

“The City of Heritage”



INFORMATION TECHNOLOGY Change Management Policy

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1. Introduction

Change Management is the practice of ensuring the delivery of IT and Business Services is not impacted by infrastructure or software changes and all changes are recorded and carried out in a planned and authorised manner. This includes ensuring there is a business reason behind each change, identifying the specific configuration items and IT services affected by the change, identifying those staff responsible for implementing the change, planning the change, testing the change, and having a back-out plan should the change result in an unexpected failure.

2. Objectives

The goal of the Change Management Policy is to define the requirements necessary to meet the following business objectives:

- Reduce the risk of business disruption from information systems and infrastructure changes.
- Improve communication among stakeholders that may initiate and / or be impacted by changes.
- Comply with internal control and regulatory requirements.

3. Background

Change Management is the practice of ensuring the delivery of IT and Business services is not impacted by infrastructure or software changes and all changes are recorded and carried out in a planned and authorised manner.

This includes ensuring there is a business reason behind each change, identifying the specific Configuration Items and IT services affected by the change, identifying those staff responsible for implementing the change, planning the change, testing the change, and having a back out plan should the change result in an unexpected failure.

The goal of Change Management is to manage the process of change to these systems through standardised methods and procedures, thereby limiting incidents related to change and improving day-to-day operations.

Without formal change management policies and governance there is scope for operational inefficiency in the Municipality systems.

4. Scope

This policy applies to all Ulundi Municipality employees, contractors, and any other individuals involved in making changes to Ulundi Municipality's production, technical and information assets for which IT has accountability.

5. Definitions

Change: A change is any activity that occurs to any information resource where the status is different from a previously defined condition. This is applicable to all ICT hardware, communications equipment and software, business systems software, 'live' applications software and all documentation and procedures that are relevant to the running, support and maintenance of live systems. A change can also be initiated to resolve a critical problem.

User (s): For the purposes of this document any reference to 'user' or 'users' is referring to the business users who initiate the change request.

Emergency Change: An emergency change is an unexpected or unplanned change that will either minimise service disruption or restore service.

Change management: is the process of developing a planned and documented approach to change in an organization.

In the ITIL framework, Change Management is responsible for controlling change to all configuration items within the live environment, test and training environments, and all environments under the control of 'ICT Operations'.

Business owner: Manager of an organisational unit within Ulundi Municipality who bears responsibility for the acquisition, development and maintenance of production applications that process Municipality information.

Configuration Items: A component within a system configuration that needs to be controlled e.g. PC, server, switch, and printer.

ITIL: United Kingdom's Office of Government Commerce Information Technology Infrastructure Library.

6. Policy

- a. Every change to Ulundi Municipality production information resources is subject to the Change Management Policy and must follow the approved Ulundi Municipality Change Management Procedure.
- b. Procedures must exist to govern emergency changes to information systems and related technology. Criteria that define an emergency change must be clearly documented and communicated. Emergency changes must be documented. Emergency changes must be approved by a member of IT management authorized to approve emergency changes.
- c. Testing of changes must be performed prior to the change being implemented; proof of testing must be retained as evidence.
- d. A system must be in place to support the recording and tracking of changes made to information systems. If customer notification is required, it must be completed for each change following the steps contained in Ulundi Municipality’s Change Management Procedures document.
- e. Technical and user documentation must be updated to reflect changes made to information systems and related technology. A process must be defined for reviewing changes to ensure successful implementation.
- f. A central repository must exist to contain all relevant information on configuration items. This repository includes hardware, application software, middleware, parameters, documentation, procedures and tools for operating, accessing and using the systems and services.

7. Segregation of Duties

Segregation of duties (SoD) must be practiced to ensure that no single individual has the authority to execute multiple conflicting tasks with potential to impact other systems or information; and that no single individual can execute conflicting end-to-end transactions.

As such, segregation of duties at Ulundi Municipality with regards to program changes must follow the best practice guidelines as stipulated below:

The role of ...	Must be independent of ...
Requester	Implementer
Builder	Operators of the production environment
Builder	Tester
Builder	Implementer

Builder	At least one approver
Requester	At least one approver
Implementer	At least one approver
Implementer	Reviewer
Auditor	All participants of a specific change
Approver	All other roles listed above

8. Controls

This policy document addresses the following control objectives:

Control Objective Name	Control Objective Detail
Change Standards and Procedures	Set up formal change management procedures to handle in a standardized manner all requests (including maintenance and patches) for changes to applications, procedures, processes, system and service parameters, and the underlying platforms.
Impact Assessment, Prioritization and Authorization	Ensure that all requests for changes are assessed in a structured way for impacts on the operational system and its functionality. This assessment should include categorization and prioritization of changes. Prior to migration to production, changes are authorized by the appropriate stakeholder.
Emergency Changes	Establish a process for defining, raising, assessing and authorizing emergency changes that do not follow the established change process. Documentation and testing should be performed, possibly after implementation of the emergency change.
Change Status Tracking and Reporting	Establish a tracking and reporting system for keeping change requestors and relevant stakeholders up to date about the status of the change to applications, procedures, processes, system and service parameters, and the underlying platforms.
Change Closure and Documentation	Whenever system changes are implemented, update the associated system and user documentation and procedures accordingly. Establish a review process to ensure complete implementation of changes.
Configuration Repository and Baseline	Establish a central repository to contain all relevant information on configuration items. This repository includes hardware, application software, middleware,

	parameters, documentation, procedures and tools for operating, accessing and using the systems and services. Relevant information to consider is naming, version numbers and licensing details. A baseline of configuration items should be kept for every system and service as a checkpoint to which to return after changes.
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9. Cross-Reference to Other Policies and Procedures

Change Management Procedure.

10. Reference Material Used In Developing This Policy/Procedure

- ITIL v4 Framework

11. Accountabilities

11.1. Responsibility

All Business Owners and IT staff are required to adhere to this policy. Non-compliance to this policy by a staff member may lead to appropriate disciplinary action by IT management.

11.2. Training Plan

All business owners and managers are responsible for promoting individual employee awareness of, and compliance with, Municipality Change Management policies and procedures.

11.3. Compliance

All Business owners of Municipality systems must comply with this policy.

12. Approvals

The table below provides necessary approvals of this policy.

Approver	Signature	Date
Chairman of the Council		
Chairman of the Audit and Risk Committee		
Ulundi Municipal Manager		