

# EMAKHAZENI LOCAL MUNICIPALITY



# ICT CHANGE MANAGEMENT AND CONTROL POLICY

**Approval**

<b>DOCUMENT:</b>	<b>Management of ICT Personnel</b>		
<b>Copy Number:</b>	<b>Master Copy</b>		
<b>Compiled by:</b>	Niall Carroll	<b>Reviewed by:</b>	
<b>Compilation Date:</b>	May 2015	<b>Review Date:</b>	
<b>Version:</b>	V 1.0	<b>Revision:</b>	
<b>Distribution:</b>	All	<b>Classification:</b>	
<b>Document Release Approval</b>		<b>Document Acceptance</b>	
<b>Releasing Authority:</b> Deputy Manager: ICT Corporate Services	ICT	<b>Acceptance Authority:</b>	Council
<b>Date Released:</b>		<b>Date Accepted:</b>	
	<b>Signature:</b>		<b>Signature:</b>

**DOCUMENT CONTROL**

**0.1 Revision Record**

Revision	Date	Change Record	Changed By

**0.2 Issue Control**

This policy is issued by the Corporate Services Department on behalf of Emakhazeni Local Municipality, to whom any change requests or queries should be directed. The review life for this document is 12 months.

**0.3 Distribution**

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## Contents

<b>DOCUMENT CONTROL</b> .....	<b>3</b>
0.1 Revision Record.....	3
0.2 Issue Control.....	3
0.3 Distribution .....	3
<b>11.1. DIRECTIVES</b> .....	<b>10</b>
<b>11.2. DEPENDENCIES</b> .....	<b>11</b>
12.1. Change analysis.....	12
12.2. Change initiation .....	12
12.3. Change Classification.....	12
12.4. Planned Major Changes.....	13
12.6. Emergencies and unplanned outages changes .....	13
<b>13. CHANGE PRIORITISATION</b> .....	<b>14</b>
13.1. Priority.....	14
13.2. Impact .....	14
14.1. CHANGE APPROVAL.....	16
15.2. Change Freeze period.....	17
15.3. NON-COMPLIANCE .....	18

## 1. GLOSSARY

“**ELM**” refers to Emakhazeni Local Municipality.

“**ELM ICT SERVICES**” refers to Emakhazeni Local Municipality Information  
Communication Technology Services Department and its staff members.

“**IT**” refers to ICT.

“**CoBit**” refers to Control Objectives for information and related Technology

“**ICT**” refers to Information and Communication Technology

“**ITIL**” refers to ICT Infrastructure Library

“**SIP**” refers to Service Improvement plan

“**CRF**” refers to Change Request Forms.

“**email**” refers to electronic mail.

“**CFO**” refers to Chief Financial Officer.

“**ED**” refers to Executive Director.

“**HOD**” refers to Head of Department or Head of Division whichever is  
applicable.

## 2. PREAMBLE

The ELM ICT Services has developed the ELM ICT Change Management and Control Policy that shall apply to all Emakhazeni Local Municipality officials, its contractors, service providers, interns, students, councillors, other authorised 3rd party entities and every individual and/or organisation and/or entity that will need the Municipality's IT Infrastructure in order to perform their respective duties at ELM. The purpose of this policy is to control changes to the ICT resources and to safeguard and control changes to ELM ICT Infrastructure.

This policy serves to guide all who are responsible for effecting changes to ICT Infrastructure for purposes of investigation, analyzing, assessing, testing and implementing changes. This policy seeks to minimize disruption to ICT services at Emakhazeni Local Municipality.

### **3. USER AWARENESS**

Every councillor, employee, contractor and authorised 3rd party entity should become

familiar with this Policy's provisions and the importance of adhering to it when effecting changes to ELM ICT Infrastructure.

Popularisation of this policy will be conducted through presentations to all ICT Services users.

All ICT Services users shall attend presentations of this policy and sign on the attendance register as acknowledgement of knowledge of the contents of this policy and repercussions of its transgression.

This policy will be send using email to all users of ICT services and it is expected of all users to familiarise themselves with the contents and provisions of this policy. Council and ICT Services assumes that by requesting for changes to be effected and signing the change control form you have read this policy and understands it.

