

Change Advisory Board Operating Guidelines

DOCUMENT RELEASE NOTICE

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Name:	
Role:	
Org/Group:	
Phone:	
E-mail	

LIST OF ABBREVIATIONS

ATM POS	ATM Point of Sales
CAB	Change Advisory Board
CSSCAB	Customer Service & Support Change Advisory Board
LOB	Line of Business
NETCAB	Network Change Advisory Board
PPR	Post Problem Review
PQA	Production Quality Assurance
PSC	Peregrine ServiceCenter
QA	Quality Assurance
SYSCAB	Mainframe/Midrange Channel Advisory Board
T,S&F	Technology, Service & Fulfillment

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About This Document

Purpose

This document provides guidelines on the operations of a Change Advisory Board (CAB). In addition, it describes what is expected of change owners presenting change requests to the CAB. All requests for change are presented to the CAB for approval prior to implementation.

Peregrine ServiceCenter (PSC) is the system of record for Company ABC change requests. All change request information, reporting, and decisions will be managed against the PSC record.

1. The Change Advisory Board (CAB)

1.1 CAB Structure

Change Advisory Boards (CABs) consist of groups of associates who have decision authority on the implementation of changes. CAB members should have a clear understanding of the customer business needs and the user community, as well as the technical development, support functions, and environments.

1.2 CAB Types

There are three types of CABs at Company ABC.

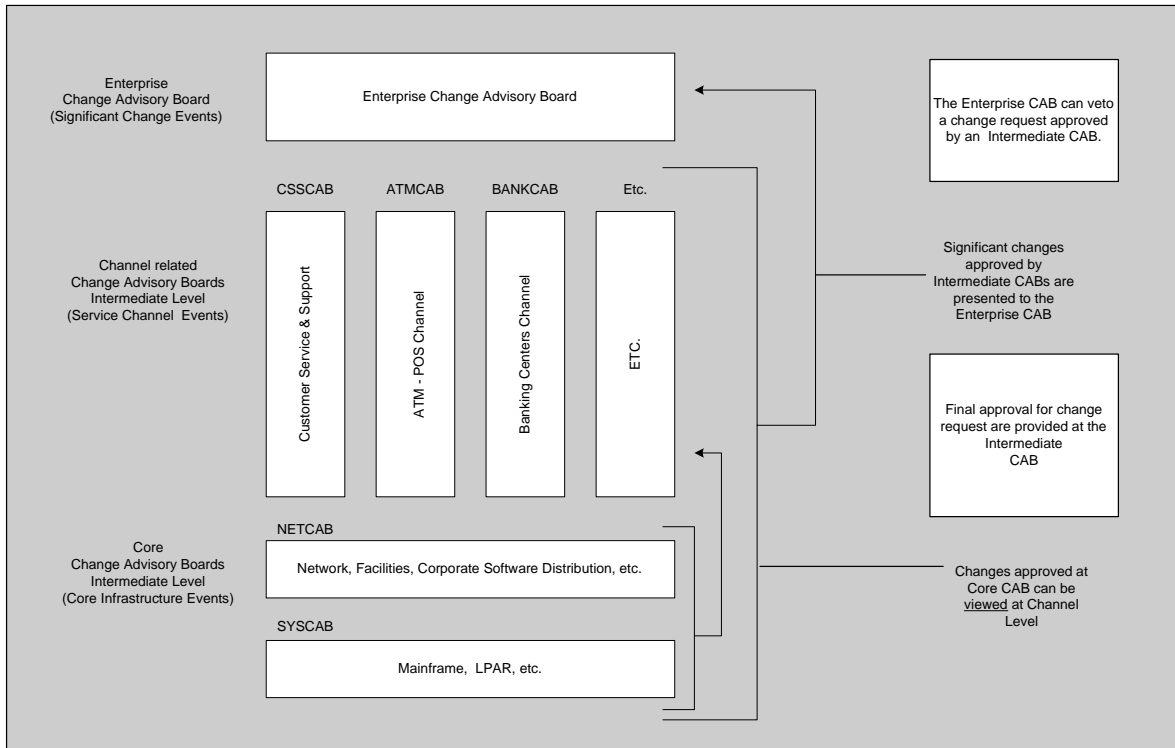
- **Local CABs** – are a group of leaders from various functional teams who review those change requests that have the potential to affect their immediate areas of support or responsibility. Local CABs do not provide final approval. However, the ‘Local CAB approval’ to those change requests that meet requirements positions the change for final approval in the Intermediate CAB. Groups that do not have a Local CAB will have their changes reviewed and approved by an Intermediate CAB.
- **Intermediate CABs** – are comprised of a group of leaders from the Core and Channel CABs who review and have final approval authority for their environments. (see Section 2 - CAB Relationships).
 - **Core CABs** – review and approve changes associated with CORE banking infrastructure or facilities such as: Network, Mainframe, Facilities, etc.
 - **Channel CABs** – review and approve changes associated with a particular Bank service channel such as: Telephone Banking Channel, ATM/POS Channel, etc. Channel CABs also review Core changes that may affect them, but do not approve Core changes.

