

Change Management Policy & Process (Version 2)

Introduction

The SG Systems Global Change Management Process is designed to provide an orderly method in which software changes are requested and approved prior to implementation. The purpose is to question the rationale for the change, ensure that all elements are in place, the change plan is adequate, all parties are notified in advance, and the schedule for implementation is coordinated with all other activities within the organization.

Issue Status

The issue status is indicated by the version number in the footer of this document. It identifies the issue status of this Change Management Policy. When any part of this Change Management Policy is amended, a record is made in the Amendment Log shown below. The Change Management Policy can be fully revised and re-issued at the discretion of the Management Team. The Change Management Policy will be reviewed on a Quarterly basis as standard.

Date	Issue Number	Amendment Details	Changer	Authorized By
28 th December 2020	1	1 st Issue Authorized	Michael Burns	Stuart Hunt
22 nd March 2021	2	2 nd Issue Authorized to include the 'Levels of Testing in Development Lifecycle'	Michael Burns	Stuart Hunt

Change Management Process

Members of the SG Systems Global team are responsible for pro-active planning in managing their areas in the production environment. Change requests should be submitted to the CTO as soon as all planning has been completed.

Submission of Change Request

1. Create an issue number in Salesforce CRM to track the change. If the change is part of an existing case the original case number may be used.
2. Set the status of the ticket to "Pending Update". Provide comments in the comments section against the issue.
3. Attach any required documents (project plans, test plans, screenshots, instructions, etc.) to the issue.
4. Once all documentation is in place, the Change Administrator is notified automatically in Salesforce. This constitutes the Change Request submittal.

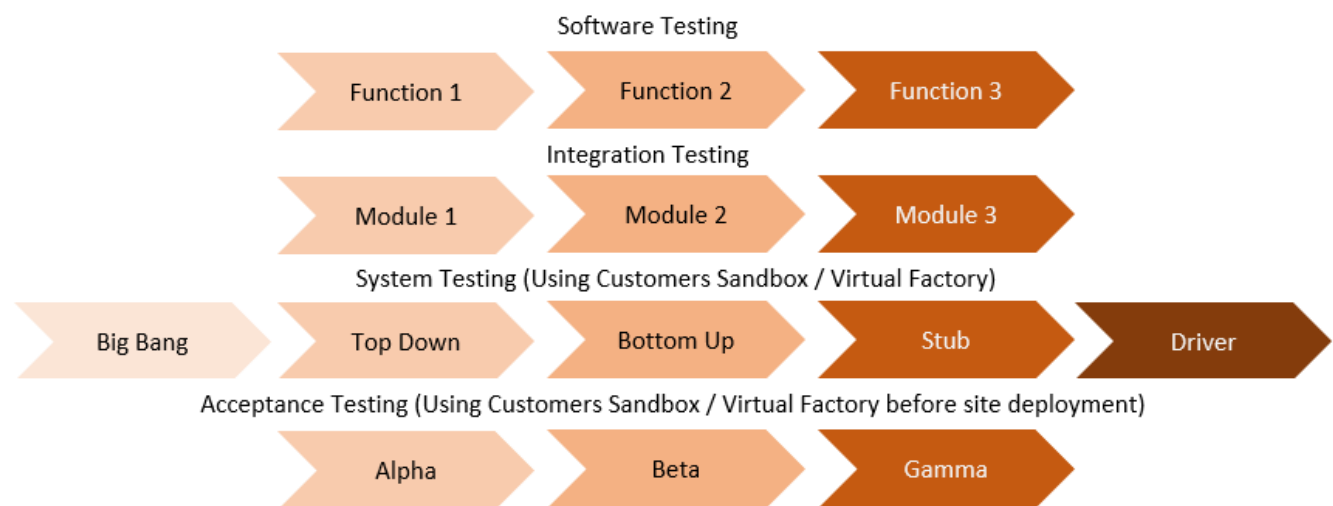
5. The Change Request must include enough detail to understand the relative impact of the change and how it may affect other areas of the software. Change Requests not completed properly will be rejected and returned to the Requester with an explanation for the denial.
6. The Change Administrator will reply with approval to proceed or with follow-up questions or actions that need to be completed before moving forward.
7. The Account Manager will manage all communication with the customer regarding any changes.
8. The Status of all Change Requests is viewable in Salesforce CRM.

