Department of Juvenile Justice
Administrative Procedure

Administrative Procedure # VOL. I – 1.3 - 10	Statutory Authority: Title 66 of the *Code of Virginia*
Subject: Change Management	**Regulations:**
	ACA #

I. PURPOSE

Change management refers to a formal process for making changes to BADGE and other information systems. The goal of change management is to increase awareness and understanding of proposed changes across the Department of Juvenile Justice (DJJ). This is done to ensure that all changes are formally managed and made in a thoughtful way that minimizes the negative impact to DJJ, juveniles, and other agencies.

Change management generally includes the following steps:

- <u>Planning</u>: Plan the change, including the implementation design, scheduling, and communication plan, testing plan, and roll-back plan.
- <u>Evaluation</u>: Evaluate the change, including determining the priority level of the service and the risk of the proposed change; determine the change type and the change process to use.
- <u>Review</u>: Review Change Plan with the Change Management Board, as appropriate to the change type.
- <u>Approval</u>: Obtain approval of the Change Plan by the Change Management Board, as needed.
- <u>Communication</u>: Communicate about changes with the appropriate users.
- <u>Implementation</u>: Implement the change.
- <u>Documentation</u>: Document the change and any review and approval information.
- <u>Post-change review</u>: Review the change with the vision of future improvements.

The process of change management has been established to consistently document, review, and approve changes to DJJ's electronic systems in order to enhance business continuity, increase transparency and accountability, effectively communicate changes to users, and provide a stable production system.

II. SCOPE

This administrative procedure applies to all DJJ users who request changes to BADGE or other IT systems. Changes made to development environments or testing environments are outside the scope of this procedure.

III. DEFINITIONS

Assurance - The level of confidence that the change will go as planned and is determined by experience and complexity.

BADGE: Balanced Approach Data Gathering Environment. DJJ's electronic data collection and/or reporting system used to track information relating to juveniles and individuals working with juveniles. BADGE includes an electronic case record on each juvenile beginning at the initial contact with the

Court Service Unit and continuing until the release from supervision. BADGE also generates a variety of reports using information collected on residents.

Business System Analyst (BSA) – The BSA is the individual acting as the first point of contact to receive and review all change requests. The BSU will coordinate with the SME the classification of the change to determine if the change is a Standard, Significant or Emergency type of change.

Change - The addition, modification or removal of anything from BADGE system. Change does not include a request to correct an error in a previously-approved addition/modification/removal (e.g. fixing system "bugs").

Change Management Board (CMB) – CMB is a cross-functional group set up to evaluate change requests for business need, priority, cost/benefit, and potential impacts to other systems or process. CMB will make recommendations for implementation, analysis, deferment, approval or cancellation for changes.

Change Control - The procedure to ensure that all changes are controlled, including the submission, analysis, decision making, approval, implementation and post implementation of the change.

Change History - Auditable information that records, for example, what was done, when it was done, by whom and why.

Change Log - Auditable log of all Standard Changes that records who, what, why, and when for all changes.

Change Management – The process of controlling changes by documenting, reviewing potential impact of the change, controlling the timing of the change and upon completion, verifying the completeness of the change.

Change Request (CR) – A formal documented petition for a change to any component of BADGE system.

Data Owner: The DJJ manager responsible for the policy and practice decisions regarding data. DJJ has designated the Policy and Planning Director or designee as the Data Owner.

Emergency Change - This is similar to a Significant change, but must be executed with utmost urgency. (See "Appendix A - Types of Changes" for more information.)

Impact - Determined by potential disruption to customers and dependent systems.

IT Component - A system, device, application or document that is part of an IT Service.

IT Service - An IT Service is a customer-oriented offering and/or consumption of a technology based transaction.

Significant Change - A change with less well-known risks or less predictable outcomes, and/or a change that is not regularly made during the course of business. (See "Appendix A - Types of Changes" for more information.)

SME - Subject Matter Expert (e.g. system administrator) is another IT professional that can review a change and understand the technical elements involved.

System Owner: The DJJ manager responsible for the overall security of IT systems.

Process Log - A central repository of all Significant and Emergency changes that documents the process followed for a particular change. The purpose of the process log is to ensure that high impact changes have been carefully considered and to serve as a basis for process improvement when changes do not go as planned.

Risk - Is determined by a combination of the relative assurance that a change will happen as expected and the potential impact of a change should it not go as expected.

Standard Change - A change with readily known risks that is regularly made during the course of business, and whose outcomes are predictable. (See "Appendix A - Types of Changes" for more information.)

Users - DJJ Staff who access BADGE in order to perform assigned duties.