Example: Related ‘approved’ network changes appear on the CSSCAB change review report. This provides CSS visibility to related and approved events.

- **Enterprise CAB** – is the highest-level CAB and is comprised of executive and senior level management. The Enterprise CAB reviews significant change events with high potential for corporate or customer impact. The Enterprise CAB does not provide approvals to change requests, but does have the authority to revoke any approved change if the situation warrants. The Enterprise CAB is focused on significant changes or conflict between CABs as identified by all of the other CABs. The Enterprise CAB is the final possible veto for these changes prior to production implementation. This CAB is also responsible for the overall Company ABC appetite for risk and change and collision between major projects.

2. CAB Relationships

Enterprise/Intermediate Core & Channel CAB Relationships



Note: Until CAB approvals are recognized and associated in PSC, PQA approval will represent CAB approval.

3. CAB Membership

3.1 CAB Membership

The CAB membership is comprised of representatives from participating business and technical support teams. These representatives participate in the scheduled CAB meetings and support decisions on presented change requests.

3.2 CAB Roles

Below is a list of those currently associated with CAB roles:

CAB Leader

- Decision maker / tie breaker
- Conscious of the current level of risk the business is willing to tolerate
- Participates in the Enterprise CAB
- Documents business sensitive dates
- Aware of service level agreements
- Communicates with the business

CAB Facilitator

- Facilitates the CAB meeting
- Facilitates CAB preparation meetings

CAB Communications Representative

- Maintains CAB membership list
- Creates, distributes and/or posts CAB reports
- Manages scheduling of CAB and other related meetings
- Provides CAB website and mailbox support

CAB Follow-up Representative

- Updates PSC with CAB results
- Distributes results of CAB decisions

CAB Report Generation Analyst

- Reports changes to be approved
- Reports results of changes
- Reports trends and analysis

Post Problem Review Analyst

- Performs analysis of post problem reviews for changes with negative operational or customer impact.
- Reviews and analyzes Emergency changes which caused problems
- Identifies continuous improvements to the review process
- Designs and implements criteria for the change review process lessons learned

Subject Matter Experts

- Change Owners
- Change Developers
- Change Requesters
- Change Managers
- Change Coordinators
- Quality Assurance Analysts
- Operations Specialists
- Application Specialists
- Project Managers
- Other supporting roles

Refer to the associated CAB Communication Packet on the PQA website for information on membership and scheduling of a particular Change Advisory Board.

4. CAB Communications

4.1 CAB Website

All current reports, communications, and documents associated with the various CABs will be provided on the CAB website. The URL for this site is as follows:

www.companyabc.cabsite

4.2 CAB E-mail

Each CAB will have a unique e-mail CAB ID for communications relating to their change activities. Official CAB communications will be delivered from these e-mail accounts.

For example: “DG CSSCAB” for Customer Service & Support Channel CAB
“DG NETCAB” for Network Core CAB

4.3 CAB Communication Representative

The CAB Communication Representatives will monitor their assigned e-mail account for incoming messages and will distribute any messages to the CAB leaders and/or membership accordingly.

5. CAB Meetings

5.1 CAB Pending Approval Report

The CAB Pending Approval Report will be posted on the PQA CAB website prior to the scheduled CAB meeting. The change requests contained in this report will be used to drive the CAB change review meeting. The posting of the report should coincide with the established change lead time (See Change Submission Timeline diagram in Section 7.1).

