Change Management

Kāpiti Coast District Council Change Control Process

Draft 0.2, July 2015

Introduction

This document details the process and procedures to completing a change control request.

Version Control

Version	***Author***	***Released Date***	***Notes***
0.1	*Roger Faithfull*	*April 2015*	*Initial Draft*
0.2	*Roger Faithfull*	*July 2015*	*Updated to reflect actual process after implementation.*

This Document has been accepted by the ICT Manager

Signed: ______________________________ Date:______________________________

Overview of Change Management

The Change Management Service encompasses the activities required to manage changes to IT Services, Infrastructure and Applications as efficiently as possible with minimum disruption to the business, ensuring that the best achievable levels of availability and service are maintained. The service applies across the whole service lifecycle.

Change Management goals are to:

- Respond to the customer's changing business requirement in a way that ensures improvements and minimises risk, and
- Align change to meet both business and service requirements.

All employees, contractors, consultants, suppliers, IT partners and service providers are required to ensure changes to the production environment (including appropriate test and development systems) are formally managed to:

- Prevent problems related to the change and minimise their risk
- Ensure the IT production environment is in a predictable state at all times
- Improve the accuracy of the estimates of time and cost of delivering change
- Ensure that only authorised changes are implemented
- Ensure changes are efficiently and effectively implemented
- Ensure any changes can be backed out if necessary
- Make internal and external IT units aware of changes
- Provide necessary documentation, to track causes and support problem resolution

To achieve this, change management must ensure change is:

- Recorded
- Evaluated
- Prioritised
- Planned
- Authorised
- Tested
- Implemented
- Reviewed
- Documented.

Roles and Responsibilities

Responsibility for the success of the Change Management process is devolved across many teams within the council. The following roles are charged with managing the delivery of change for the Councils Information Systems.

Change Requester

The requester is the person or group requesting the change. This person could be from the Business or IT department, or other third party service provider who has a direct interest in the benefit of the change. Their responsibilities are:

- Initiate the change by completing the Request for Change form
- Provide all of the information required to enable the request to be processed
- Assist in scheduling the change for implementation at an optimal time for delivery to the business.
- Sign off acceptance that change has been correctly implemented

Line Manager/Business Owner

Required to provide business approval before change is progressed e.g. changes to a business application should be accepted by the business system owner.

Change Manager

The Change Manager is ultimately responsible for the change management process and will ensure all changes are completed as set out in this document. Specific responsibilities include:

- Develop and maintain the policy, process, and procedures required to manage the Change Process
- Chair the Change Advisory Board
- Ensure all Requests for Change are identified for discussion at CAB meetings.
- Ensure that all parties comply with the Change Management Process. Specifically, no change is implemented unless it goes through the Change Management Process, or is a documented exception.
- Completes Post Implementation Review (PIR) of change(s)

Change Approver

The Change Approver is the senior member of the ITG staff who has been appointed to the role. For Major Change this function is performed by the Service Desk Team Lead on behalf of the CAB. For minor changes this function is performed by the Information Technology Team Lead.

Change Advisory Board (CAB)

The CAB is responsible for approving the change through its various phases. The CAB membership is selected as appropriate for the change type and category.

The CAB's permanent participants include representatives with decision-making authority from each stakeholder group as well as advisors from IT support and development teams. Support and development representatives may be drawn from IT suppliers and partners responsible for the business system.

The CAB will:

- Review change requests and approve for implementation or reject as appropriate based on the information provided and considering the best interests of the business
- Receive and review Change Managers report on activities since previous meeting, including:
    - Failed Changes
    - Post Implementation Reviews (PIRs) of major and failed changes
    - Standard Changes implemented
    - Requests for new Standard Changes

Emergency Change Advisory Board (ECAB)

The ECAB is responsible for reviewing emergency changes and approving or rejecting on behalf of the CAB where a change request cannot wait on the next full CAB meeting. The ECAB will usually require a quorum to approve an emergency change. As a minimum this quorum may consist of the Change Manager and the Service Owner of the impacted system.