### **4. PURPOSE**

The primary purpose of this policy is to put in place controls and processes that ensure adherence to this policy when carrying our Council duties, by following a set of guidelines when effecting changes to ELM ICT Infrastructure.

## 5. DOCUMENTS THAT SHOULD BE READ WITH THIS POLICY

- a) ICT Standard Operating Procedure.
- b) Security Policy
- c) ICT Equipment and Allocation Policy
- d) Network access policy
- e) ELM Asset Management Policy

### 5.1. SCOPE

The scope of this policy covers any ICT related equipment or asset and includes and not limited to software (Financials, GIS, OS, Utility, drivers, patches, updates, upgrades, service packs), hardware (servers, printers, desktops, laptops, scanners, 3Gs etc), applications (office, adobe etc), documents, plans and procedures relevant to the running, support and maintenance of ICT Systems and Services.

### 5.2. *The following is an incomplete list of common reasons why change is needed:*

- 1. User requests
- 2. Vendor recommended / required changes
- 3. Changes in applicable laws
- 4. Hardware and/or software upgrades
- 5. Acquisition/implementation of new hardware or software
- 6. Hardware or software failures
- 7. Changes or modifications to the infrastructure
- 8. Environmental changes (electrical, air conditioning, data center remodels, etc)
- 9. Change in Technology
- 10. Unforeseen events
- 11. Periodic Maintenance
- 12. Application modifications and enhancements
- 13. Patch deployment
- 14. Unauthorised Software identified by Track-IT to be uninstalled from workstations.

## **6. SCOPE OF APPLICATION**

This policy shall apply to all employees of Emakhazeni Local Municipality, and any other person or system granted permission to use ICT Infrastructure of Emakhazeni Local Municipality.

## **7. ROLES AND RESPONSIBILITIES**

All ELM ICT Services Team members are responsible to make sure that they are keeping changes in compliance with the Municipality's ICT Change Management policy. It is the responsibility of every user of ICT Infrastructure to ensure adherence to this Change Management Policy.

ELM ICT Services is responsible for informing users of prospective changes that affects them through email and through their ED and/or HOD whichever is applicable or both.

## **8. POLICY OBJECTIVES**

The following are the key objectives of this policy:

To ensure that the ICT change management procedure is adhered to.

To standardize ICT change management processes throughout the Municipality. To ensure that all possible risks are considered when approving ICT changes. To ensure that all changes are documented and protected throughout the Municipality ICT infrastructure.

To enable effective governance over the ICT change management process. To enable ELM ICT Services to develop change management procedure manuals.

To enable ELM ICT Services to enforce the change management policy.



## 9. LEGAL FRAMEWORK

Any employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

Employees who violate this policy will be disciplined in terms of measures contained in or published in one or more of the following acts, regulations and policy prescripts (this list is by no means exhaustive):

- a) The Constitution of the Republic of South Africa The State ICT Act
- b) SITA Amendment Act
- c) Promotion of Access to Information Act
- d) Municipal Service Act
- e) Municipal Finance Management Act
- f) National Archives Act
- g) Protection of Government Information Act
- h) Telecommunication Act
- i) Telecommunications Amendment Act
- j) Electronic Communication and Transaction Act

Various other statutes

- i. Protection of Personal Information Act
- ii. Any other applicable legislation, regulation or policy of ELM.

## 10. CHANGE GOVERNANCE

All major ICT projects and/or changes not all changes, should be governed through a team of decision makers with clear roles and authority. Each major ICT project and/or change shall have a different group of people who shall govern it.

This governance structure shall make decisions on behalf of the ICT Operational Committee and guide project and/or change deliverable and outcomes. They shall manage amongst others time, budget, resources, and demand, users, suppliers, risks and business objectives.

No ICT project and/or change team may be convened without a

representation of the users of the change and/or project and ICT Services representative.

There shall be single set of terms of reference that shall be a framework for all ICT projects and/or changes called **ICT Change/Project Steering Committee**.