- The formats below are only a recommendation and may change as efficiencies are identified to the report/review process.
- The CAB pending approval report will be divided into two sections: High Risk or Significant changes requiring discussion; Low Risk and Non Significant changes not requiring discussion. Questions or concerns with Low Risk changes on the report can be raised for discussion.
- Changes from Core CABs (example: Network changes) may appear on the Channel CAB report as informational only. These changes are not reviewed in the Channel CAB, but in their appropriate Core CAB.

5.2 CAB Meeting Format

The CAB meeting format can vary by CAB. To keep the meeting short, effective, and consistent across CABs the recommended format of a standard CAB meeting is described below:

- **Call the Roll.** The roll is called to determine if there is proper representation for the changes being reviewed. All change requests reviewed during the CAB meeting will need representation should questions arise. If there is no representative to address questions, the change will remain in a pending state until the next CAB meeting. The Facilitator will notify the Change Owner that the change was placed in a pending state. If the Change Owner wants to schedule a meeting to discuss the change prior to the next CAB meeting, he should contact the CAB Leader. The CAB Leader can give approval to implement once outstanding issues are resolved. The meeting will serve to communicate the approval status of the change.
- **Present changes on the report to the CAB.** A brief discussion may take place for some changes. When it is determined that the concerns or conflicts no longer exist with a presented change, the CAB will approve the change. Change requests requiring

a lengthy discussion, or determined not to be properly planned, will be left in a pending state and the discussion taken off-line. The change will remain in a pending state until the next CAB review, unless the Change Owner arranges for a meeting with the CAB Leader to review the change prior to the next CAB meeting. The CAB Leader can give approval to implement once outstanding issues are resolved. The meeting will serve to communicate the approval status of the change. Until CAB approvals are recognized and associated in PSC, PQA approval will represent CAB approval.

- **Discussion.** Review any emergency or exception change events.
- **Create and post Reviewed Change Report** showing all reviewed changes after the CAB meeting. This report will be posted on the PQA CAB website.

Emergency/Expedite change requests:

All break/fix incidents which result in a change to the current infrastructure will require a corresponding change record. The purpose of this is to track ALL changes to the BOA network and associated devices.

- **Emergency change requests.** Emergency change requests must be linked to a corresponding incident record. An emergency change is for work performed against a Severity 1 or Severity 2 problem ticket, one that is accumulating failed customer interactions (FCIs) and can be performed prior to a change ticket being created. It is important that the FCI's be corrected under the normal SLA for sev 1 and sev 2 incidents. The owner of the change will need to submit a Peregrine change ticket, recording the change event, within one business day of fixing the emergency problem. If the emergency fix will require a system outage or reset, the change executor must first contact ESYS to inform them of this outage or reset. Severity 3 incidents will follow the expedite change process below.
- **Expedite change requests.** When a change request is submitted short of the established lead-time, this is considered an expedite change request. Expedited change must be submitted for review no later than 48 hours prior to execution. Expedite change requests require a completed "Expedite form" (available on the PQA CAB website) explaining why the change request is submitted with short notice. The change must also have approval from an SVP associated with this change event, or for EDS expedites, Governance members approval. The SVP or Governance member can e-mail the expedite request signaling their approval, to the "DG PQA-Change Operations" mailbox.

** The next release of Peregrine will not recognize expedite change requests... all will fall under emergency.

*** Change owners can petition the CAB Leadership for direction on handling specific routine or repeatable change procedures. The CAB Leadership will review the petition, discuss the event with the change owner, and provide direction on how future change events for this described activity will be handled. Petitioning the CAB Leadership for a new "Change Type" will initiate this action. More information will be available on the CAB Website.

6. Preparing Change Requests for CAB Review

6.1 Change Request Information

For the CAB to properly review change requests, the change requests should contain the following information:

- Manager approval
- Complete and accurate information in the PSC change request fields (document on the PQA CAB website provides more information on what is expected in these fields.)
- Change Planning information. Completing the Change Implementation Plan template captures all the information requested below. (See [Change Implementation Plan Template](#))
 - Implementation – verification - and back-out plan details with hand offs.
 - Listing of those parties involved in the execution of the change event
 - Listing of those parties known to be impacted by the change event

Some change requests may require additional information, such as:

- Updates to associated operational procedures, if any are affected
- Impact to customer or associate experience, if any

Information that is required, but not identified as a field in PSC, should be included as an attachment to the PSC change record.

