

UNIVERSITY OF WESTERN CAPE (UWC)

IT CHANGE MANAGEMENT POLICY & CHANGE CONTROL PROCEDURES (IT POLICY)

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This policy/procedure will be reviewed annually for any necessitated changes			

Table of Contents

Document Information	1
Document Control.....	1
Version Control ..	.1
Introduction.....	.2
Purpose.....	2
Scope.....	2
Definitions.....	2
Regulations	3

Introduction

Change management is the process by which changes to the ICT environment that has the potential of impacting on business processes, research or teaching and learning, is governed to minimise disruptions.

Purpose

The ICT Change Management Policy sets out criteria and guidelines to mitigate and minimise risks when:

- Deploying or retiring ICT infrastructure or Application Systems.
- Deploying patch releases for software.
- Performing routine maintenance tasks on the hardware and software infrastructure
- To ensure that all units within the Information and Communication Services department (ICS) follow a single change management process that governs changes to the UWC systems and infrastructure that have an impact on services, either directly or indirectly.
- To ensure that all affected parties are informed and have sufficient opportunity for approval and feedback.

Scope

This policy is applicable to anyone that maintains, installs or operates any ICT systems at the UWC datacentre(s), including permanent, contract or temporary staff, students, contractors, consultants and third party suppliers.

Definitions

Change

The addition, modification or removal of approved, supported or base lined hardware, network, software, application, environment, system, desktop build or associated documentation.

Change Management

Methods and procedures for effectively managing all changes that could impact on the ICS ability to deliver services

Change Control

The procedure to ensure that all Changes are controlled, including the submission, analysis, decision making, approval, implementation and post implementation of the Change.

Emergency Change

Emergency changes are unplanned events that will have a negative impact on a service unless addressed immediately. They need to be resolved immediately to restore the production environment to its original state or prevent a service from being disrupted.

Urgent Change

Ad-hoc changes are fast track changes that require special approval where time does not allow for the normal change control process. These requests must still be registered, approved etc..., but the process may be fast tracked.

Change Advisory Board (CAB)

The individuals /committee required to discuss and approve a proposed change.

Regulations

1. Every change to an Information Resource in the UWC data centre such as: operating systems, computing hardware, networks, and applications is subject to the Change Management Policy and must follow the Change Control Procedures.
2. All changes affecting computing environmental facilities (e.g., air- conditioning, water, heat, plumbing, electricity, and alarms) need to be reported to or coordinated by the change control coordinator.
3. A Change Advisory Board (CAB), comprising of Business and ICS role players, will meet regularly to review change requests and to ensure that prioritization of the change, its business impact and timely communication of any scheduled downtime are being satisfactorily managed.
4. All scheduled change requests must be submitted in accordance with change management procedures so that the Change Advisory Board (CAB) has time to review the request, determine and review potential failures, and make the decision to allow or delay the request.
5. Each scheduled change request must receive formal Change Advisory Board (CAB) approval. Only approved changes may be implemented. Emergency changes may also be authorized and approved by ICS or Business management.
6. A formal written change request must be submitted for all changes, both scheduled and unscheduled.
7. All changes must be logged at the ICS Service Desk, archived and adequately documented through all stages of the process.
8. No change may be implemented without first having been tested, unless the change is an emergency change. In cases where it is not possible to test a planned change, the risk must be highlighted to the approval body and business.
9. Urgent changes must follow the approved process but be fast tracked with verbal approval if required.
10. The Change Advisory Board may deny a scheduled or unscheduled change for reasons including, but not limited to, inadequate planning, inadequate back out plans, the timing of the change will negatively impact a key business process such as year-end accounting, or if adequate resources cannot be readily available. Adequate resources may be a problem on weekends, holidays, or during special events.
11. Business and user communication must be completed for each scheduled or unscheduled change following the steps contained in the Change Management Procedures.
12. All changes must be communicated to the affected stakeholders including the approval or rejection, schedule and outcome.
13. A Change Review must be completed for each change, whether scheduled or unscheduled, and whether successful or not.
14. A Change Management Log must be maintained for all changes. The log must contain, but is not limited to:

- a) Date of submission and date of change;
 - b) Owner and custodian contact information;
 - c) Nature of the change;
 - d) Indication of success or failure;
 - e) Approval status and validated authorisation.
15. All changes must have rollback plans inclusive of the Disaster Recovery Plan (DRP). The effect that changes have on DRP documents must be considered and configuration changes must be updated.
 16. All changes executed by external parties for and on behalf of UWC are subject to the UWC Change Management Policy.
 17. External parties, contractors and 3rd party suppliers, must give sufficient notice of planned changes that affect UWC's infrastructure/ services.
 18. All changes made by contractors must be verified and accepted by the appropriate UWC Unit manager.
 19. ICS will give sufficient notice of changes that may affect external parties' infrastructure/ services in accordance with the documented standards.
 20. Security permissions to controlled systems and environments may only be issued on approval of and for the duration of an approved change.
 21. No change will be deemed complete until all applicable documentation (system, operational, configuration, diagrams, etc.) has been updated, approved and published.
 22. All administrative university information systems must comply with the change management process that meets the standards outlined above.

