

Information Technology Policy

Enterprise Change Management Maintenance Policy

ITP Number ITP-SYM010	Effective Date March 2014
Category Systems Management	Supersedes ITP-NET015
Contact RA-ITCentral@pa.gov	Scheduled Review December 2020

1. Purpose

To establish policy, responsibilities, and procedures for Change Management maintenance, specifically the creation of blackout periods and maintenance windows, on the Commonwealth's enterprise Information Technology platforms.

2. Scope

This Information Technology Policy (ITP) applies to all departments, boards, commissions and councils under the Governor's jurisdiction.

Agencies, independent boards, and commissions not under the Governor's jurisdiction that consume Commonwealth IT resources must conform to the established blackout windows and other guidance established in this ITP and OPD-SYM010B *Enterprise Maintenance Windows and Scanning Guidance*.

3. Definitions

Automated Pre-Approved Change – Supports maintenance for server builds generated through the VRealize process.

Blackout/Change Freeze - Submitted to change management to request a freeze on all or certain types of maintenance for business reasons.

Change Management – A process responsible for formal assessment of a new or changed IT service to mitigate risks and impact.

Emergency Change – Supports maintenance in response to a reported incident, when a problem exists on any infrastructure component or service that is causing business disruptions to one or more agencies.

Expedite Change – Supports maintenance which follows all the steps of normal maintenance but in a time frame of zero (0) to five (5) business days.

Incident – Unplanned interruption of an IT service or reduction in the quality of an IT service.

Maintenance Window - The period in which changes can be implemented. Weekly maintenance windows are pre-defined by the Change Manager. Maintenance outside of

these pre-defined windows will require approval (refer to OPD-SYM010B *Enterprise Maintenance Windows and Scanning Guidance*).

Normal Change – Supports maintenance performed by a service provider. This type of maintenance is performed on the service offering which affects multiple customers and is vital to the integrity of the services provided.

Standard Change – Supports maintenance that is low risk-assessed, pre-authorized, and is administratively routine. Appropriate change management reviews and processes apply.

4. Policy

The Office of Administration/Office for Information Technology (OA/OIT) established the following maintenance procedures to ensure that Enterprise Services are available during the most critical and heavily used time periods:

- Established predetermined dates and times for implementing scheduled maintenance
- Established blackout windows

Approved changes classified as Enterprise will be implemented on a weekly basis during a scheduled "Enterprise Maintenance Window".

The dates and times for implementation of Enterprise maintenance are referenced in OPD-SYM010B *Enterprise Maintenance Windows and Scanning Guidance*. Contact RA-ITCentral@pa.gov or RA-BIOCAB@pa.gov for details (*authorized CWOPA personnel only*).

Exceptions to This Policy

Enterprise maintenance that cannot be scheduled during one of the previously listed fixed routine scheduled maintenance windows would need approval from the Enterprise Change Board.

Emergency maintenance can be scheduled at any time and does not need to adhere to the maintenance windows.

Emergency changes for break/fixes or imminent security threats are exempt from blackout restrictions.

All High-Risk changes will provide a notification to the Chief Information Security Officer (CISO).

All changes involving security CI's will require CISO approval.

Scanning activities are excluded. Scanning guidance is referenced in OPD-SYM010B *Enterprise Maintenance Windows and Scanning Guidance*. Contact RA-ITCentral@pa.gov or RA-BIOCAB@pa.gov for details (*authorized CWOPA personnel only*).

Limited, Shared Infrastructure, and Comprehensive Production Blackout/Freeze Window Requests

Limited

A limited blackout only affects single agencies and the blackout is limited to the agency requesting it. (This is inclusive of OA/OIT). Changes submitted during a limited blackout will require the blackout agency approval only if a CI referenced on the change request is related to the agency that has the blackout maintenance.

The agency is to complete the Blackout/Freeze Request Form (OPD-SYM010A) and e-mail the form to RA-BIOCAB@pa.gov. The Functional Group Change Managers and Enterprise Change Management will determine if a delay in maintenance can be accommodated and respond to the agency.

Scenario 1: If Pennsylvania State Police (PSP) has a blackout and the Department of Corrections (DOC) is creating a change request within the PSP blackout window, and the affected CI's do not relate to PSP no PSP blackout approval is required.

Scenario 2: If PSP has a blackout and the DOC is creating a change request within the PSP blackout window, and the affected CI's do relate to PSP, a PSP blackout approval is required.

Shared Infrastructure

In that OA/OIT manages Shared Infrastructure, the blackout processes work as listed below.

Scenario 3: If OA/OIT has a blackout (limited, not comprehensive) and PSP is creating a change request within the OA/OIT blackout window, and the affected CI's do not relate to OA/OIT managed CI's, no OA/OIT Blackout approval is needed.

