



Change Management Policy

For

Blouberg Local Municipality

DRAFT

DRAFT

DRAFT

Kodumela Moepa thutse!

Table of Contents

1. Document Control Sheet	4
2. Abbreviations/Glossary Term	5
3. Introduction	6
4. Scope	6
5. Audience	6
6. Policy Objectives	7
7. Policy Statement	7
7.1. Introduction	7
7.2. Directive	8
7.3. Dependencies	8
8. Change Management	8
8.1. Change Analysis	8
8.2. Change Initiation	9
8.3. Change Classification	9
8.4. Change Prioritisation	10
8.4.1. Priority	11
8.4.2. Impact	11
8.4.3. Urgency	12
9. Remediation Planning	13
10. Change Approval	13
11. Change Authorisation Mandate – Financial	13
11.1 Change Prioritisation	14
11.2 Change Freeze Periods	14
11.3 Urgent/Emergency Changes	14
12. Non-Compliance	15
13. Exemption	15

14.	Policy Governance and Assurance	15
15.	Promulgation	15

1. Document Control Sheet

1.1 Document Information

File Name	Blouberg Local Municipality - Change Management Policy
Author	Matome Sekgala
Creation Date	20 March 2014

1.2 Document Distribution

Name	Organization	Role
Matome Sekgala	ICT Manager Blouberg Municipality	Project Owner
M.S Netshimbupfe	Acting Senior Manager Corporate Services	Corporate Services Manager
T.M.P Kgoale	Municipal Manager Blouberg	Municipal Manager

2. Abbreviations/Glossary Term

Abbreviations/Terms	Description / Definition
Track IT	Computer Associates
CAB	Change Advisory Board
CI	Compliance Inspection
CobIT	Control Objectives for Information and related Technology
E-CAB	Emergency Change Advisory Board
FSC	Forward Schedule Change
ISO	International Organization for Standardization
ISO/IEC 20000	ISO Specification and Code of Practice for IT Service Management. ISO/IEC 20000 is aligned with ITIL best practice
IT	Information Technology
ICT	Information and Communications Technology
ITIL	Information Technology Infrastructure Library
ITSM	Information Technology Service Management
KPI	Key Performance Indicator
BLM	Blouberg Local Municipality
MM	Municipal Manager
OLA	Operational Level Agreement
RFC	Request For Change
SIP	Service Improvement Plan
SLA	Service Level Agreement
SLR	Service Level Requirement
UC	Underpinning Contract
URL	Uniform Resource Locator/Universal Resource Locator

3. Introduction

The purpose of this Policy is to set the rules which will apply to all changes and the people involved in analyzing or assessing, building, testing or implementing changes. The ultimate goal of the policy is to ensure minimum disruption to the overall business activities of Blouberg Local Municipality and its entities.

The Change Management Process shall be governed by the following guiding principles:

- Manage information in respect of any modification, addition or deletion of a component in the IT infrastructure, systems and documentation which could potentially impact on BLM to deliver a quality service.
- This implies that all changes will be logged and tracked in Track IT (the ITSM tool) at the IT office.

4. Scope

The scope of Change Management covers changes to baseline service assets and configuration items that are under the control of BLM across the whole service lifecycle.

These are:

- Hardware
- System Software
- Communications Equipment and Software
- 'Live' Applications Software
- All documentation, plans and procedures relevant to the running, support and maintenance of live systems
- Environmental Equipment

5. Audience

This policy applies to all permanent and temporary staff within BLM as well as contractors and visitors who work and/or visit BLM. This policy also applies in respect of 3rd party suppliers and BLM customers/clients and their respective personnel, who use services provided by BLM in respect of the communications channel available and the procedures to be followed to bring issues to the attention of, or to submit requests to BLM. As such, these policy guidelines shall be referenced in Service Level Agreements and/or contracts and applicable sections provided to customers.

6. Policy Objectives

The following are key objectives of this policy:

- To ensure that the Change Management process is adhered to and in line with ITIL.
- To standardize Change Management processes throughout BLM.
- To ensure that BLM provides a world class service to BLM customers and its entities, by maintaining their infrastructure up to the agreed SLA.
- To ensure that there is minimum downtime experienced for BLM customers and entities.
- To ensure that all possible risks are considered when approving changes.
- To ensure that BLM IT infrastructure that is in scope of BLM is protected from unauthorized and undocumented changes which may be in breach of legal or governance requirements.
- To enable effective governance over the Change Management Process.