## **11. DIRECTIVES AND DEPENDENCIES**

All ICT Changes must adhere to this ELM ICT Services Change Management Policy. Product, services and infrastructure changes must have a clearly defined and must have documented scope, with desired outcome and back-out plan.

In order to avoid surprises and unauthorised changes, the Director: ICT Services has to sign for every change on the ICT Infrastructure and co-sign with the CFO for all changes on the financial system.

### **11.1. DIRECTIVES**

All changes will be recorded by ELM ICT Services. Everybody who initiates changes to ICT Infrastructure shall follow the directives of this policy to effect such changes. Such changes shall be recorded, controlled and implemented within the documented ICT change management process. There will be no exception to this directive, unless duly authorised, complete and comprehensive records form the basis of the strategic decisions. Under no circumstances shall any changes be effected without proper records duly signed.

In the event of a major emergency ICT back end changes shall be classified and managed according to the change management procedure. For as long as such changes will not have effects on how end users discharge their work.

The policy shall be brought to the attention of all new and existing staff and other relevant stakeholders through presentations at workshops and/or email. All those who attend the presentations and workshops for this policy shall confirm their attendance on the provided attendance register. Signing the attendance register confirms understanding the contents of this policy and acknowledging this policy.

All members of ELM ICT Services shall read and ensure they understand this policy.

## **11.2. DEPENDENCIES**

**For the successful implementation of this policy the following is required:**

1. Political commitment
2. Senior Management commitment
3. Commitment and acceptance to change by all staff members
4. Adherence to change management process and procedure competence, awareness and training of all users
5. Training of ELM ICT Services Team

6. Adherence by ELM ICT Services Team

## **12. CHANGE MANAGEMENT**

The role of change management process is to ensure that new services and ICT Services changes to render services are assessed, approved, implemented and reviewed in a controlled manner with minimum risk to the business of ELM.

### **12.1. Change analysis**

Change records must be analyzed regularly to detect increasing levels of changes, frequently recurring types, emerging trends and other relevant information.

The result and conclusions from ICT change analysis shall be recorded.

Action for improvement identified from change management shall be recorded and input

into a Service Improvement Plan (SIP) for improving the service.

All changes to ICT Service and/or System shall be recorded to Track IT or applicable Help Desk system.

### **12.2. Change initiation**

All operational IT changes need to be submitted to the IT Manager. All change requestors must complete the CRF and mandatory fields must be completed or the CRF will not be considered for approval.

### **12.3. Change Classification**

All changes need to be classified according to how much impact they will have on the business and service provision.

Below, are some clear definitions of types of changes. These changes will all have different priorities based on assessed urgency and impact levels depicted further below.

#### **12.4. Planned Major Changes**

1. Changes that result in business interruption during regular business hours.
2. Changes that result in business or operational practice change.
3. Changes in any system that affect disaster recovery or business continuity Introduction or discontinuance of a new or existing ICT service.

#### **12.5. Maintenance and Minor Updates**

1. Operating system patches (critical, hot fixes, and service packs). Regularly scheduled maintenance.
2. Application-based security or business needs patches.
3. A change that is not likely to cause a service outage.
4. A change that affects only a single user will be “verbal approval from IT Manager”.

#### **12.6. Emergencies and unplanned outages changes**

1. Building is completely without IT services.
2. A severe degradation of service needing immediate action.
3. System/application/component failure causing a negative impact on Municipal operations.
4. A response to a disaster.
5. A response to an emergency business need.
6. A change requested by emergency responder personnel.
7. Emergencies and unplanned outages.

## 13. CHANGE PRIORITISATION

Change prioritization will be based on two things i.e. Potential impact associated with the service and SLA's effected (Impact ) and the speed with which the change needs to be effected (urgency). Change prioritization is the sequence in which changes need to be rolled-out or implemented, based on impact and urgency as defined below. The rationale for this approach is that although the impact associated with a particular change might be high, the urgency to have it might be low, thus enabling IT officials to strategically commit resources and capabilities. Although it is likely that a high impact change will be urgent, this is not always the case.