UNIVERSITY OF THE WESTERN CAPE**Document Information**

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Table of Contents

Document Information	I
Document Control	I
Version Control	I
Introduction:	2
Procedure:	2
Emergency Change	3
Urgent Change	4
Filling in the Template	4
How to access the FORWARD SCHEDULE OF CHANGE mailbox.	5

Introduction:

The change control procedure provides for documented formal approval of changes to the UWC ICT applications, server, and network infrastructure. Changes can be tracked as the documented change request is archived within the ServiceDesk application.

Procedure:

All changes to the ICT infrastructure must be logged at the UWC ServiceDesk.

A change control form (template) is available from the ICS web portal or from the ServiceDesk on request.

Submit the completed form {template} via email to the ServiceDesk **a week prior to the requested Implementation date.**

The ServiceDesk logs your call and attaches your documentation to the change request service call.

The call is assigned to the change co-ordinator who will do an initial review of the change request and its accompanying documentation.

A Change Advisory Board¹ (CAB) is convened at regular times to discuss the details of the change, approve or reject change requests and to determine an appropriate implementation date.

If the documentation is incomplete, then the change co-ordinator may reject the change before the change request is formally considered.

The CAB meeting will take place every Monday from 10H00 to 11H00.

CAB meeting times have been diarised for the convenience of all relevant ICS staff.

The change co-ordinator will convene CAB meetings and invite relevant stakeholders to the CAB meeting.

The change requester attends the CAB meeting to discuss the change request.

¹ The Change Advisory Board (CAB) is a body that supports the authorisation of changes and to assist Change Management in the assessment and prioritisation on changes. As and when a CAB is convened, members should be chosen who are capable of ensuring that all changes within the scope of the CAB are adequately assessed from both a business and technical viewpoint. Ref ITIL

ICS Managers or their appointed delegates must be present at all CAB meetings. All approved changes are diarised as a **Forward Schedule of Change (FSC)** appointment within GroupWise. This is visible to all users.

Rejected changes may be re-submitted by the change requester.

All approved changes are subject to a post implementation review that is held at the next CAB Meeting.

A change is signed off in the Service Desk as approved, pending the outcome of the CAB meeting. The electronic version of the change resides in the Service Desk application for tracking and oversight.

All parties affected by a change will be communicated to in a timely manner, advising of the scheduled times for the change. This communication will be sent via the Service desk.

Emergency Change

Emergency changes are unplanned events that will have a negative impact on a service. They need to be resolved immediately to restore the production environment to its original state or prevent a service from being disrupted.

Emergency changes often necessitates that the formal change meeting procedure is not adhered to. In this case appropriate communication takes place between the change manager or change coordinator, the manager responsible for the area in which the change is to occur and at least one technical staff member. It is also necessary to include a communication to users, those most likely to be affected by the emergency change. A further requirement would be to follow up with the correct documentation and formal change request submission retrospectively.

Urgent Change

Urgent changes are fast track changes that require special approval where the change request is outside the normal allocated time window. These requests must still be registered, approved etc.. , but the process may be fast tracked. *It may be fair to advise that failure to adequately plan a change does not constitute an emergency or urgent change.*

Filling in the Template

The template is completed as follows:

A REQUEST

Subject	Give the change request a suitable title which includes the O/S or Application description. W2008R2SP1-would mean windows server 2008 Release 2 Service Pack 1.
Request Date	Date the request is submitted.
Requester	The person filling in the form or the change requester.
Effective(Implementation) Date	When is the change likely to be effected?
Request Description	A description of the change requested - How is the change going to be implemented? What do you intend doing?
Impact Analysis /Risks	Describe the business impact. What are the risks involved and how are you going to mitigate it. How will downtime affect end users or any other processes?
Testing Details	Do you have a test strategy? I.e. a TEST Plan of how you are going to test the proposed change before implementation.

	Test Results require validation (sign off) prior to the approval of the change. E.g. user acceptance testing or systems test.
Communication	To whom must communication as regards the change be communicated? Think of any downtime that may occur or how it affects a user after the change.
Escalation	If things go awry, who is in charge of the change and who needs to be contacted to manage the back out plan?
Back-out Plan	A back-out plan describes how you will reverse the change and back out to the previous state.
Post Implementation Validation	Describe how a change is validated as successful after implementation?

These checks are embedded in the Service Desk application.

Tracking number:

The Service Desk application auto-generates a reference number (e.g. CHG1869) on behalf of the change control manager to the assigned change coordinator. A copy of the request is also sent to the change requester.

Approved by:

The change control manager or the change coordinator signs the change request form. The Service Desk has a sign off embedded in the application whereby only the change manager or coordinator can sign off approval of the change.

Approval date:

All approvals are acknowledged through the Service Desk application. An approval email which includes the approval date is generated and sent to the change requester.

How to access the FORWARD SCHEDULE OF CHANGE mailbox

From the **GroupWise Mailbox Menu 'Click'** on **File** Then Select **Proxy** Select **Forward Schedule of Change** from the list and Click **'OK'** From this Group Mailbox Select **'Calendar'**

You will find a month view of all the scheduled changes that has been captured.