7. Policy Statement

The Policy has been established in accordance with specifications contained in the ISO/IEC20000:2005 – Part 1 quality standard, and the ITIL® Framework best practice approach.

7.1. Introduction

All Change Requests must adhere to the BLM Change Management Policy and must therefore follow the process as outlined in the Change Management Process document. Service and infrastructure changes must have a clearly defined and documented scope, desired outcome and back-out plan.

- Line Managers are responsible for ensuring that the relevant staff members are suitably trained to support this policy.
- All Change Management documentation shall be maintained on the BLM portal or file server which will be communicated by BLM IT.
- This policy and all supporting documentation must be communicated and made available to all relevant stakeholders either by formal distribution or by placement on an accessible portal.

7.2. Directive

- All changes shall be recorded in Track IT (the ITSM Tool) and initiated, controlled and implemented within the documented Change Management Process.
- There will be no exception to this directive, unless duly authorised, as complete and comprehensive records form the basis of strategic decisions.
- Major and emergency changes shall be classified and managed according to the Change Management Process and with due consideration in accordance with the Change Advisory Board's (CAB) process.
- This policy shall be brought to the attention of all new and existing staff and other relevant stakeholders.
- BLM employees shall confirm receipt of and acknowledge comprehension of this specific policy in writing (signature) within seven days of employment or within fifteen days of the broadcast of this policy.

7.3. Dependencies

For the successful implementation of this policy, the following is required:

- Senior Management Commitment and Line Managers.
- Commitment and acceptance to change by all staff.
- Adherence to Change Management Process and Procedure.
- Competence, awareness and training of all supporting staff fulfilling responsibilities of the Change Management Process owner.
- Adherence to all ITIL® practices with specific emphasis on Change Management Process.

8. Change Management

The role of the Change Management Process is to ensure that new services and changes to services are assessed, approved, implemented and reviewed in a controlled manner with minimum risk to the business.

8.1. Change Analysis

- Change records must be analysed regularly to detect increasing levels of changes, frequently recurring types, emerging trends and other relevant information.
- The results and conclusions drawn from change analysis shall be recorded.
- Actions for improvement identified from Change Management shall be recorded and input into a Service Improvement Plan (SIP) for improving the service.

8.2. Change Initiation

- All operational changes (i.e. changes to the live environment) need to be requested at least seven working days prior to implementation.
- All changes must be triggered by a properly filled out RFC form, and managed through the documented Change Management Process.
 - RFC's must be reviewed for completeness by the assigned Change Coordinator.
 - Mandatory fields in the RFC must be completed, or the RFC will not be considered.
 - All attempts must be made to complete the applicable optional fields in the RFC.
- All Changes must be logged in Track IT (the ITSM Tool) with the RFC form attached.

8.3. Change Classification

All changes need to be classified according to how much impact they will have on the business and service provision. Below are some clear definitions of types of changes. These changes will all have different priorities based on assessed urgency and impact levels depicted further below:

Type of Change	Description / Definition
Minor Changes	<ul style="list-style-type: none"> • These usually entail the correction of one or more specific errors and are often modifications that implement documented emergency solutions correctly. Normally contain small enhancements and fixes, some of which may already have been issued as emergency fixes. Usually associated with an impact classification of "Minor". • If not deemed to have an Enterprise wide impact, these changes must be considered by the Change Management Process Owner, Change Coordinator and other identified stakeholders.
Standard Changes	<ul style="list-style-type: none"> • Standard Changes are well known, low risk and their implementation steps are proven and documented. As such they don't need formal Change Management approval for each occurrence. • Change Management approval is however needed to classify a certain type of Change as a Standard Change. Standard Changes have their own process and procedure which is simpler than a normal Change. • The list of Standard Changes can be found on BLM portal or file server which will be communicated by BLM IT

Type of Change	Description / Definition
----------------	--------------------------