Scenario 4: If OA/OIT has a blackout (limited, not comprehensive) and PSP is creating a change request within the OA/OIT blackout window, and the affected CI's do relate to OA/OIT managed CI's, an OA/OIT blackout approval is required.

Scenario 5: If DOC has a blackout, and PSP is creating a change request within DOC blackout window, and the affected CI's are on shared infrastructure at OA/OIT on which DOC is operating, a DOC blackout approval is required.

Comprehensive

The scope of a comprehensive blackout is different from limited. No maintenance can be performed by any agency during a comprehensive blackout period. Usually these occur during critical events within the Commonwealth (elections, official state visits, etc.). If a comprehensive blackout is to occur, the agency is to provide Enterprise Change Manager with a thirty (30) business-day notice prior to the blackout/freeze window.

The agency is to complete the Blackout/Freeze Request Form (OPD-SYM010A) and send to RA-BIOCAB@pa.gov. The Functional Group Change Managers and Enterprise Change Management will determine if a delay in maintenance can be accommodated and respond to the agency.

When it is determined that a comprehensive blackout for all maintenance is needed, approvals must be obtained from the Commonwealth Chief Technology Officer (CTO). The Enterprise Change Managers will post this blackout in the system once approval is received.

Override Authority

The Commonwealth's CIO, CTO, or CISO has the authority to override a blackout rejection via the Enterprise Change Advisory Board (CAB) process. In addition, the Commonwealth's CIO, CTO, or CISO has the authority to delay and/or block standard or normal change to mitigate any risks associated with the standard or normal change.

5. Responsibilities

Agency Responsibilities:

- Coordinate agency (non-enterprise) maintenance around the enterprise maintenance windows
- Submit and coordinate blackout/freeze requests

Office of Administration, Office for Information Technology (OA/OIT) Responsibilities:

- Receive or initiate changes
- Assess risk of changes
- Review and approve all enterprise changes

6. Related ITPs/Other References

Commonwealth policies, including Executive Orders, Management Directives, and IT Policies are published on the Office of Administration's public portal:

<http://www.oa.pa.gov/Policies/Pages/default.aspx>

- Management Directive 205.34 – *Commonwealth of Pennsylvania Information Technology Acceptable Use Policy*
- IT Service Management Tool – Refer to the OA/OIT Enterprise Service Catalog: <https://itcentral.pa.gov/Pages/Enterprise-Services.aspx> (CWOPA access only)
- OPD-SYM010A– *Blackout/Freeze Form*
- OPD-SYM010B *Enterprise Maintenance Windows and Scanning Guidance (Authorized CWOPA access only)*
- ITP-SEC000– *Information Security Policy*
- ITP-SYM006 – *IT Resources Patching Policy*

7. Authority

Executive Order 2016-06, Enterprise Information Technology Governance

8. Publication Version Control

It is the user's responsibility to ensure they have the latest version of this publication, which appears on <https://itcentral.pa.gov> for Commonwealth personnel and on the Office of

Administration public portal: <http://www.oa.pa.gov/Policies/Pages/default.aspx>. Questions regarding this publication are to be directed to RA-ITCentral@pa.gov.

9. Exemption from This Policy

In the event an agency chooses to seek an exemption from the guidance within this IT policy, a request for a policy waiver is to be submitted via the enterprise IT policy waiver process. Refer to [ITP-BUS004 IT Waiver Review Process](#) for guidance.

This chart contains a history of this publication's revisions. Redline documents detail the revisions and are available to CWOPA users only.

Version	Date	Purpose of Revision	Redline Link
Original	03/2014	Base Document	N/A
Revision	04/01/2014	Update Blackout/Freeze Request Form	N/A
Revision	03/22/2017	Removed unnecessary language from Scope section Added Exemption, Expanded References sections Removed and replace Maintenance Calendar URL Added roles of approving blackout requests Removed Objectives section	N/A
Revision	01/19/2018	Expanded guidance on Change Management processes in Policy section changed ITP name to Enterprise Change Management Maintenance Policy from Enterprise Services Maintenance Scheduling All information relating to Removal of references to Pre-Approval Standards are exempt from Blackout/Freeze windows Added section Limited and Comprehensive Production Blackout/Freeze Windows	N/A
Revision	08/09/2018	Added guidance on CI scanning process Added authority for blackout rejection overrides Added verbiage to Section 4 Exceptions to this policy Replaced some verbiage from maintenance to changes Added OPD-SYM010B <i>Enterprise Maintenance Windows and Scanning Guidance</i>	N/A
Revision	12/03/2019	Added additional Definitions Added reference to "Change Management processes" to Standard Changes definition to ensure appropriate governance Added guidance on automated pre-approved change type Removed references to OA/OIT "Enterprise" and "Delivery Center" throughout	Revised IT Policy Redline 12/03/2019