The ECAB will:

- Review emergency change request and approve for implementation or reject as appropriate based on the information provided and considering the best interests of the business

Service Desk (Change Owner)

The Service Desk is the Change Owner for all Changes. They ensure that Change Requests flow through the system in a timely manner. Specific tasks include:

- Assist as required with the logging of Requests for Change.
- Validate all Requests for Change to ensure that the form is complete and accurate
- Filter out and reject any changes that do not meet agreed criteria.
- Assign, manage and report on all Requests for Change
- Review the change for completeness prior to CAB
- Review all implemented changes to ensure they have met their objectives.
- Close Changes once completed.
- Refer any that have been backed out or failed to the CAB.
- Review all outstanding RFC's awaiting consideration or awaiting action
- Analyse change records to determine any trends or apparent problems that occur and seek rectification with relevant parties.
- Publishing Forward Schedules of Change
- Coordination point for all change notifications
- Coordinates emergency change activities if required
- Produce regular and accurate management reports
- Produce Change Register and distribute for discussion at the weekly CAB Meeting.

Technical Planner

The technical resource responsible for designing the build and preparing plans for the implementation of the change.

- Develop Risk Assessment
- Develop Implementation Plan
- Develop Back out plan
- Document the operation of the system to an agreed standard

Peer Reviewer

- Review the plans for completeness and clarity. Cannot be the same person as the Technical Planner.

Implementer

- Implement changes into production and related UAT or Disaster Recovery environments where they exist including coordination of third parties where applicable.
- Liaise with all necessary parties to co-ordinate change building, testing and implementation, in accordance with schedules.
- Update the change log with all progress that occurs, including any actions to correct problems and/or to take opportunities to improve service quality.
- Update any production documentation

Types of Change

Kāpiti Coast District Coast has three types of change:

- **Standard Change** – This is an accepted solution approved in advance with a common or predefined set of requirements. These will be changes that have been assessed as having low to no risk or impact and no outage requirements.

  Standard changes do not require approval at the time of implementation and will use a predefined change workflow.

  See section Standard Change Authorisation Process below for details of how to have a change category agreed to be a standard change.

  Note: A list of current standard changes is attached as Appendix B.

- **Normal Change –** This is a change that must be approved prior to implementation. Normal change will be completed via the **Change Control Process** defined below.

Normal Changes will be further categorized as:

Minor Change
A Minor Change is a low risk and minimal impact change and is the normally accepted solution to a specific requirement or set of requirements.

The characteristics of a minor change are:

- The tasks involved with the change are typically simple and repetitive, well documented and tested

Examples of Minor Change include: minor upgrades and security patches to software, replacement of faulty items with same version/model, report layout change.

Minor changes can be approved for implementation by the Change Approver

Major Change

A Major Change is usually intended to provide large-scale improvements or enhancements to address operational efficiency or to deliver modified or additional functionality. Major change is likely to be run as a large project. Major change requires extensive planning and will take longer to define, design and implement.

A Major change will meet the following criteria:

- Very large amount of build or implementation resources required
- Impact likely upon other parts of the organisation
- Major dependencies or inter-relationships with any other change or system
- Run as a large project

Major changes require approval by the CAB.

