O.R TAMBO DISTRICT MUNICIPALITY

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CHANGE MANAGEMENT POLICY

TABLE OF CONTENTS

O.R. TAMBO DISTRICT MUNICIPALITY
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@ortambodm O. R Tambo District Municipality

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1. PURPOSE

It is important that changes to the computing environment are executed in a controlled manner to mitigate the risk of interruptions to service during prime access hours and to maintain a repository of knowledge about the current configuration and status of the computing environment.

2. OBJECTIVE

The Change Management Policy has the following objectives:

a) To protect the computing environment from uncontrolled changes.

b) To restrict service disruptions caused by necessary changes to be defined low-use hours.

c) To minimize the occurrence of unintended affects during the implementation of necessary changes.

3. SCOPE

3.1. The Change Management Policy applies to Production, Test and Development environments on all tiers. The Change Management Policy applies to:

a) Anything requiring a reboot to either a production, test or development server.

b) Upgrades, including software and operating system patches.

c) Disk swaps and/or the replacement of other redundant parts.

d) Addition or removal of hardware or software infrastructure.

e) Changing access to any of the production servers.

f) Rollouts of desktop applications.

g) Changes to production applications and/or web links to production applications.

3.2. The Change Management Policy does not apply to:

a) Day-to-day operational activities such as adding new clients, print queues, or creating or changing user groups.

4. RESPONSIBILITIES

4.1. It is the responsibility of the ICT MANAGER to review this policy and procedure at least once a year and as and when changes occur with consultation from the ICT Steering committee, the Director Corporate Services, the Executive Committee, and the administrators of each of the systems used by OR TAMBO DISTRICT MUNICIPALITY.

4.2. The Director Corporate Services is responsible for ensuring that this policy is implemented and adhered to. The ICT MANAGER will assist the Director Corporate Services in implementing this policy and ensuring that all changes are performed in line with the guidelines of this policy and procedure.

4.3 All individuals assuming the role of administrators of OR Tambo District Municipality systems shall be informed of this policy and procedure and must adhere to the guidelines detailed in this document.

4.4 The POLICY states that:

I. **All changes must be authorized.**

a) An individual other than the change requester, change developer or change tester must approve each change in order to prevent unauthorized changes and reduce changes that may introduce errors due to lack of review.

b) All changes must be approved by Senior Management. At a minimum the Director Corporate Services must approve all changes.

c) All changes must be routed through the ICT Manager. This will ensure that potential compatibility issues and other concurrent IT initiatives will receive adequate considerations before the change is performed. The ICT Manager must be involved in all discussions with service providers that request for change in the systems.

d) All changes must be assigned priority level. The priority level should be approved as part of the approval of the change documentation.

e) In the case of regular changes that may be part of operational checklists, when a new change is added to the checklist, it should go through the change process to confirm that the routine change will always bring expected results

f) Changes will only be performed by authorized individuals (whether the individual is a services provider and/or an employee of OR TAMBO DISTRICT MUNICIPALITY).

g) When services providers perform changes remotely, access to OR TAMBO DISTRICT MUNICIPALITY systems should only be provided to the services provider for that timeframe only and locked as soon as the changes have been implemented.

h) All unauthorized changes must be escalated, investigated, documented and resolved within a period of ten working days.

i) Detected and unauthorized changes must be investigated to determine if they should be accepted and authorized or rolled back to a previously known, stable state.

II. **All changes must be tested.**

a) All changes must be tested prior to being implemented into the production environment. Where testing was performed by the support provider using the test environments at the provider site, evidence of testing and test results should be provided to OR TAMBO DISTRICT MUNICIPALITY for review before authorizing changes.

b) Evidence of testing must be retained including the User Acceptance Testing sign off.

III. **All changes must be auditable.**
a) All production changes must be recorded, explained, and documented.
b) A schedule describing all changes, including when they were made and by whom, must be maintained.
c) All production systems including infrastructure must be monitored for changes. Any available change audit trail functionality on the systems in use by the municipality should be utilized in monitoring activities.
d) Roll back plans must be clearly documented before the change is implemented.

IV. **Change closure and documentation**
a) Success or failure of a change must be recorded on the change schedule for tracking purposes after a change has been implemented. All changes must be traceable to a documented change request.

b) The originator of the change shall ensure that the status of the change on the register is up-to-date.

c) Before the status of the change can be closed, a review of whether the change has achieved the desired goals must be conducted. The actions will include deciding to accept, modify or back-out the change and contacting the end user to validate success.

d) Whenever changes are implemented, the associated system and user documentation and procedures must be updated where applicable.

e) Any deviations to planned results when the change is implemented should be investigated

f) Where most program changes are performed by the services provider, OR TAMBO DISTRICT MUNICIPALITY should ensure that the services provider outlines good Change management practices and that such information is included in the services provider support contract.