Change requests from PSC are presented to the CAB. Change requests not containing all required information will not be presented to the CAB for review. The change owner will be informed of these issues in order to address them.

It is expected that those change requests reviewed by a Local CAB will have met the above criteria, in addition to completing the information listed below. This information will allow for quicker decision of change requests at the Intermediate CAB level.

- The risk rating on the change has been reviewed by the Local CAB and adjusted if necessary
- Significant changes, those with high potential for impact, are noted as such on the change request
- Change requests have all required approvals up to, but not including PQA approval.

Note: When determining the impact and risk of a change event, it must be considered the change will fail and cause the object of change to malfunction, the “worst case scenario”.

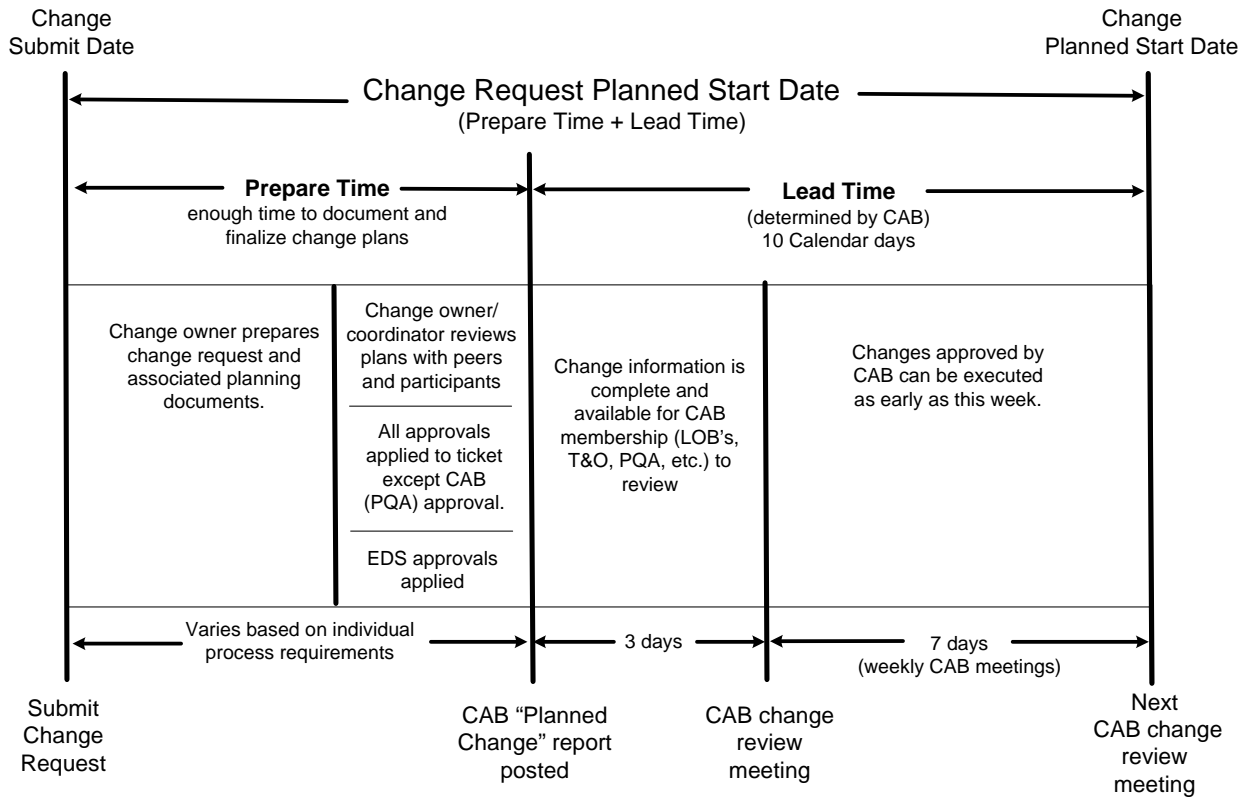
6.2 CAB Lead Times

CABs require a lead-time prior to change implementation to review changes. It is recommended that no less than a 10-calendar day lead-time be used for all changes. The change request must be completed and submitted with any required information attached 10-calendar days prior to the actual start date of the change event. This lead-time allows the CAB members sufficient time to properly review the request.