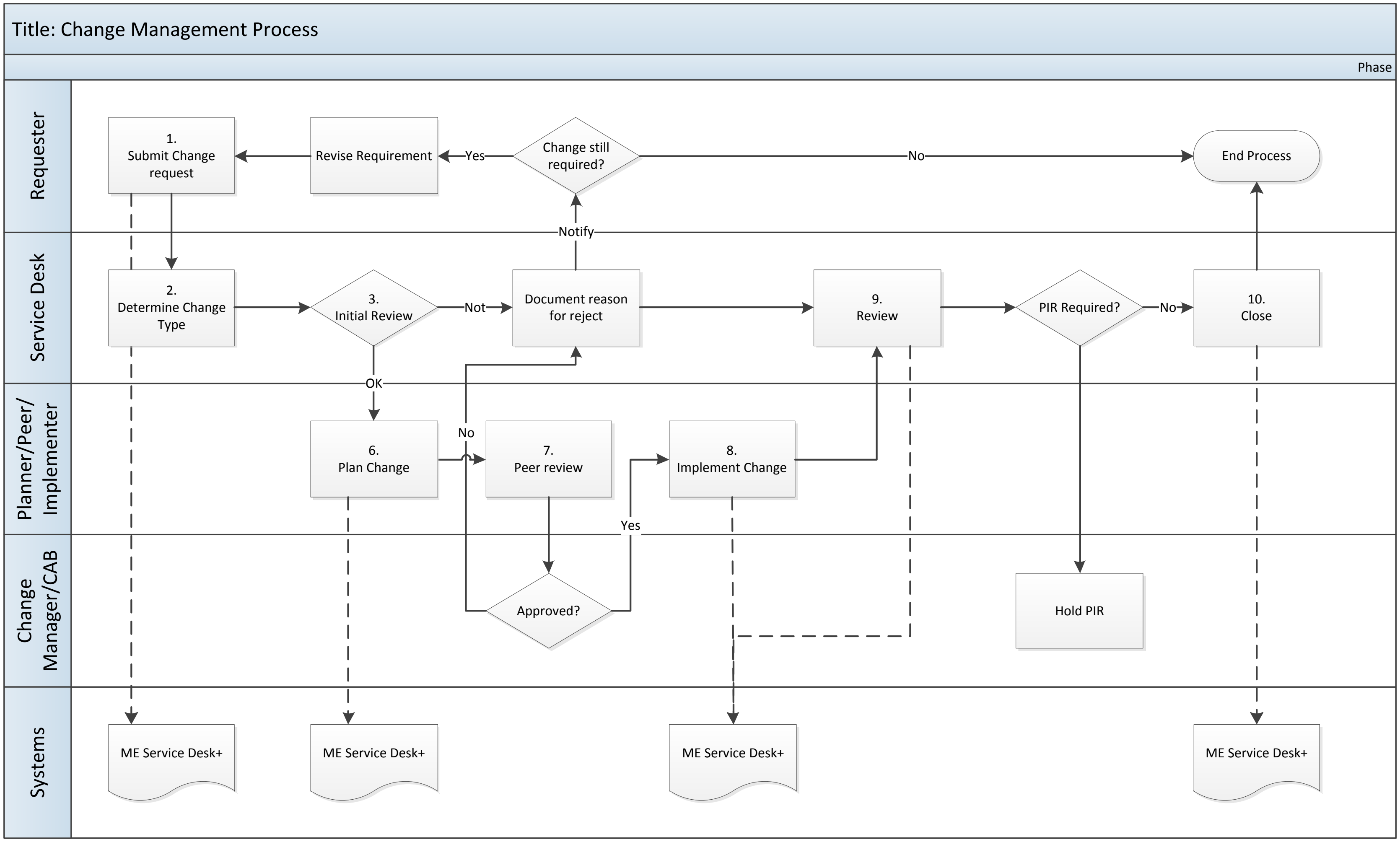
- **Emergency Change** – An emergency change is a normal change that requires immediate attention and will be to:
  - Fix an Incident/Problem or
  - Has a high business priority where if not implemented will result in;
    - A significant and measurable negative impact on the Councils ability to meet business targets
    - A significant loss in revenue or business benefit opportunity missed
    - Adverse visibility to external customers

Emergency change will be completed via the **Change Control Process** however the steps may be expedited by the Change Manager to ensure the necessary urgency is achieved.

Examples of emergency situations include:

- A Problem with an IT service that will result in negative impact to the Client's public image.
- An Incident resulting in a large number of people being idle for an extended period of time, resulting in a significant loss of time and money to business.
- Need to ensure the well-being of staff – (i.e. if waiting for Change Management means excessive amounts of staff overtime or other unacceptable pressure put on staff)
- Negative impact on the Client's ability to achieve its strategic outcomes.
- Problem that seriously affects or potential to seriously affect the use of an essential service by users. (I.e. Back-up system, recovery from failover, data corruption, hardware faults with essential equipment.)
- Security risk that could potentially compromise the security of the clients systems.

Change Control Process



Change Control Process Description

The following tasks are completed during the Change Control Process

Step 1 – Submission

- Who – Change Requestor (*Note: if request is received via telephone , email or via NCS Request system, the Help Desk can complete this step on their behalf)*.
- Systems – Manage Engine Service Desk Plus Change Module

All requestors requiring change should complete and submit a change request via the Manage Engine Change module. Details for this change request should include:

- The type of change required.
- The reason for the change (i.e. business need, service requirements).
- Detailed description of the change.
- Authorisation for the change from the appropriate Manager.
- When the change is required by.
- Expected Impacts of the change.

Step 2 – Determine Change Type

- Who – Service Desk
- Systems – Manage Engine Service Desk Plus Change Module

Upon receipt of request the Service Desk should:

- Identify type of Request. If the request is:
  - an Emergency Change request, immediately notify the Change Manager commence change process using the emergency change template.
  - a Major Change, commence change process using the major change template.
  - a Minor Change, commence change process using the minor change template.
  - a Standard Change, commence change process using the standard change template.

The associated change workflow will then ensure that the change flows through the system with the appropriate tasks assigned.