V. **Emergency changes**

a) Approval of emergency changes should be obtained in a written approval from the Director Corporate Services. Where relevant, approval from senior management of affected parties should be obtained in written approval prior to being implemented.

b) Emergency changes should include an adequate audit trail to allow tracking from incident to root cause and vice versa. Hence, after the emergency change has been implemented, documentation for the change is still mandatory in review.

c) The back out plan is to be documented before the emergency change can be approved, and thereafter performed.

5. PROCEDURES FOR IMPLEMENTING POLICY

5.1. Roles and Responsibilities

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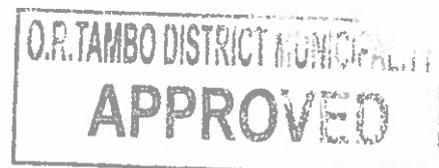
5.1.1 Requestor

Individuals within the Municipality, including IT Operational Staff, end-user clients, or non-municipal personnel contracted for services to the Information and Technology Management may request a change.

5.1.2 Requestor's Responsibilities

a) An individual requesting a change must make a request in writing and send it to the Help Desk by e-mail. Where expertise allows, the requestor is expected to draft and attach a Change Request Form including the following:

- Implementation Plan
- Test Plan
- Rollback or Contingency Plan
- Detailed communiqué for affected clients

a) If required, the Help Desk will assign a Change Owner to complete the Change Request Form and submit it to the ICT Steering Committee for approval.

b) The requestor can expect the following status updates on the change request:

- Notification of change request rejected, or
- Notification of change request approved, and
- Notification of Implementation schedule.

5.1.3 Help Desk

a) Help Desk is the communications focal point for the Change Management process. The Help Desk logs all Change Requests received and tracks them to completion in the call management system.

b) The Help Desk circulates Change Requests for approval and scheduling, provides notifications to requestors and affected clients, and provides reports to ICT Management.

5.1.3.1 Help Desk Responsibilities

a) Help Desk receives a change request e-mail and assigns the request to a Change Owner in the Call Management System.

b) The Help Desk receives Change Request forms, checks to see that the fields in the document have been completed, logs a Change Request call in the call management system and assigns a log number to the document.

c) Help Desk the request to a Change Owner in the Call Management System. Help Desk receives change schedule and notification list from Change Owner and forwards the request to the ICT Steering Committee.

d) Help Desk receives the decision to approve or reject the Change Request from the ICT Steering Committee Chair or designate and notifies the Change Owner and the Requestor of the decision.

e) If the Change Request is approved, Help Desk notifies appropriate End-users. Notifications will either be a standard text or crafted in conjunction with the Change Owner or supplied by the Change Owner. The Change request call remains open and is closed only if:

    i.   The request has been rejected by the ICT Steering Committee Chai (or designate), or

    ii.   The request is cancelled prior to implementation, or

    iii.   The request is an Informational Change Request, or

    iv.   The Change Owner notifies the Help Desk that the change is complete.

f) Help Desk reports monthly to the ICT Manager at least the following summary data:

    i.   Number of Change Request calls opened in the month.

i. Number of Change Requests closed in the month.

ii. Date for each of the Change Request Calls.

iii. Change Owner name associated with each Change Request.

iv. Unique Change Request log number associated with each request.

Other relevant information identified by the Help Desk, or requested by the ICT Steering Committee leads, or ICT Manager.

   g) Escalation path for the Help Desk on issues concerning Change Requests

i. Requestor

ii. Help Desk lead

iii. Change Owner

iv. Help Desk Coordinator

5.1.4 Owner

The Change Owner is the person who is assigned responsibility for a Change Request in the Call Management System. The Change Owner is a senior ICT Operational Staff member and a member of the ICT Steering Committee.

5.1.4.1 Owner's Responsibilities

a) The Change Owner is responsible for the accuracy and completeness of assigned Change Request Forms. The Change Owner is responsible for ensuring that assigned changes are appropriately scheduled, resourced and implemented.

b) The Change Owner receives notification of a Change Request through the Call Management System. The Change Owner ensures that the Change Request Form, including Implementation, Test, Rollback and Contingency plans, is complete.

c) The Change Owner schedules the change and assigns appropriate resources. If the change is Informational, the Change Owner notifies affected clients and ensures that they have approved the change.

d) The Change Owner communicates the schedule and notification requirements to the Help Desk using the Change Request Form.

e) The Change Owner reviews implementation of the change and ensures that all work activities, including documentation updates are complete.

f) The Change Owner updates the Call Management System with information about the outcome of the change and closes the ticket when all activities are complete.