Actual CAB lead times are posted in the CAB Communication Packet.

The chart below diagrams the timeline associated with the submission, review, and execution of a change request.

Change Submission Timeline



7. Change Request Approvals

7.1 CAB Approval Criteria

The CAB expects requests presented for approval will meet the following criteria:

- **Change request submission** – Change requests are submitted in Peregrine Service Center (PSC). The information contained in the PSC change record fields are completed as described in the “Guidelines for Submitting a Peregrine Change Request” document. (See Peregrine ServiceCenter Change Management Reference Guide)
- **Planned change lead times** - Change requests submitted and completed within a CAB defined timeframe, prior to implementation, will be considered ‘planned changes’. Each CAB may determine different lead times, however, it is *recommended* all CABs use a 10-calendar day lead-time. Those submitted with a shorter lead-time will be considered Expedites and need to follow the Expedite process. (See Expedite Process Document)
- **Expedite change requests** - Change requests submitted with less notice than required of a planned change and greater than 48 hours of execution, are considered Expedite changes. Expedite change requests will require SVP or, for EDS initiated, EDS Governance approval. An Expedite Form, explaining the reason this change was not planned, must be attached to the Peregrine change request for the Expedite request to be considered. (See Expedite Form)
- **Emergency change requests** – Any change required within 24 hours of the event to correct a Severity 1 or Severity 2 client impact is considered an Emergency change. Emergency changes can be implemented prior to the creation and submission of the change request. A change request describing the Emergency change must be submitted within 1 business day after the implementation.

7.2 Change Request Approval

Until CAB approvals are recognized and associated in PSC, PQA approval will represent final CAB approval. With Intermediate CAB consent on a change, PQA will provide the PQA approval. PQA approval posted on a change request represents Intermediate CAB approval.

- Any changes denied or pending CAB approval will initiate a ‘denied’ action in PSC, where the request status is changed to denied with an auto-message delivered to the Change Owner.

- Any changes left in a pending state by the CAB will prompt PQA to update the Coordinator Tab on the change record with any action items for the Change Owner that were requested by the CAB. *****A follow up email will also be sent to the Change Owner detailing what information is required.**

7.3 Change Request Revocation

Change approvals can be revoked in one of three ways:

- The Enterprise Change Advisory Board has made a decision to postpone or cancel the change event. Only significant change events are presented to the Enterprise CAB. If the Enterprise CAB revokes approval on a change request, the CAB Leader will notify the change owner.
- A post approval conflict discovered between an approved change and an associated/related change request presented at another CAB. The CAB Facilitator initiates a discussion between the change owners and CAB leaders and appropriate or accommodating decisions made. The information on the discussion is recorded in the Coordinators Tab by PQA on those change records involved.
- Emergency or contingency operational needs dictate that the change cannot take place on or close to the change implementation date.

*** PQA will work to communicate revoked change approvals within 48 hours of execution, however in some instances this may not be possible. Examples include revoking a change approval at the Enterprise change review, when the change is scheduled to execute the next day. In a case where contingency plans are implemented, this too may occur within 48 hours of a change execution.

8. CAB Management Activities

8.1 CAB Operation Meetings

CAB members also meet to make decisions on CAB operations, strategies or issues other than change request reviews. These meetings are outside the regularly scheduled CAB change review meetings and may address items, such as:

- **Maintenance of CAB operating rules**
Review and update or revise the current rules or guidelines for their CAB.
- **Performance statistics and reporting to LOBs**
Review CAB performance measurements and suggest steps to improve.
- **Review and recognition of established or repeatable processes**
Established or repeatable processes are defined as standard processes successfully executed on a regular basis. The CAB leaders meet to gain a better understanding of these types of processes and assign a risk and impact rating to them.
- **Lessons learned from failed change events**
Review of failed change events approved by the CAB. PQA will use the Post Problem Review (PPR) report to determine if a failed change was approved by one of the CABs they manage. If so, PQA will notify the responsible CAB leadership to attend the PPR meeting. This will provide continuous improvement to the change process managed by the CAB.