Step 3 – Initial Review Change

- Who – Service Desk
- Systems – Manage Engine Service Desk Plus Change Module

The Service Desk should:

- Determine impact of change
- Determine if the change is achievable based on business need, impact, cost, benefits and risks. If the change:
    - meets the needs of the business (and adds value to the customer), proceed with the request.
    - **does not** meet the needs of the business, notify the requestor as to the decision and close SR.

Step 4 – Determine Emergency Change Requirements

- Who – Change Manager
- Systems – As required

On receipt of an Emergency Change request, the Change Manager should:

- Determine extent of Emergency Change required.
- Convene the ECAB (*This may be by phone if situation dictates e.g. after hours)*:
    - Ensure that a quorum is maintained.
    - If required, contact Vendors to assist in decision making.
    - Outline requirements for the ECAB (explicit goals of meeting).
- Determine the tasks required to complete the Emergency change.
    - Record the requirement for change and the expected impact
    - Record all tasks to be assigned.
- Notify Requestor (and other effected parties) of the decision of the ECAB. *Note: This can be completed through Service Desk.*

Step 5 – ECAB

- Who – Change Manager and ECAB members.
- Systems – As required

On receipt of an Emergency Change request, the ECAB should:

- Consider the Emergency Change and approve or decline. This can include:
    - What is the reason for the change
    - What is the required result from the change
    - What are the risks of the change
- Notify Requestor of decision

Step 6 – Planning

- Who – Change Planner and Peer
- Systems – Manage Engine Service Desk Plus Change Module

Upon advice from the system that a change is awaiting design:

The Change Planner will develop the plans required to implement the change. This will include:

- Implementation Plan
- Roll Back Plan
- Risk assessment

The Peer Reviewer will review these plans and approve this step.

Step 7 – Approve Change

- Who – CAB (with Change Manager)
- Systems – Manage Engine Service Desk Plus Change Module

When the CAB has been convened, it should:

- Review the change request on the basis of its impact to the business. This can include:
    - Who raised the change
    - What is the reason for the change
    - What is the required result from the change
    - What are the risks of the change
    - What resources are required to complete the change
    - Who is responsible to the implementation of the change
    - Does the change have a relationship with any other change.
- Determine what the impacts are if the change is not implement.
- Agree to the conclusions, with the Change Manager making any final decisions.
- Determine the acceptance criteria; how the change will be accepted by the Council. This can include:
    - Scope and timing of change
    - Acceptance testing processes.
    - Level of documentation required.
    - Acceptable business rick
    - Rollback/DR processes
    - Financial implications
- Document the results of the CAB meeting and why the decisions were made.

Step 8 –Implement Change

- Who – Change Implementer
- Systems – Manage Engine Service Desk Plus Change Module

With the decisions made by the CAB, the Change Implementer should:

- Update Change Schedule, detailing the steps to complete the change, as based on the advise of the CAB and the acceptance criteria.

- Assign tasks as appropriate to Change Agents. Change Agents can included:
  - Internal staff
  - Contractors
  - Vendors
- Manage hand over of changed system or applications to BAU

Step 9 – Review Change

- Who – Change Manager (with Help Desk, CAB and/or Change Agents as required).
- Systems – As required.

Upon completion of an Emergency or Normal Change, the Change Manager will convene a Review of Change. This meeting should:

- Complete a Post Implementation review. *Note: A standard template should be created to document this step.* Did the change:
  - have the desired effect?
  - Meet the expected outcomes?
  - Have any shortcomings?
  - Use the expected resources
  - go ahead on time?
  - Need further work/change to the Change Schedule? And if so did the modifications achieve the desired outcome?
- Document the lessons learnt from the change.
- Change Manager to close the initiating SR and notify the requestor that the task has been completed, identifying:
  - Any issues.
  - Further required changes in the future.
  - Expected changes to BAU

Step 10 – Close Change

- Who – Service Desk (Change Owner)
- Systems – Manage Engine Service Desk Plus Change Module