5.1.5 ICT Steering Committee

5.1.5.1 The ICT Manager reports to ICT Steering Committee to oversee the administration of the Change Management Policy.

5.1.5.2 The IT Steering Committee is made up of the ICT Manager, and senior management and ICT Operational staff.

5.1.5.3 The Corporate Services Director is the ICT Steering Committee chair. Other members of the ICT Steering Committee may fluctuate at the discretion of the committee, based on type, extent and volume of changes planned for the environment.

5.1.5.4 ICT Steering Committee members will form the core group of Change Owners responsible for ensuring that Change Requests are completed, user impacts identified and communicated, and approved changes are implemented.

5.1.6 ICT Steering Committee Responsibilities

5.1.6.1 The ICT Steering Committee is authorized to review, revise, approve and schedule all changes to the computing environment and to ensure that policy objectives are met.

5.1.6.2 The ICT Steering Committee is responsible for ensuring that learnings from successful and unsuccessful changes are conveyed to benefit subsequent change to the environment.

5.1.6.3 The ICT Steering Committee attends mandatory weekly Change Management meetings. Meetings are pre-scheduled for a day / time / location that *remains consistent* from week to week. ICT Operational Staff and team leads have an open invitation to attend meetings. ICT Steering Committee members are to encourage frequent management attendance.
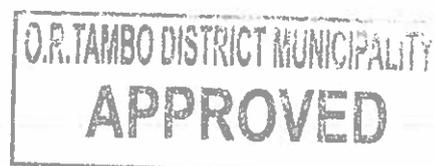
5.1.7 The meetings have the following broad objectives:

a) Review outcomes of changes to the environment implemented during the seven days preceding the meeting

b) Review changes planned for implementation in the seven days following the meeting, and further into the future if required.

c) Review newly submitted change requests

5.1.8 In reviewing newly submitted change requests, the ICT Steering Committee is to:

d) Examine the merits and risks of requested changes.

e) Where needed, assist a requestor to further develop change request parameters.

f) Prioritize the relative importance and proposed schedules for implementation.

g) Identify resources and assign implementer(s).

h) Assign the development of a production turn-over plan when required.

i) Arrange modifications/updates to the Process & Procedures documentation.

j) Quantify potential impact to end-users and notifications lead-time.

k) Make approve/reject recommendations to Technology Services Manager.

5.1.9 ICT Steering Committee receives reports from Help Desk on:

j) Successfully implemented changes, or

k) Unsuccessful pre-production testing.

l) Inability to validate implementation plans.

m) Resource constraints.

n) Unsuccessful implementation and consequence.

o) Request to modify /update Processes & Procedures.

5.1.10 ICT Steering Committee escalation path:

a) Change Owner

b) ICT Steering Committee Chair

c) ICT Manager

d) Director

5.1.2 Information Communication Technology
5.1.2.1 Implementer

Implementation of changes to the computing environment may involve one or a group of individuals from within the government enterprise or contracted to the Ministry. Assignment of resources is based on staff availability, applicable knowledge and skills.

5.1.2.2 Implementer's Responsibilities

5.1.2.2.1 Implementer receives notification from Change Owners requesting participation in the change tasks and respond to the Change Owner regarding availability.

5.1.2.2.2 Implementer receives the Change Control Document and any other information important for the change from the Change Owner.

5.1.2.2.3 Implementer develops a high-level plan involving other resources as required that identifies:

a. Participants

b. Equipment and software requirements

c. Third-party organizations' involvement

d. Testing

e. Roll-back

f. Overall schedule

g. Communications requirements

h. Implementation-specific expenditures

i. Product Turn-over requirements for operational support

5.1.2.2.4 Implementer forwards the plan to the Change Owner for approval.

5.1.2.2.5 Implementer develops a plan to test the change before implementation to the production environment and conducts the test, communicates test results to the Change Owner and the Help Desk, confirms the change implementation schedule and advises on required communications for end-users and others.

5.1.2.2.6 Implementer makes change to the environment, updates the information repository and reports outcome to the Change Owner.

Implementer's escalation path:

1. Change Owner

2. Technology Services Manager

5.1.3 Users
Users of the computing environment receive notifications of scheduled changes from the Help Desk.

User's escalation path:

1. Help Desk

2. Change Owner

3. IT Manager

6. PROCEDURES

This section describes the high-level Change Management procedures.

