared%20Documents/E-ITSM_TO_13_Government_Policies.doc
727

728



729 **Appendix D – SAMPLE 1 – RFC TEMPLATE**

730 Document Header Section

IT Operations	Version: <1.0>
Change Request	Date: <dd/mmm/yy>
<document identifier>	

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Change Request Or Request for Change (RFC)

734 ***Change Information***735 *[The **Change Request** provides information about a requested change.]*736 Change ID or Brief Name737 *[Provide the short name or ID associated with this change.]*738 Change Description739 *[A brief description of the requested change.]*740 Requester741 *[Identify the individuals or teams requesting the change.]*742 Date of Request

743

744 Reason for Request745 *[Provide the reasons the change is requested.]*746 Priority747 *[Identify the priority associated with this change request.]*748 Current Status

749



750 **Findings**

751 Effects of Not Implementing the Change

752 *[Describe what would happen if the change is not implemented.]*

753 CIs Affected by the Change

754 *[Identify or describe the CIs that will be affected by the change. This may be a list of the actual CIs or, in*
755 *those cases where the change affects many CIs, may be a description of the types or locations of the CIs*
756 *that will be affected.]*

757 Remediation Plan

758 *[Describe what will happen if the change fails and the change must be backed out. Initially, this may be*
759 *high-level. After the change gets authorized, the remediation plan should be more detailed.]*

760 Assessment Summary

761 *[Summarize all of the assessments carried out of this request. Reference other documents that describe*
762 *assessment results in more detail.]*

763 CAB Members

764 *[Identify all CAB members for this change request.]*

765 CAB Recommendations

766 *[Describe the recommendation from the CAB to either authorize or reject the request.]*

767 Authorization

768 Decision

769 *[Provide the final decision]*

770 Authorization Signature

771

772 Authorization Date and Time

773

774 **Implementation Details**

775 Related Releases

776 *[Reference all releases used to implement the change.]*



777 Implementation Date and Time

778

779 Review

780 Reviewers

781

782 Summary

783 *[Summarize the results of the review.]*

784 Review Date

785

786 Review Actions

787 *[Identify all actions to be taken as a result of the review.]*

788

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Appendix E – SAMPLE 2 – RFC TEMPLATE

792

Note: The RFC template below is focused specifically on MCEITS. However, it serves as another representative sample of what an RFC could look like and data contained therein.

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Similarly, a template such as this could be used for garrison SIPRNet as well.





Marine Corps Enterprise Information
Technology Services

Request for Change Template
Rev. 2, 04/08/2009

MCEITS Request for Change Template

Requestor Name:

Prepared by (if different):

Department:

Telephone:

Date (MM/DD/YYYY):

1. Requestor Information

Fill in with appropriate information or place an "X" next to those that apply:

Proposed Change Description:

Provide information below concerning the requested change:

Description:

Justification:

Date Required
(MM/DD/YYYY):

Justification for
Date Required:

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**Marine Corps Enterprise Information
Technology Services**

Request for Change Template
Rev. 2, 04/08/2009

2. Initial Review Results of the Request for Change

RFC#:	Related Ticket #:		
Initial Review Date: <small>(MM/DD/YYYY)</small>	Assigned to:		
Area of Change:			
New Development <input type="checkbox"/>	Scheduled <input type="checkbox"/>		
Support Change <input type="checkbox"/>	Upgrade <input type="checkbox"/>		
Type of Change:			
Standard <input type="checkbox"/>	Normal <input type="checkbox"/>	Emergency <input type="checkbox"/>	
Priority of Change:			
High <input type="checkbox"/>	Medium <input type="checkbox"/>	Low <input type="checkbox"/>	No Impact <input type="checkbox"/>
<p>Potential Impact of NOT Implementing Proposed Change:</p> <p>Alternatives:</p> <p>Does this change impact any other system? If yes, list and explain.</p>			
Urgency Priority of Change:			
Urgent <input type="checkbox"/>	High <input type="checkbox"/>	Medium <input type="checkbox"/>	Low <input type="checkbox"/>
Action:		Comments:	
Approve for Impact Analysis <input type="checkbox"/>			
Reject <input type="checkbox"/>			
Defer Until <small>(MM/DD/YYYY)</small> <input type="checkbox"/>			

MCEITS Request for Change Form

Page 2

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**Marine Corps Enterprise Information
Technology Services**

Request for Change Template
Rev. 2, 04/08/2009

2. Initial Review Results of the Request for Change

Express Approval []
(requires signature of Reviewer)

3. Request for Change Form / Signatures

I have reviewed the information contained in this Request for Change and agree:

Name	Title	Signature	Date (MM/DD/YYYY)

The signatures above indicate an understanding of the purpose and content of this document by those signing it. By signing this document, they agree to this as the formal Request for Change.

4. MCEITS Change Impact Assessment

Investor: []

Date Submitted: []

Impact on other projects and programs:

Issues:

Risks:

Skill required:

Change cost estimate:

MCEITS Request for Change Form

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805



**Marine Corps Enterprise Information
Technology Services**

Request for Change Template
Rev. 2, 04/08/2009

4. MCEITS Change Impact Assessment

CI field:

Schedule impact:

Impact on systems:

Related documentation:

Impacted documentation:

Business Case	[]	Schedule	[]	Design	[]
Requirements	[]	Cost/Budget	[]	Code	[]
Specifications	[]	Resource Plan	[]	Test Cases	[]

Recommendations:

Schedule:

Requested by date: _____ Actual start date: _____

Planned start date: _____ Actual end date: _____

Planned end date: _____

Change, Backout, and Test Plan:

Change plan:

MCEITS Request for Change Form

Page 4

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**Marine Corps Enterprise Information
Technology Services**

Request for Change Template
Rev. 2, 04/08/2009

4. MCEITS Change Impact Assessment

Backout plan:

Test plan:



MCEITS Request for Change Form

Page 5

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