Type of Change	Description / Definition
Urgent Changes (Emergency)	<ul style="list-style-type: none">• Urgent changes must be approved by the Emergency Change Advisory Board.• Urgent changes are only permitted where/when the implementation of the Change is to resolve or prevent an event, or to address identified security vulnerabilities with a classified impact of "Severe" and a classified urgency of "Critical".• The possibility exists that all Priority "0" changes would be deemed Urgent, but care must be taken to ensure that changes do not get classified as such to simply fast-track implementation, since testing is optional (if sufficient time is not available) for Urgent changes and documentation may be done ex post facto.• Every Emergency Change must follow the full Change Management process, except for the testing phase which may be skipped ONLY if there is no time and if it is approved by the ECAB.
Major Changes	<ul style="list-style-type: none">• Represent a significant change of hardware and software and which introduce important modifications to functionality, technical characteristics, etc. Normally contain large areas of new functionality, some of which may eliminate temporary fixes to problems. Usually associated with an impact classification of "Severe", "Major" and "Significant".• Major changes must be considered by the local CAB.

8.4. Change Prioritisation

Change prioritization will be based on two things:

- Potential impact associated with the services and SLA(s) effected (Impact)
- Speed with which the change needs to be effected (Urgency)

Change prioritization is the sequence in which changes need to be rolled-out or implemented, based on impact and urgency as defined below. The rationale for this approach is that although the impact (previously: severity) associated with a particular change might be high; the urgency to have it implemented might be low, thus enabling BLM ICT Office to strategically commit resources and capabilities.

Although it is likely that a high-impact change will also be urgent, this is not always the case. A change may have a high impact on a customer, but low urgency if the customer does not require a solution to be implemented for six months. Alternatively, a change could have a high urgency but low impact. Equally, urgency may change over time: for example, in 1996 the Year 2000 change had very high impact but not high urgency, in 1997 it still had high impact and was becoming more urgent, in 1998 the urgency increased again, and so on.

8.4.1. Priority

Priority must be associated with the services and SLA's affected or potentially affected. Service level agreements formalize the relationship between BLM ICT Office and the customer base. Changes must be linked with the correct SLA to allow correct classification according to potential impact of the services/customers associated with the SLA. This quickly and accurately establishes the change's urgency and its impact on the business, as the SLA identifies the service/s affected, the users of that service, and the consequences of service interruption. It also records the expected timescales for return to normal and, if specified, the arrangements for the invocation of business continuity planning. The following table provides the default association of Impact and Urgency from which Priority is derived:

8.4.2. Impact

This signifies business impact and criticality. The impact of a change must be determined by the effect it has on the business of both BLM; BLM ICT Office and the customer (business impact). The determination of impact in this way can only be effectively undertaken in agreement with the business community during the development of the SLA. Factors that must be considered are:

- The number of customers/users affected (or could potentially be affected).
- The extent to which business degradation results (or could potentially result).
- The stage in the business cycle when the change is implemented.

IMPACT	Definition
0 - Severe	Any change where the impact could lead to a complete loss of service or could potentially pose a threat to the integrity of the whole of LDPW.
1 - Major	A change where the potential impact to service could lead to: <ul style="list-style-type: none">○ A loss of more than 50% of total capacity; or○ A loss of more than 50% of served targets (origins/destinations) not reachable;

2 - Significant	<p>A change where the potential impact to service could lead to:</p> <ul style="list-style-type: none"> ○ A loss of less than 50% of total capacity; or ○ A loss of all redundancy (exposure to complete service outage); or ○ A loss of a served target (origin/destination not reachable); or ○ Material (financially – penalties) impact to BLM;
3 - Minor	<p>A change where the potential impact could:</p> <ul style="list-style-type: none"> ○ Degrade the quality of service; or ○ Affect a small number of individuals or CI's—for example, a change to a printer used by a department (risk is less because of BLM experience level in respect of the proposed change) this has to be noted in the SLA.
4 - Inconsequential	<p>Any change that doesn't have any potential to impact directly on service delivery in respect of existing services to existing customers, such as:</p> <ul style="list-style-type: none"> ○ Request for a new service; or ○ Amendment of supporting documentation; or ○ A change with a set release mechanism (standard change)

8.4.3. Urgency

This signifies the urgency of the request. This relates to the speed with which a change needs to be implemented according to its impact.