6.1 Making a Change Request

a) Identify need for change and send a request to the Help Desk. Requester initiating a change must submit a completed Change Request Form to the Help Desk.

b) If required, the Help Desk will assign the request to a Change Owner.

c) Change Requester will request for the Change Form Request from the Helpdesk

d) Change Requester completes the Change Request Form, attaches it to an e-mail message and sends it to helpdesk@ortambodm.gov.za. The Change Request Form should include an implementation plan, test plan, rollback plan and notification list.

e) Help Desk forwards the Change Request Form to the ICT Steering Committee for review and approval.

Notes: Standard and Informational Change Requests must be received by the Help Desk no later than 11:00 AM on the last business day before the proposed Change Implementation Window. Non-Standard Change Requests should be received by the

Help Desk no later than 11:00 AM two business days before the proposed implementation date.

All requested changes are subject to approval by the ICT Steering Committee.

Due to the need to plan, prioritize, communicate and coordinate changes, the ICT Operational Staff will not guarantee that a change will be implemented in the proposed Change Implementation Window.

6.2 Completing the Change Request Form

1. Request the Change Request Form from the helpdesk
2. Complete all relevant fields on the form

6.3 Communicating a Change Request

I.   Help Desk receives completed Change Request Form, logs the Change Request in the call management system, and assigns a ticket number and a Change Owner.

II. Help Desk copies "Summary of Change" information into the subject line of an e-mail, attaches the Change Request and distributes it to the ICT Steering Committee for approval.

III. ICT Steering Committee chair or designate communicates approval or rejection decision to the Help Desk.

IV. Change Management coordinator stores electronic copy of the Change Request in the Repository and publishes change information on the ICT Operational Staff website.

V.   Help Desk communicates ICT Steering Committee decision to the requestor and Change Owner.

VI. If the Change Request is approved, Help Desk sends e-mail notification of the scheduled change to affect clients and team leads identified on the Change Request Form.

VII. If the Change Request is approved, the Change Owner requests participation from appropriately skilled staff to implement the change.

6.4 Approving a Change Request

I. Change Owner ensures that the Change Request Form, including Implementation, Test, Rollback and Contingency plans, and notification list is complete and that scheduling of the change is appropriate.

II. ICT Steering Committee members receive Change Request and review the proposed change.

III. ICT Steering Committee members record concerns or objections and send them to the Help Desk and ICT Steering Committee. The deadline for Members to respond to a Change Request is 2:00 PM on the same business day if the request is received before 11:00 AM. The deadline for Members to respond to a Change Request is 2:00 PM on the following business day if the request is received after 11:00 AM.

IV. Change Management Chair or designate, rejects, or approves the proposed change and communicates the decision to the Help Desk and ICT Steering Committee. The deadline for the Change Management Chair or designate to render a decision on a Change Request is 2:00 PM on the same business day if the request is received before 11:00 AM. The deadline for the Change Management Chair or designate to render a decision on a Change Request is 2:00 PM on the following business day if the request is received after 11:00 AM.

V. For rejected Change Requests, the Change Management Chair will attempt to broker a resolution between the initiator of the Change Request and the initiator of the objection.

6.4 Human Behavioral and cultural aspect and training of employees in relation to change management.

6.4.1 On the change planned by the municipality on ICT systems and environment, human behaviour around the new change will be trained on the new system or upgrade or environment before, during and after the implementation of change.

7. ENFORCEMENT

7.1 Staff members found in policy violation may be subject to disciplinary action, up to and including termination.

8. DISTRIBUTION

8.1 This policy is to be distributed to all ORTDM staff responsible for managing and supporting the ORTDM production network.

9. POLICY REVIEW

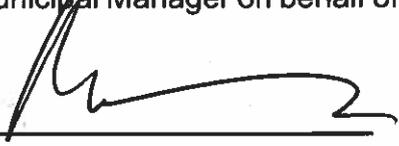**9.1** This policy shall be reviewed on an annual basis by the ICT Unit to:

   a. Determine if there have been changes in the market references that may impact on this policy.

   b. Determine if there are major changes to the network requirements.
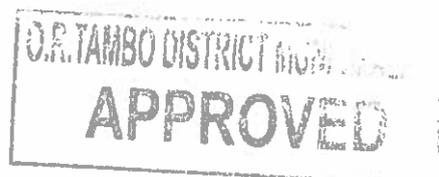
10. POLICY APPROVAL

Singed by the Municipal Manager on behalf of the **O.R. TAMBO DISTRICT COUNCIL:**

Signature:_____

Date: 08/DEC/2023_____

Official Stamp

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