IV. PROCEDURE

A. Minimum Standards

All changes to BADGE and IT systems must follow a standard process to ensure appropriate planning and execution. Changes are categorized as a *standard* change, *significant* change, or an *emergency* change. See Appendix A - Types of Changes and Definitions for more detailed information. Appropriate processes and levels of review shall be applied to each type of change commensurate with the potential of the change to disrupt DJJ operations (see Appendix B - Risk Assessment).

The Change Management Board (CMB) is responsible for ensuring that changes are made in a manner appropriate to their impact on DJJ operations.

1. All changes shall follow a process of planning, evaluation, review, approval, and documentation.
2. All changes deemed *standard* may be pre-approved by the Business Systems Analyst (BSA) and the Subject Matter Expert (SME) for implementation during the course of business without the approval of the CMB.
3. All changes deemed *significant* shall be presented to the CMB for input, review and approval.
4. All changes deemed *emergency* shall be presented to the CMB for input, review and approval unless time constraints require that changes be made prior to the CMB approval. In these cases, submission to the CMB must be made after the fact. NOTE: If services are down, the issue should be handled as an incident according to the Incident Response Policy instead of a change request.
5. Documentation of *significant* or *emergency* changes must be made in a Process Log that is stored in a common location so that coordination of changes across DJJ can be managed appropriately. Documentation of *standard* changes must be made in a Change Log that can be audited for process improvement and root cause diagnosis.

B. Submission of Change Request

1. All users can request a change through their Director and/or their Regional Program Manager.
2. The Director and/or Regional Program Manager shall submit the change request to the BSA.

3. All change requests to BADGE must be submitted by completing the Change Request Form (Appendix C) and emailing it to the BSA.
4. Each change request must include the following information:
    a. User's name,
    b. Module or system impacted by the change request,
    c. Detailed description of the change requested,
    d. Rationale or business justification for the change request, and
    e. Date of submission for the change request.

C. Responsibilities of the BSA

1. Upon receipt of the change request, the BSA shall review the change request and make a preliminary determination after consulting the applicable SME on whether the change is classified as standard, significant or emergency and if it should be pursued.
2. If the BSA determines the requested change will not be pursued, the BSA will notify the requesting user in writing with a copy to the CMB, including the following information:
    a. Change request decision,
    b. Rationale for the decision; and
    c. Date of the change request decision.
3. If the BSA decides to pursue the change request, a formal process is initiated by submitting the formal change request to the CMB via the Change Request Form (Appendix C), which shall include the following:
    a. A statement on the change request with the following information:
        i.   What data elements will be changed,
        ii.   Why the change is needed, and
        iii. Severity and urgency of the need for the change.
    b. A summary including:
        i.   Description of the impact the change will have on the affected stakeholder group(s) (see Appendix D for a list of all stakeholders),
        ii.   The list of affected stakeholders,
        iii. Estimated time needed to complete the change,
        iv.   Determination of whether the change conforms to the *Code of Virginia* and Department of Juvenile Justice Regulations.
    c. A notification plan to include:
        i.   How users will be notified and trained,
        ii.   Timeframes for training or guidance, and
        iii. A plan of action to ensure the efficacy of the change.

D. Change Management Board

1. The CMB shall be composed of the following individuals or designees:
    a. System Owner – Operations Manager or designee
    b. Data Owner – Policy and Planning Director or designee
    c. System Administrator – Application Manager or designee
    d. Information Security Officer or designee
    e. Agency Director or designee

2. The CMB shall meet in person at least one week prior to the implementation of any significant changes to review and approve. Otherwise it shall meet at least twice yearly to determine prioritization of long-term projects.
3. All designated CMB members shall attend all meetings. SMEs will be invited by the CMB as needed.
4. Minutes shall be taken at each meeting and provided to the Agency Director.
5. The CMB shall review all submitted changes and determine the following:
   a. Business need for the change
   b. Costs and benefits of the change
   c. Potential impacts to users and other processes.
6. The CMB shall conclude if the change is:
   a. Approved,
   b. Denied,
   c. Further analysis is needed, or
   d. Defer implementation to a later time.
7. If a change is approved, the CMB shall communicate to the affected stakeholders.

E. Fulfillment of the Change Request

1. Upon approval of the change request, the BSA shall notify users via email, copying the CMB. The notification shall include:
   a. A description of the change,
   b. The intent of the change,
   c. Timeframes for when the change will be completed,
   d. Where to access and any documentation regarding the change, if applicable.
2. Upon completion of the change, the BSA shall notify users that the change has been implemented and again direct them to where information regarding the change can be found.
3. The System Administrator shall provide post-implementation monitoring to determine if there are any unintended consequences as a result of the change and to ensure that users' actions have been adjusted to accommodate the change.
4. If ongoing issues are identified, the System Administrator will immediately notify the BSA who in turn will notify the CMB via email.
   a. If the issue is urgent, the CMB may decide to meet in person to discuss and resolve the issue.
   b. If the issue is not urgent, the CMB shall add the issue to the next meeting agenda.