### **13.1. Priority**

Priority must be associated with the service affected or potentially affected. Changes must be identified to allow correct classification according to potential impact of the service. This quickly and accurately establishes the change's urgency and its impact on the business. It also records the expected timescale for return to normal and if specified the arrangements for the invocation of business continuity planning.

### **13.2. Impact**

This signifies business impact and criticality. The impact of a change must be determined by the effect it has on the business and the customer. Factors that must be considered are: The number of customers/users affected or could potentially be affected, the extent to which business degradation results and the stage in the business cycle when the change is implemented.

1. **Severe** - Any change where the impact could lead to a loss of service or could potentially pose a threat to the integrity of the whole of the Municipality.
2. **Major** - A change where the potential impact to service could lead to a loss of more than 50% of total capacity or loss of more than 50% of set targets (origins/destinations) not reachable.
3. **Significant** - A change where the potential impact to service could lead to a loss less than 50% of total capacity or a loss of all redundancy (exposure to complete service outage) or a loss of a set target (origin/destination not reachable)
4. **Minor** - A change where the potential impact could degrade the quality of service or affect a small number of users e.g. a change to a printer used by the user in the department (risk is less)
5. **Inconsequential** - Any change that doesn't have any potential to impact directly on service delivery in respect of existing services to existing customers such as: request for a new service, amendment of supporting documentation or a change with a set release mechanism (standard change )

### 13.3. Urgency

1. **Critical** - Immediate action required. Changes, if not implemented immediately will leave the department open to huge risk (financial and/or other). All severe impact changes will have a critical urgency but not all critical urgency changes would have a severe impact.
2. **High** - A change that must be implemented, but doesn't have a severe impact.
3. **Medium** - A change that must be implemented as soon as possible, associated with partial denial of service with an impact on a large number of customers.
4. **Low** - A change that must be implemented as soon as possible, associated with partial denial of service on a limited number of customer or degradation in the quality of service.

5. **Schedule** - A change that is not required to be implemented as classified above or a request for a new service.

## **14. ROLL BACK PLANNING**

The ICT change management process should include the manner in which the change is to be reversed or remedied if unsuccessful. Store points are critical. All changes must be approved and implemented in a controlled manner and according to the documented process.

All changes shall be reviewed for success and any actions taken after implementation.

A forward schedule of changes that contain details of all the changes approved for the implementation and their proposed implementation dates shall be maintained and communicated to relevant parties.

### **14.1. CHANGE APPROVAL**

All changes shall be approved by the Director/Assistant Director: ICT Service. The Director/Assistant Director: ICT Service shall at all material times advise the Council on all the technical changes through written email or any other form of communication. Others may need to be consulted. CRF must be completed and signed by all parties involved.

All Financial system changes should be approved by the CFO and the Director: ICT Services should be informed of such changes and record them accordingly.



## **15. CHANGE AUTHORISATION**

### **15.1. Change prioritisation**

All changes must be reviewed after implementation and the results of this review must be documented. This review must cover the following:

Whether the change met its objectives, if not the reasons must be documented and improved actions identified.

Whether the change has an impact on the customer's business operations. Whether the implementation went as planned and if not, whether the back out plan worked.

### **15.2. Change Freeze period**

Change freeze periods are imposed in order to protect the Municipality ICT infrastructure, applications and/or other business operations from any change that may undermine its stability and operations. The change freeze periods depends largely on what information you have from the business, ideally ELM ICT Services should have a calendar of business events well ahead of schedule where you could identify times and dates when change freeze is required, this way everyone knows well in advance that they will not be able to make changes at that time and can therefore plan around them.

Annually a change freeze will be observed when going through the financial year end process, in which the entire Municipality is affected. This period shall be negotiated with the CFO of the Municipality and any changes during this period can only be approved by the CFO.

The agreed timeline shall be communicated to all, three months before time to allow adequate planning and pre-freeze implementation.

**15.3. NON-COMPLIANCE**

Where non-compliance by officials is found, necessary disciplinary steps will be taken to remedy the situation. The remedy may include actions per the Municipality' disciplinary code of conduct and could lead to dismissal.

**16. POLICY REVIEW**

The policy shall be reviewed as and when necessary.