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<b>Policy Title:</b>	<b>IT Change Management Policy</b>
<b>Policy Number:</b>	<b>DoIT-361-703</b>
<b>Effective Date:</b>	<b>June 14, 2022</b>
<b>Issued By:</b>	<b>DoIT CIO</b>
<b>Distribution:</b>	<b>DoIT IT Resource Users</b>
<b>Approved by:</b>	<b>Raja Sambandam, Acting Cabinet Secretary</b>

## 1. AUTHORITY

Pursuant to the New Mexico Department of Information Technology Act, NMSA 1978, § 9-27-1 *et seq.*, the Secretary of the Department of Information Technology (DoIT or Department) shall exercise general authority over all department employees, manage all operations of the Department, and administer and enforce the laws with which the Secretary or the Department is charged.

Per 1.12.20.10(H) NMAC, proposed modifications to network and security equipment must be requested and approved for implementation through the agency change management procedure.

## 2. PURPOSE

DoIT recognizes the services it provides to agencies are vital to business operations. To track changes to DoIT's network environment and mitigate service disruption, a change management process must be followed. This Policy establishes the minimum level of change management controls required to minimize the potential for disruption to computer and communications systems and to prevent unauthorized changes to systems that could create errors or otherwise alter production data.

## 3. SCOPE

This Policy applies to DoIT infrastructure, data, applications, and all DoIT IT Resource Users.

## 4. DEFINITIONS

- a. **Change Initiator** - Party who generates the initial request for a production change.
- b. **Change Owner** - Party responsible for post-review change execution and advisement of how to communicate change procedures, lead change reviews for their appropriate service area, and perform change postmortems.
- c. **Change Control Board (CCB)** - The body that authorizes changes and assists in assessing and prioritizing changes. When a CCB is convened, members should be chosen who can ensure all changes within the scope of the CCB are adequately assessed from both a business and a technical viewpoint.
- d. **DoIT IT Resource Users** - All DoIT employees, contractors, and users of DoIT resources.
- e. **Emergency Change** - A change request used only when a change must be performed immediately to resolve a critical condition.
- f. **Production or Production Environment** – Active network, servers, storage, telecommunications and or applications that operate to serve DoIT day-to-day operations.

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### 5. POLICY

This Policy establishes the change management process. All DoIT production systems and applications are subject to a formal change control process to authorize and document any significant changes to production software, hardware, communications networks, and related procedures.

Significant changes are those deemed to pose a substantial risk to one or more systems. The change control process includes the planned initiation and identification of changes, prioritization and emergency change procedures, risk assessment, authorization, software updates, and testing changes prior to implementation.

#### Examples of these would include:

- a. Changes to programs, reports, or batch jobs in DoIT applications.
- b. A change in the routing topology of the WAN.
- c. Any change for a business-critical application that:
  - i. Upgrades any business-critical application, or
  - ii. Modifies the database structure or specific brand of database.
- d. Patches to operating systems and applications.
- e. Changes in cloud services or hosting services used by DoIT.

**Every change to production systems must be consistent with DoIT's internal controls and IT architecture. Each change must be approved by the CCB prior to implementation on DoIT's systems.**

#### 5.1. Required change management controls for production IT systems (non-emergency):

- a. **Change Request Initiation and Control:** The Change Initiator must document the request via the approved DoIT change request form within the DoIT ticket system.
- b. **Impact Assessment:** The impact on the business and the risks associated with the change shall be considered and documented as part of the change request form. This analysis should include, at a minimum:
  - i. Organizational and security impact of the change on all related systems.
  - ii. Necessary process flow changes that the modification might cause and development of a plan of action and milestones for mitigation of any weaknesses or deficiencies, if any.
  - iii. Analysis of required code changes, hardware upgrades and all other hardware/software requirements needed for the change.
  - iv. Defined resources that will be required to complete the change.
- c. **Prioritization:** The CCB will prioritize changes based on the business and operational requirements. As needed, the Executive Management Team (CIO, CISO, or CIO designee) may determine priorities in cases of competing business needs to ensure changes and resources are aligned with DoIT's goals and strategies.
- d. **Documentation Requirements**
  - i. The entire lifecycle of the change is to be documented formally within the change ticket itself. Any questions, responses, technical controls documentation *for example*, configuration statements, patch records, etc., are to be included within the ticket.
  - ii. A summary document prepared by the Change Initiator generated weekly and

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submitted within the change ticket for all parties to review upcoming and reviewed changes.

- iii. Verification of completed change by a stakeholder of the affected system, that is separate from the person deploying the change where applicable.

### **5.2. Authorized and Scheduled Maintenance**

- a. Production maintenance shall follow set procedures for authorization and testing.
- b. Production changes shall occur within the designated and agreed upon change timeframe.

### **5.3. Roll back Procedures:**

Change owners will ensure a roll back procedure is documented for aborting and recovering from unsuccessful changes and unforeseen events.

### **5.4. Emergency changes:**

Although emergency changes may not be able to wait until a formal request and analysis are completed, they must conform to the change control process by including standard change request documentation. At a minimum, the Change Owner may in turn refer to the CCB lead for approval. Retroactive submission for Emergency Change management tickets must be completed by end of the next business day.

## **6. ROLES AND RESPONSIBILITIES**

- a. **DoIT CIO**  
The CIO is responsible for DoIT's overall adherence to the Change Management Process.
- b. **DoIT CCB**  
The CCB is responsible for approval and oversight of the change management review and execution.
- c. **DoIT Change Initiators**  
Change Initiators are responsible for providing complete and succinct information as required by Change Management requests.

## **7. EXCEPTIONS**

The DoIT CCB Lead or CIO must approve in advance and in writing any exceptions to this Policy.

## **8. VIOLATIONS OF POLICY**

Any DoIT IT Resource User found to have violated this Policy may be subject to disciplinary action, up to and including termination of employment.

## **9. REFERENCES**

- a. National Institute of Standards and Technology SP800-53 r4: AC-5, CA-5, CM-2(3), CM-3, CM-4, CM- 5(2), CM-6, CM-6(1),
- b. International Organization for Standardization/International Electrotechnical 27002:2013, 12.1.2, 12.1.4, 14.2.1, 14.2.2
- c. Cisco, Change Management: Best Practices
- d. State Security Rule (TITLE 1 GENERAL GOVERNMENT ADMINISTRATION, CHAPTER 12 INFORMATION TECHNOLOGY, PART 20 INFORMATION SECURITY

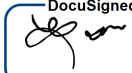
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**10. CHANGE HISTORY**

Date	Version	Changed By	Change Comments
09/30/2019	1		Initial Draft
09/30/2020	2		Revision Draft
02/26/2021	3	Raja Sambandam	Revised and routed for Union approval
06/10/2021	4	Olga Serafimova, Esq.	Reviewed and revised for legal compliance
4/26/2022	5	Brenda Fresquez	Reviewed for quality assurance
12/18/2023	5.1	Brenda Fresquez	Annual Review; updated header and footer
12/18/2023	5.1	Bryan E. Brock	Annual Review for legal compliance; minor edits, no recommended changes.

**Approval**

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12/19/2023

**Raja Sambandam, Acting Cabinet Secretary**

**Date**