

Policy Domain	IT Change Management Policy	Creation Date	10 th Feb 2021
		Classification	Internal
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		Doc. Owner	IT Head

Document Control			
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Document Control

- This document is subject to version control and shall be managed by IT Head. Any request for amending this document shall be approved by Director. The IT Head shall review this document at least once in a year and/or when there is a significant change in technology adopted, business objectives, identified threats, legal environment, social climate and business processes.
- The document is available on Helpdesk Portal under Announcement and Server shared folder under AETL Policies and provided with HR Joining Kit, in non-editable pdf format and all the employees are expected to read and adhere to it. The approved and signed copies are available with IT Team, which can be used for audit purpose only. IT Team is responsible for maintaining updated copy of this document and its effective communication within Advanced Enzymes (AETL).

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1. Overview

The Information Resources infrastructure at AETL is expanding and continuously becoming more complex. There are more people dependent upon the network, more client machines, upgraded and expanded administrative systems, and more application programs. As the interdependency between Information Resources infrastructure grows, the need for a strong change management process is essential.

From time to time each Information resource element requires an outage for planned upgrades, maintenance or fine-tuning. Additionally, unplanned outages may occur that may result in upgrades, maintenance or fine-tuning.

Managing these changes is a critical part of providing a robust and valuable Information Resources infrastructure.

2. Purpose

IT Change Management is the process of requesting, developing, approving and implementing a planned or unplanned change within the IT infrastructure. It begins with the creation of a Change Request within the AETL IT Helpdesk System. It ends with the satisfactory implementation of the change and communication of the result of the change to all interested users.

3. Scope

The intended scope of the change management process is to cover changes to the AETL Applications in the production environments.

Primary functional components include the following:

- a. *Hardware* – Installation, modification, removal or relocation of data centre computing equipment.
- b. *Database* – Changes to databases or files such as updates, additions, reorganizations and major maintenance.
- c. *Application* – Application changes being promoted to production as well as the integration of new applications and the removal of obsolete elements.

4. Procedure

- a) *Formal request for change* – The users can raise a change request through the IT Helpdesk Self Service Portal integrated with Manual change request form. The changes to various applications managed in-house will be done by IT Team. And if the application is maintained and hosted by service provider (i.e. HR application), the service provider will do the changes in co-ordination with subject matter expert (SME) from

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IT. IT infra changes request raised by user should be approved by IT head prior to start work and resolve by IT System Administrator.

b) *Analyse and Justify Change* – The change requestor and the System Administrator/SME will work to develop a specific justification for the change and identify the impact on infrastructure, business operations and budget, identify business as well as technical risks, develop technical requirements, and review specific implementation steps.

c) *Approve and Schedule the Change* – The respective IT System Administrator will assess the urgency and impact of the change on the infrastructure, end user productivity and budget and define the priority (Major or Minor). In the event of a major or significant change the change request must be approved by the requestor Department Head and then by Head IT. Minor changes may not require as such changes shall fall into user error rectification which have no impact on the set processes. The IT System Administrator in consultation with IT Head, will share the time required and expenses (if any) to the requestor and on approval will initiate the change.

d) *Plan and Complete the Change* – For Business Applications SAP all the changes shall be developed in DEV server and then transferred to QAS (test) server for testing to provide assurance that the change will have the desired result. After the completion of the testing phase the changes shall be transferred to PRODUCTION system.

e) *Post Implementation Review* – A review will be conducted by the Change Management comprising of requestor and members of its function / department to formally ensure the change has achieved the desired goals. Post implementation actions may include acceptance, modification, or reversal of the change.

f) *Change Closure Request* – Once the change is accepted by the user, the functional/technical consultant will raise a change closure request which will need to be closed by requester within 7 days, lest the same will get closed by IT after 7 days.

Tasks that require an operational process but are outside the initial scope of the Change Management process include:

- a. *Disaster Recovery*
- b. *Urgent Changes*

There are two types of urgent changes or emergency and exceptional. These types of changes are the only changes that may deviate from the outlined change process and are described in detail below.

a. *Emergency Changes*: Emergency changes may be necessary to recover from a system failure, hardware problems or application problems. Emergency changes provide the flexibility required for the timely response to immediate problems. These problems include fixes to prevent recurring/imminent system failure, negative impact on business or production problems. These changes must be authorized by Head-IT.

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b. Exceptional Changes: Extenuating circumstances will occur and changes will need to be made for certain business reasons. It is for this reason this category has been developed. These circumstances must be documented and included as part of the request package. In addition, mutual consent between the Technical Lead and the Change Management team must occur to allow for the possible re-prioritization of the Technical Lead's workload. Sign off at Dept. Head level will be required. Changes of this type are rare and high risk in nature in that they will not be subjected to the same criteria as those outlined above. The timeframe for implementation may need to be shortened and allowances for the appropriate number of announcements might not occur.

5. Roles & Responsibility Matrix (RACI)

Activity \ Role	IT Head	ISMS Steering Committee	Internal Users	External Users	Exempted
Authoring of this document	RA	RA	-	-	-
Approval of this document	I	CI	-	-	-
Sign-off of this document	CI	CI	-	-	-
Application of this document	RA	RA	RA	RA	-

R	Responsible
A	Accountable
C	Consulted
I	Informed

6. Roles and Responsibilities

Below are the specific roles and responsibilities for the defined policy:

- **Change Requestor**
 - Shall formally request the change.
 - Shall fill change request in IT Helpdesk System with complete change requirement details.
- **Change Manager, IT Team**
 - Shall determine the complexity of the proposed change.
 - shall understand impact of change and approve.

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- **Change Implementer**
 - Shall Implement Change according to standard build instructions.
 - Shall notify any parties to be impacted by the implementation.
 - Shall confirm once the implementation sequence is completed.
 - Shall communicate the result of the implementation to the relevant parties.

7. Risk for Non-Compliance

Risks arising due to non-compliance with this policy include, but not limited to:

- Unauthorized changes in the system and applications
- Data/Configuration integrity loss
- System crash and avoidable interruptions
- Security failures
- Confusion/delay in system configuration
- Loss of unavailability of important data

Compliance with this policy initiates the following key controls:

- Only authorized changes are implemented.
- Changes are implemented as per priority and in a controlled manner.
- All the changes are scheduled to ensure planned results.
- Emergency changes are attended with top priority and in details.
- Changes with high impacts are tested in advance for satisfaction.
- Changes are reversed if they are not successful.
- Only cost-effective and business required changes are implemented.
- All the major changes are adequately documented for audit trail and post implementation review.

8. Policy Review

The policy will be reviewed every year or if there is any major change in IT Infrastructure to incorporate changes if any.

IT Head will be responsible for reviewing the policy and communicating the changes made therein.

9. ISMS Steering Committee Members

1. Mukund Kabra (Director)
2. B. P. Rauka (CFO)
3. Maruti Divekar (IT Head)

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10. AETL IT Helpdesk Contact Details

- Logging an online support request: <http://192.168.2.7:8080>
- Email: it.helpdesk@advancedenzymes.com
- Telephone: **022 41703234**