URGENCY	Definition
0 - Critical	Immediate action required. Changes, if not implemented immediately, will leave of BLM open to huge risk (financially and other). All Severe impact changes will have a Critical urgency – not <u>all</u> Critical urgency changes would have a Severe impact.
1 - High	A change that must be implemented immediately, but doesn't have a Severe Impact.
2 – Medium	A change that must be implemented as soon as possible – associated with partial denial of service with an impact on a large number of customers.
3 - Low	A change that must be implemented as soon as possible – associated with partial denial of service on a limited number of customers or degradation in the quality of service.

**4 -
Scheduled**

A change that is not required to be implemented as classified above or a request for a new service.

9. Remediation Planning

The Change Management Process should include the manner in which the change is to be reversed or remedied if unsuccessful.

- All changes must be approved and implemented in a controlled manner and according to the documented process.

All changes shall be reviewed for success and any actions taken after implementation.

- A Forward Schedule of Change (FSC) that contains details of all the changes approved for implementation and their proposed implementation dates shall be maintained and communicated to relevant parties.

10. Change Approval

All changes shall be approved by the Change Management Process Owner, assisted by the Change Advisory Board where necessary. The Change Management Process Owner may decide which additional people to invite in order to assist the CAB in assessing the change, depending on the nature of the change to be made.

11. Change Authorisation Mandate – Financial

- Change Management Process Owner, in conjunction with the Change Coordinator may approve changes of which the financial impact does not exceed R 50,000 (Except in cases where prior financial authorization has been obtained).
- The Change Advisory Board may approve changes of which the financial impact does not exceed R150, 000 (Except in cases where prior financial authorization has been obtained).
- Changes of which the financial impacts exceed R150, 000, but are less than R200, 000 can be conditionally approved and must be referred to the applicable executive manager for authorization.
- Changes of which the financial impacts exceed R200, 000 can be conditionally approved and must be referred to the applicable Senior Manager for motivation and authorization.

11.1 Change Prioritisation

All changes must be reviewed after implementation and the results of this review must be documented in Track IT. This review must cover the following:

- Whether the change met its objectives. If not, the reasons must be documented and improvement actions identified.
- Whether the change stayed within its budget. If not, the reasons for exceeding the budget must be documented.
- Whether the implementation went as planned and if not, whether the back out plan worked.
- Whether the change has an impact on the customer's business operations

The review period may differ for each type of change. For large changes the review period will typically be longer.

11.2 Change Freeze Periods

Change Freeze Periods are imposed in order to protect the IT infrastructure, application and/or other business activities from any change activity that may undermine its stability and operation.

Generally speaking ITIL® recommends that a change freeze is imposed during business critical activities, these activities are likely to be different for each organization but could include, monthly billing runs, monthly salary runs, invoice printing, batch processing jobs or alternatively high profile customer facing activities.

The change Freeze periods depend largely on what information you have from the business, ideally you would have a calendar of business events well ahead of schedule where you could identify times and dates when change freezes are required, this way everyone knows well in advance that they will not be able to make changes at that time and can therefore plan around them.

11.3 Urgent/Emergency Changes

All **Urgent / Emergency** changes during these freeze periods must be referred to the Change Management Process Owner for evaluation and authorization. The Change Management Process Owner can be contacted on Tel: +27 15 505 7148 or e-Mail:

sekgalamatome@blouberg.gov.za

12. Non-Compliance

Where non-compliance is found, necessary steps will be taken to remedy the situation. The remedy may include actions as per the Company's Disciplinary Code and could lead to dismissal. BLM has made huge investment in its infrastructure and cannot allow non-compliance to its Enterprise Governance, of which this policy is a part, to jeopardize its own investment or the business enterprise of its customers. A culture of Change Management should be created across BLM ICT Office where there is zero tolerance for unauthorized change.

13. Exemption

The Manager IT – Municipal Manager's office has the sole right to exempt a person or application from this policy, or part thereof. The exemption will be null and void unless:

- It is in writing
- It is signed and dated by the Senior Manager
- A record is kept of the exemption

14. Policy Governance and Assurance

Policy Owner	Matome Sekgala-ICT Manager Blouberg Local Municipality
Date Approved	2014
Approved By	T.M.P Kgoale-Municipal Manager, Blouberg Local Municipality
Review Date	2014
Policy Contact	Matome Sekgala-ICT Manager Blouberg Local Municipality

15. Promulgation

This policy was signed into effect on ____/____/____ by _____ in his capacity as _____. This policy will be reviewed annually.

Name:	Signature	Date