Issues											
Change Request List											
14 items - Sorted by Priority - Filtered by All Issues - Status, Type - Updated a few seconds ago											
	Project	Status	Priority	Type	Issue ID	Created Date	Assigned To	Planned Res...	Name	Detail	
1	G: ATT	Pendin...	Medium	Software Dev	ISS-002...	6/2/2020 5:35 AM	Simon Hartley	12/19/2020	Terminal Updates	RANKING: MEDIU...	
2	S. Softwa...	Pendin...	Medium	Software Dev	ISS-002...	7/7/2020 9:28 AM	Simon Hartley	1/27/2021	Custom Labels - Produ...	Can you add the c...	
3	S. Softwa...	Pendin...	Medium	Software Dev	ISS-002...	7/7/2020 4:27 PM	Dale Punched	1/27/2021	Hide formulas in WMS	Could we add a pe...	
4	B: Always...	Pendin...	Medium	Software Dev	ISS-003...	7/23/2020 9:05 AM	Dale Punched	1/27/2021	Batch Pallets	Expand Batch Pall...	
5	S. Softwa...	Pendin...	Medium	Software Dev	ISS-002...	4/2/2020 2:52 PM	Jason Galloway	1/27/2021	Custom Labels in WMS	Sunflower Kitchen...	
6	G: ATT	Pendin...	Medium	Software Dev	ISS-002...	4/6/2020 2:26 PM	Dale Punched	1/27/2021	Remaining Products P...	Hi Dale / Simon, ...	
7	S. Softwa...	Pendin...	Medium	Software Dev	ISS-002...	4/7/2020 3:52 PM	Stuart Hunt	1/27/2021	Batch Label Select	At the end of a de...	
8	G: ATT	Pendin...	Medium	Software Dev	ISS-002...	4/28/2020 6:47 AM	Dale Punched	1/27/2021	Terminal Scan Only	Morning. With the...	
9	N: Gener...	Pendin...	Medium	Software Dev	ISS-004...	10/13/2020 3:41 PM	Simon Hartley	1/27/2021	New Scan Process	Scan material cod...	
10	G: ATT	Pendin...	Low	Software Dev	ISS-002...	5/26/2020 8:46 AM	Simon Hartley	1/27/2021	Link Commodities to c...	RANKING: LOW 4...	
11	G: ATT	Pendin...	Low	Software Dev	ISS-002...	4/17/2020 9:50 AM	Simon Hartley	1/27/2021	Job Log Query	Dale another one f...	
12	G: ATT	Pendin...	Low	Software Dev	ISS-002...	4/28/2020 6:46 AM	Simon Hartley	1/27/2021	Submix Addition	Morning. When co...	
13	G: ATT	Pendin...	Low	Software Dev	ISS-002...	5/1/2020 7:23 AM	Simon Hartley	1/27/2021	CC Formula Approval	Morning.If you ha...	
14	G: ATT	Pendin...	Low	Software Dev	ISS-002...	5/7/2020 4:25 AM	Chris Getty	2/24/2021	Q&A Images	Morning.Can deve...	

Execution of Change

Before proceeding with the change, the Support Engineer must notify the Change Administrator that you are about to begin. After completing and testing the change, notify the Change Administrator that you are finished and give them a status update.

Levels of Testing in Developmental Lifecycle



Software & Integration Testing is conducted by the Software Developer in accordance with the Change Request List and corresponding Issue ID Serial Number. When the Software and Integration testing is complete, the

deployment phases begin (System & Acceptance testing). The later phases typically occur in a Sandbox environment (if provided by the customer) or on a Virtual Factory environment (if hosted by SG Systems Global) and are conducted by an assigned Technical Engineer.

Change Completion

The Change Requester must mark the issue as “Complete” and will log all information about the change including outcome into the ticket. If successful, the ticket can be closed.

Emergencies

Emergencies exist only as a result of:

- A customer is completely out of service
- There is a severe degradation of service needing immediate action
- A system/application/component is inoperable, and the failure causes a negative impact
- A response to a natural disaster
- A response to an emergency business need

All emergencies are handled on an as-required basis with the approval of the CTO or in his absence the Technical Support Engineer or Software Developer and must follow the guidelines below:

1. CTO or in his absence the Technical Support Engineer or Software must be notified before proceeding.
2. The notification(s) shall include at a minimum the following information:
 - Will the change cause an interruption in service?
 - What additional customers will be affected (in the event a change is needed to fix an outage) and who needs to be notified?
 - What is the possible work around until the problem is resolved?
 - What is the approximate length of the outage?
 - Notification of resolution.
 - Completion of a ticket to accurately describe the outage.

Emergencies after normal business hours, on the weekend or holidays, will be resolved immediately. A ticket will be generated, and staff will notify affected customers, as applicable. A completed ticket must be submitted through the regular reporting process on the first workday immediately following when the change was made.

The Change Management Administrator will review all emergency submissions to ensure the change met the criteria for an “emergency change” and to prevent the process from becoming normal practice to circumvent the Change Management Process. Any questions will be directed to the manager who approved the change.

Responsibilities

Change Management Administrator (CMA): The CMA will direct the Change Management Process. The CMA responsibilities include the following tasks:

- Analyze and evaluate a Change Request as it relates to the impact on the production infrastructure.
- Approve or deny the schedule for the change in accordance with the Change Management Policy and Procedures, and report any deviations to the COO and/or to the Requester.
- Perform impact/risk analysis to eliminate potential conflicts.
- Coordinate the changes/events.
- Notify parties of the change schedule.
- Provide notifications of any emergency changes.

Change Requester: It is the primary responsibility of the individual submitting a request to evaluate the change prior to submission. The Change Requester's responsibilities include the following tasks:

- Perform risk benefits/risk analysis.
- Verify that all equipment, software, hardware, and updates are available.
- Research the requirements to achieve a successful change (required patches and stability of upgrade).
- Evaluate the impact to the system/network and to the customers.
- Document and coordinate a fallback plan. This should explain the steps that must be taken to restore access in the event that the change has a negative impact.
- Develop a plan of action to reduce the risk to an acceptable level.
- Develop a plan of action to lessen the effects on the customer if the change should cause an outage.
- Complete any internal checklist that may be required by the CMA.
- Obtain approval from the CMA or designee for requesting the change.
- Submit a complete, concise, and descriptive Change Request. Change Request not complete will be rejected and returned to the Requester with an explanation for denial.
- Once the request is approved:
 - Ensure that the customer is aware of any possible impact. Typically, the Customer Service staff will handle all communications with the customer, but the Requester should ensure that the proper communication has been delivered.
 - Coordinate proper on-call support as needed to resolve any problems or answer any questions that may occur during the change, or immediately subsequent to the change. Contact names and numbers should be available to support staff to obtain additional or outside support.
 - Report unplanned outages or problems immediately to the CMA.
 - Provide a status update of the change results in the requesting ticket, upon completion of the requested change. The completed ticket must provide an update on the success or failure of the change in detail.