New Era Technology, Inc. Change Management-Change Control Policy

Classification: Public

Change Management-Change Control Statement

New Era Technology, Inc., and its subsidiaries (collectively the "Company" or "New Era") is committed to upholding the rules for the creation, evaluation, implementation, and tracking of changes made to New Era Technology Information Resources.

We expect this policy to be upheld by all employees, (permanent, temporary, or contracted), including executives, officers, and directors of New Era.

Contents

1. Terms and Definitions

Term / Acronym	Definition / Meaning
"asset", "information asset"	means any data, device, or other component of the environment that supports information-related activities. Assets generally include hardware, software, applications and (confidential) information. Assets must be protected from illicit access, use, disclosure, alteration, destruction, and/or theft, resulting in loss to the organization1.
"data"	are items of information.
"information"	information is processed, organized, and structured data. It provides context for data and enables decision-making processes. Information can be collected, used, stored, reported, or presented in any format, on any medium.
"information resource"	means information and related resources, such as personnel, equipment, funds, and information technology.
"staff", "users", "personnel"	means those who are employed by New Era Technology on a fulltime, part-time, or temporary basis; those who access and / or utilize New Era Technology's information resources, including, but not limited to employees, contractors, interns, third and external parties.
"we", "our", "New Era", or "New Era Technology"	refers to New Era Technology, Inc., and its subsidiaries.

2. Scope

The New Era Technology Change Management/Change Control Policy applies to any individual, entity, or process that create, evaluate, and/or implement changes to New Era Technology's Information Resources.

This Policy applies to all New Era Technology's remote workers, permanent, and part-time employees, contractors, volunteers, suppliers, interns, and/or any individuals with access to New Era's electronic systems, information, software, and/or hardware.

The terms set out in this Policy work in conjunction with, and do not replace, amend, or supplement any terms or conditions of employment stated in any collective bargaining agreements and/or employment contracts.

This Policy is not intended to restrict communications or actions protected or required by regional/local laws and regulations.

Relationship to Local/Regional Policies

This Policy is New Era's corporate policy. New Era Technology business units and/or subsidiaries may complement this with a local/regional change management policy however, this Policy shall always be the minimum standard; a local/regional policy may augment, or increase the standards, but shall not detract from the New Era Technology change management standards.

If any additional change management policies are developed, Director of Governance, Risk and Compliance (GRC) must review and approve prior to release and publication.

3. Roles and Responsibilities

The Director of Governance, Risk and Compliance (GRC) and the Chief Technology Officer are responsible for the New Era Technology Security framework and its associated policies.

This Policy is reviewed annually by members of GRC. Any changes to this Policy will be approved by New Era Technology's Chief Technology Officer and Director of Governance, Risk, and Compliance prior to its release.

Suggestions for change to this Policy should be reported to GRC@neweratech.com.

The Information Technology (IT) departments are responsible for managing change management activities for New Era Technology.

Technology owners are responsible for technical standards applicable to their operating environments and domains.

All employees, contractors and third parties who access New Era Technology's information must abide by this and associated policies.

Line managers have day–to–day responsibility for this policy, and employees should refer any questions about this policy to them in the first instance.

In line with their applicable solutions groups, New Era's business units shall develop, disseminate, and maintain formal, documented processes and/or procedures to facilitate the implementation of this Policy and, where applicable, any local/regional access management policies. The processes and procedures shall be consistent with applicable laws, executive orders, directives, policies, regulations, and/or standards.