V. RESPONSIBILITY

The Data Owner and the System Owner shall have primary responsibility for implementation and ensuring compliance with this procedure.

VI. INTERPRETATION

The Deputy Director of Administration and Finance shall be responsible for interpreting and granting any exceptions to this procedure.

VII. CONFIDENTIALITY

All procedures are DJJ property and shall only be used for legitimate business purposes. Any redistribution of the documents or information contained in the procedures or bulletins shall be in

accordance with applicable state and federal statutes and regulations and all other DJJ procedures. Any unauthorized use or distribution may result in disciplinary and/or criminal action, as appropriate and applicable.

VIII.   REVIEW DATE

This procedure shall remain in effect until rescinded or otherwise modified by the appropriate authority.

Approved by:	Date: 9/29/17
Effective Date: 10/18/17	Office of Primary Responsibility:
Supersedes:	Forms:

Appendix A - Types of Changes

Types of Changes

There are three types of changes based on approvals needed through the change management process.

1. **Standard Change** – A relatively low-risk change with well-understood outcomes that is regularly made during the course of business. A Standard change follows pre-determined processes, is pre-approved by change management processes and may be made at the discretion of the system administrator, provided it has been defined as Standard per the Change Management assessment process.

2. **Significant Change** – A Significant change is one that has medium to high risk for critical services, involves less understood risks, has less predictable outcomes, and/or is a change that is not regularly made during the course of business. Because of the ability to affect downstream or upstream services, any proposed Significant change must be reviewed and approved by the Change Management Board (CMB).

3. **Emergency Change** – this is similar to a Significant change, but must be executed with utmost urgency. There may be fewer people involved in the change management process review, and the change assessment may involve fewer steps, but any Emergency change must still be authorized by the Change Management Board (CMB), even in cases where the Change Management Board (CMB) cannot review the change in advance.

Appendix B - Risk Assessment
Risk and Change Type Matrix
How to use this matrix?
First, determine the priority level of the component or service. Then assess the risk of the proposed change to negatively impact that service – low, medium or high. The matrix shows whether the type of change is then Standard or Significant. (Note: An Emergency change is the same as a Significant change, but with an expedited timeline.)
For example: A high-risk change to a priority 1 service is a significant change. A low-risk change to a priority 3 service is a standard change. A medium-risk change to a priority 2 service may be standard or significant.

	Risk: LOW	Risk: Medium	Risk: High
Priority 1 Service Crosses organizational boundaries, serving the business functionality of many units. Is critical to the ability of the DJJ to meet its business and regulatory obligations, support the delivery of services. Has strategic value to the agency such that encouragement of widespread use is desirable.	Standard	Significant or Emergency	Significant or Emergency
Priority 2 Service The system is a feeder to Priority 1 systems; or is a system that does not cross organizational boundaries, but is still critical to the ability of DJJ to meet its business and regulatory obligations.	Standard	Standard or Significant or Emergency	Standard or Significant or Emergency
Priority 3 Service Any departmental system that supports the internal operations of any department or departmental function and does not cross organizational boundaries.	Standard	Standard	Standard

Appendix C.

Change Request Form

Section 1. Must be completed by the user requesting the change.

Date Request Submitted by User: Click to select a date.

Module or system impacted by the change:

Description of the change request:

Rationale for the change request (why the change is needed):

Section 2. Must be completed by the Business System Analyst (BSA)

Statement of Change Request/Severity of and urgency for the change:

Notification Plan:

Training Plan:

Date Request Submitted to CMB: Click to select a date.

Section 3. Must be completed by the Change Management Board (CMB)

The Change Management Board has decided to:

☐ APPROVE ☐ DENY ☐ NEED FURTHER ANALYSIS ☐ DEFER IMPLEMENTATION TO LATER TIME

Change Management Board Chair

Name:

Signature: **Date:** Click to select a date.

Appendix D. Stakeholders Groups

Accounting	Human Resources
Behavioral Service Unit	Investigative Unit
Budget	Juvenile Correctional Centers
Capital Outlay	Policy and Planning
Certification	Information System Services
Community Programs	Procurement
Court Services Units	Public Information Officer
Detention	Re-Entry
Education	Research
Gang Management	Training
Grievance	Youth Industries
Health Services	VJCCCA