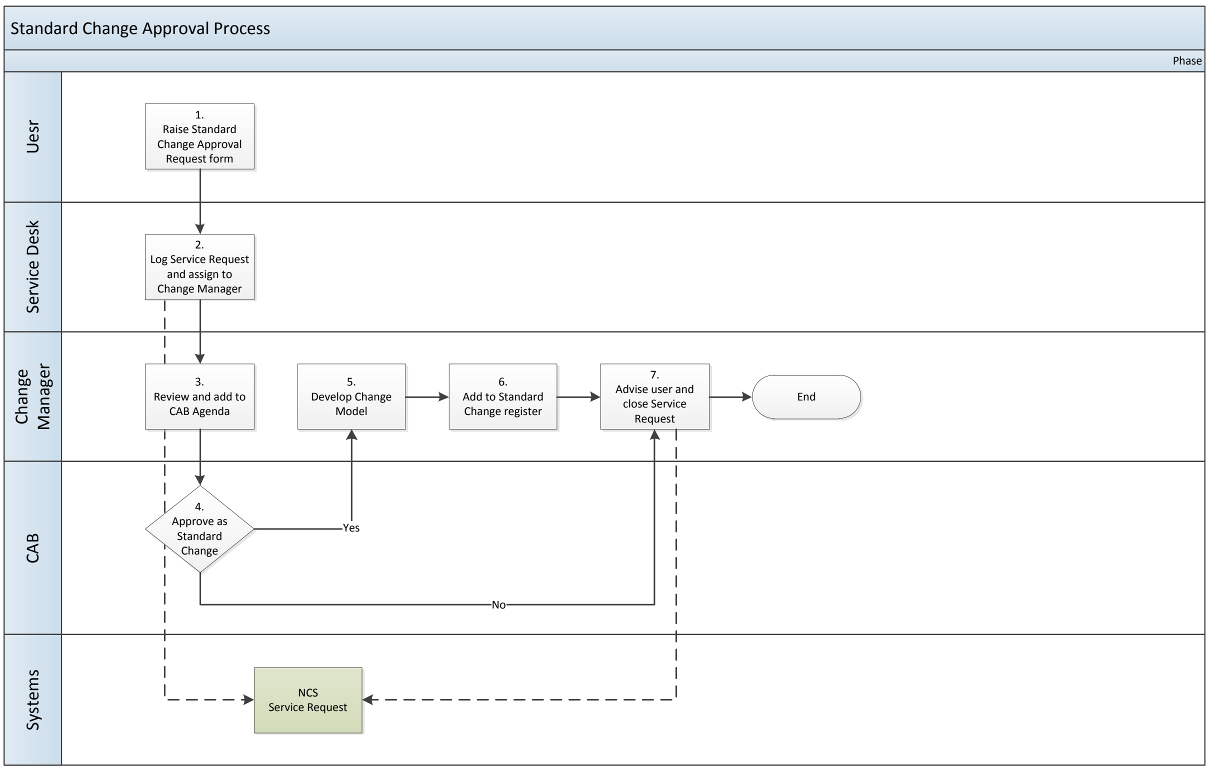
If the CAB/ECAB has determined that the change is not to be progressed the Change Manager should:

- Update Change record with details of why it has been declined and close the record
- Advise the Change Requester of the decision and reasoning.

Standard Change Authorisation Process

Before a change type can be implemented as a standard change it must be approved by the CAB as suitable for inclusion in the list of standard changes. The following process describes the steps required to obtain this approval.

Before being presented for consideration as a standard change the type of change should have been processed through the normal change process at least five times to confirm that it can be achieved via a standard workflow.



Step 1 – Raise Standard Change Request Approval form.

- Who – Standard Change Requestor
- Systems – NCS Service Request Module

Once it has been determined by the implementer that a particular type of change could be processed as a standard change they should complete the Standard Change Approval Request form and send to the Service Desk.

Step 2 – Log Request

- Who – Service Desk
- Systems – NCS Service Request Module

The Service Desk will check the form for completeness and log into the Service Request module of NCS. They will then assign the request to the Change Manager

Step 3

- Who – Change Manager
- Systems – NCS Service Request Module

The Change Manager will review the request and add it to the agenda for the next CAB meeting.

Step 4 - Approval

- Who – CAB
- Systems – As required

The CAB will review the request and determine if it meets the requirements for including as a standard change.

Step 5 – Develop Change Model

- Who – Change Manager
- Systems – Change Management module

If the request was approved the Change Manager will create the required Change Model within the Change System to allow future changes to follow the appropriate workflow steps.

Step 6

- Who – Change Manager
- Systems – As required

The Change Manager will then update the Standard Change register and advise users that the new Standard Change is available for use.

Step 7

- Who – Change Manager
- Systems – NCS Service Request Module

The user raising the original request is advised of the decision of the CAB and the Service Request closed.

Appendix A – Change Advisory Board (CAB) Members

Permanent Members

ICT Manager

Service Desk Team Leader

Information Technology Team Lead

Manager, Financial Accounting

Co-opted Members

Business Owners of systems being reviewed

Project Managers of projects being reviewed

Other resources as required

Appendix B – Approved Standard Changes