4. Policy

1. Changes to production New Era Technology Information Resources must be documented and classified according to their:
   a. Importance,
   b. Urgency,
   c. Impact, and
   d. Complexity.
2. Change documentation must include, at a minimum:
   a. Date of submission and date of change,
   b. Owner and custodian contact information,
   c. Nature of the change,
   d. Change requestor,
   e. Change classification(s),
   f. Roll-back plan,
   g. Change approver,
   h. Change implementer, and
   i. An indication of success or failure.
3. Changes with a significant potential impact to New Era Technology Information Resources must be scheduled.
4. New Era Technology Information Resource owners must be notified of changes that affect the systems they are responsible for.
5. Authorized change windows must be established for changes with a high potential impact.
6. Changes with a significant potential impact and/or significant complexity must have usability, security, and impact testing and back out plans included in the change documentation.
7. Change control documentation must be maintained in accordance with New Era Technology's data retention schedules.
8. Changes made to New Era Technology customer environments and/or applications must be communicated to customers, in accordance with governing agreements and/or contracts.
9. All changes must be approved by the Information Resource owner, an Information Technology manager (or delegate), or Change Advisory Board (if one is established).
10. Emergency changes (i.e., break/fix, incident response, etc.) may be implemented immediately with written senior management and IT management approval and complete the change control process retroactively.

5. Compliance, Monitoring and Enforcement

This Policy is intended for all New Era businesses, in all countries.

New Era Technology seeks to proactively prevent and mitigate instances of non–compliance with this Policy.

Compliance is measured through various methods, including but not limited to risk assessments, business tool reports, internal and external audits, etc.

Any breaches or concerns, including ethical concerns or potential breaches in our commitment to information and data protection standards, should be reported as soon as possible through our Whistleblowing Policy.

Any need for improvements will be applied as soon as possible. Employees are encouraged to offer their feedback on this Policy if they have any suggestions for how it may be improved. Feedback of this nature should be addressed to GRC@neweratech.com.

Any exception to this Policy must be approved by the New Era Technology's Chief Technology Officer, or delegate and / or Director of Governance, Risk, and Compliance in advance.

Personnel found to have intentionally violated this Policy may be subject to disciplinary action, up to and including termination of employment and other penalties as set forth herein. New Era Technology reserves the right to pursue any, and all, legal and civil action in connection with any such violation.

Any vendor, consultant, or contractor found to have violated this Policy may be subject to sanctions up to and including removal of access rights, termination of contract(s), and related civil or criminal penalties.

6. Acknowledgement

Those in receipt of this Policy acknowledge its receipt and understanding of its contents; and that New Era Technology expressly reserves the right to change, modify, or delete its provisions without notice.

Document Information

Reference	Security Framework
Title	Change Management/Change Control Policy
Purpose	The purpose of the New Era Technology Change Management/Change Control Policy is to establish the rules for the creation, evaluation, implementation, and tracking of changes made to New Era Technology Information Resources.
Owner	Governance, Risk & Compliance (GRC)
Document Approvers	Chief Technology Officer (CTO) Director of Governance, Risk & Compliance (GRC)
Intended Audience	New Era Technology permanent, temporary, and contracted staff.
Review Plan	Annually
Document Classification	Public

Document History

VERSION CONTROL			
Revision	**Date**	**Record of Changes**	**Approved /Released By**
V1.0	Nov 3, 2022	Approved release	CTO, Dir GRC
V2.0	Sep 17, 2023	Annual review; classification & approvers update	CTO, Dir GRC
V3.0	Sep 20, 2024	Annual review, updates to sections 2,3,5,6	Dir GRC
V3.0	Oct 18, 2024	Approved release	CTO, Dir GRC

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References

Standard / Framework / Other	Title	Description
New Era GRC Policy	Security Policy	Policy to (a) protect New Era Technology and its customers' data and infrastructure, (b) outline the protocols and guidelines that govern cyber security measures, (c) define the rules for company and personal use, and (d) list the company's disciplinary process for policy violations.
New Era GRC Policy	Acceptable Use Policy	Policy to establish acceptable practices regarding the use of New Era Technology Information Resources to protect the confidentiality, integrity, and availability of information created, collected, and maintained. Inappropriate use exposes New Era to risks, including virus attacks, loss of confidential data, compromise of network systems and services, and legal issues.
New Era GRC Policy	Asset Management Policy	Policy establishing the rules for the control of hardware, software, applications, and information used by New Era Technology.
ISO/IEC 27001:2022	Information security, cybersecurity and privacy protection — Information security management systems — Requirements	Requirements to meet the Standard.
NIST SP 800-53	Security and Privacy Controls for Information Systems and Organizations	Catalog of security and privacy controls for information systems and organizations