Change Management Procedure

**Version Control:**

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**Scope**

This control applies to all systems, people and processes that constitute the organization’s information systems, including board members, directors, employees, suppliers and other third parties who have access to SNS group.

**Purpose**

The purpose of this document is to set out in detail the Service Provider policy around change management.

As such, this document should represent an initial design for the enhancement of existing change management processes and should be updated on at least an annual basis thereafter as SNS group and its IT service management needs develop.

The objective of the change management process is to ensure that changes to SNS group IT services and their associated components are recorded and then evaluated, authorized, prioritized, planned, tested, implemented, documented, and reviewed in a controlled manner. Reliability and business continuity are essential for the success and survival of any organization and are particularly important in our environment.

Change Management enables Service Provider to add value to the business by:

1. Prioritizing and responding to business and customer change proposals
2. Implementing changes that meet the customers’ agreed service requirements while optimizing costs
3. Contributing to meet governance, legal, contractual, and regulatory requirements
4. Reducing failed changes and therefore service disruption, defects, and re-work
5. Delivering change based on urgency and business benefit
6. Contributing to better estimations of the quality, time, and cost of change
7. Assessing the risks associated with the transition of services
8. Aiding productivity of staff through minimizing disruptions due to high levels of unplanned or ‘emergency’ change, hence maximizing service availability
9. Reducing the Mean Time to Restore Service (MTRS), via quicker and more successful implementations of corrective changes
10. Liaising with the business change process to identify opportunities for business improvement.

**Scope of Change Management**

**Definition**

All hardware, software and documentation that constitute a live service to SNS Groupe users should be subject to change management. The exception is where certain types of change have been designated as standard changes and implemented via the service request process. As an indication, changes to the following should require a change request to be raised and approved.

1. **Server hardware** 
   1. New installations onto the live network
   2. Upgrades
   3. Decommissioning
2. **Server operating software** 
   1. Upgrades
   2. Fixes and service packs
   3. Configuration changes

1. **Application software including Exchange**
   1. Upgrades
   2. Fixes
   3. Configuration changes

1. **Network Devices**
   1. Firewalls
   2. Routers
   3. Switches
   4. Network services e.g., DNS, DHCP and Other network devices

**Change Freeze**

To minimize business risk over the crucial trading period changes are not allowed to IT infrastructure at that time unless specifically authorized as an exception based on business priorities.

**Changes to Software Packages**

It is SNS Group policy to use, where possible, commercial software packages to fulfil business requirements for information systems. If changes are felt to be necessary, it is the policy of SNS Group to request that they be made and supported by the vendor of the software package as standard features of their product.

Example: If there is an advisory from any vendor related to ERP regarding new available package. It must go through the change request.

**Categories of Change**

To decide which, route a change should take through the process, change requests should be categorized based on its estimated resource requirement, urgency, and risk.

The following categories of change should be used:

**Standard change**

A standard change is a small, low risk change that can be implemented in a short, governed timeframe. Although a standard change is technically a change, it should not require a change request to be assessed and approved, although it should still be logged against the relevant configuration item as having taken place. Some standard changes should be requested by users via the service request process. These should be subject to specifically agreed target service levels specified in the SLA and service requests should be processed according to the Service Request Management Process.

**Normal Changes**

A normal change is one which has not been pre-classified as a standard change, is not an emergency and does not meet the criteria for a major change. Normal changes should be subject to the change management process.

**Emergency Changes**

Emergency changes are changes which are urgently required to resolve a major incident or problem. These should be fast-tracked through the change management process and given additional resource where required. Note that a failure in forward planning to log a normal change in enough time to obtain approval does not constitute an emergency change and should not be treated as such.

**Major Changes**

Changes that have the potential to have a major impact on a service, although still logged as change requests and tracked via the change management process should be handled via the Design and Transition of New or Changed Services process. These should be planned and managed as projects and the following criteria should be used to assess whether a proposed change is classified as major.

A change should be classified as major if it involves any or all:

1. the removal or decommissioning of a service
2. the transfer of a service from Service provider to the business or a different party
3. the creation of a new service
4. more than 10 working days of IT resource

These criteria should be re-evaluated on a regular basis as part of a wider change management process review.

**Process to be followed for Change management**

1. The requestor should fill the change management form and send it to the respective Head of the department (HOD) for approval.
2. The respective HOD should
   1. Assess the change request and the impact of the change.
   2. Provide approval and send it to the IT Head/ISM.
3. The IT Head/ISM along with change approval board (CAB) should assess the change requirement for its feasibility and send it to implementation team.
4. The implementation team should analyze and document:
   1. The impact of the change
   2. Interdependencies
5. CR should be strictly implemented as per the scheduled down time on the scheduled date and time in the respective CR form.
6. All the CR forms should be managed by implementation team.
7. The CR forms should be maintained for at least 2 years or as per the business requirement.
8. In case of urgent/emergency requirement for change. Email or verbal approval from the IT Head/function head can be taken. Evidence for the same needs to be maintained.

**Compliance:**

Failure to comply with this or any other security policy should result in disciplinary actions as per the Punitive Action procedure. Legal actions also may be taken for violations of applicable regulations and contractual agreements.

**Roles & Responsibility:**

IT Head and Function teams are responsible for implementing documented change control procedures.

|  |  |
| --- | --- |
| Role | Responsibility |
| Change Advisory Board | Responsible for reviewing, assessing impact and approving changes. |
| Change Manager | Responsible for the management of Changes affecting Services. |
| Change Requestor | Responsible for raising/ submitting the RFC, building, and implementing the authorized change. |
| Technical Service manager | Responsible for the delivery of the service to the Business and approving the RFC. |
| ITS Services Manager | Responsible for advising and guiding the Change Requestor on the most appropriate communications strategy to be used for communicating the proposed changes and its impact. |

**Annexure 1:** Change Request (CR)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Requester Name |  | |  |  | |
| Requester Department |  | |  |  | |
| Request Date |  | |  |  | |
| Department Head Approval  (Name and Sign) |  | |  |  | |
| Reason for Change |  | |  |  | |
| Equipment/Server/Department affected |  | |  |  | |
| Any down time required |  | |  |  | |
| Implementation Plan |  | |  |  | |
| Business Impact |  | High | Medium | Low |  |
|  |  |  |
| Test or Analysis done |  | |  |  | |
| Implementation Date and Time |  | |  |  | |
| Roll Back Plan |  | |  |  | |
| Implementers Name (Name and Sign) |  | |  |  | |
| Verifiers Name (Name and Sign) |  | |  |  | |
| Change Control Board (CCB) approval (Name and Sign) |  | | | | |
| Email sends to CCB for Change Request (CR) status |  | | | | |

**Reporting and Review**

The success of changes should be reviewed at an appropriate time after their implementation to judge their success or otherwise.

The success of the change should be reviewed regarding whether:

1. the change met the required objectives, standards, and functionality
2. users and customers are happy with the results
3. the change was implemented as per the planned resources, agreed schedules and anticipated costs
4. there are related incidents or problems since the change was implemented
5. there were unexpected side effects
6. There are opportunities to improve the next similar change

The Change Manager may obtain feedback from the originator of the change request which should then be considered as part of the review.

**Integration of Change, Release and Configuration Management**

The processes of change, configuration and release and deployment management should be integrated via the use of a single software tool (Excel or any other document) to be used for the raising and processing of change requests as well as the holding of configuration management information.

**Enforcement**

Violations of this policy should be dealt with in accordance with the company’s disciplinary policy and when applicable authorities should be notified, and legal action may be taken.