Change Management Policy and Procedure

Contents

1. Introduction

The purpose of this policy is to document the way that we manage changes that occur to information technology in a way that minimises risk and impact to QRS (The Company). It will also define a Change as understood by The Company and to describe the accepted Interim Change Management procedure.

2. Definition of a change

For the purposes of this document a change will be defined as anything that transforms, alters, or modifies the operating environment or standard operating procedures of any system or service that has the potential to affect the stability and reliability of the infrastructure or disrupt the business of The Company.
Changes may be required for many reasons, including, but not limited to:

- User requests
- Vendor recommended/required changes
- Changes in regulations
- Hardware and/or software upgrades
- Hardware or software failures
- Changes or modifications to the infrastructure
- Environmental changes (electrical, air conditioning, data centre, etc)
- Unforeseen events
- Periodic Maintenance

3. Policy

It is the responsibility of the Change Manager (currently the IT Director) to manage the life cycle of all the systems supporting The Company's business and technical objectives. As such, all the processes and procedures relating to change control and management are set out in this document. There are two categories of changes that are permitted. They can either be Pre-approved or CAB-approved and of these categories, there are four types: Minor/Routine, Major/Significant, Emergency/Unscheduled and New Development.
NO CAB-approved change should be implemented without:

- A request for change (RFC) being raised to the Change Manager/IT Director.
- Approval by the Change Manager/IT Director (or Board if more appropriate and a significant investment).
- An approved, documented plan of the sequence or steps for implementing and releasing the change into the live environment.
- Evidence demonstrating the fact that this change has been tested in a pre-live/staging environment first.
- A rollback/mitigation plan in case of failure.
- A post-change test being documented to check that the change has been successfully applied.

4. Incidents

Some incidents may or may not be related to a change, but where a change has caused an incident then it will be possible to trace this back to the person responsible for making that change. The Change Manager will facilitate a review meeting and a report will be generated and fed back to the Change Manager/Board.

5. Scope

The scope of the Interim Change Management Policy and the procedures contained within it are applicable to all members of The Company and its authorised colleagues and are related to the management of changes to all Company managed live IT systems or services.

6. Risk

By proactively planning and managing changes for the benefit of users, we should be able to deliver a better and more reliable experience to our customers; this should be done in line with the Company's business needs. If not properly controlled, changes could be made which will have a negative impact on the Company and could prevent people from fulfilling their roles. Changes could also be made by individuals who are not fully aware of the impact on other areas of the Company. All changes should undergo a risk assessment to determine the probability of it occurring and the impact it would have on The Company (refer to risk management policy statement).

7. Roles and Responsibilities

The Change Manager ensures that changes follow the Change Management Procedure and will review the policy to ensure that it is up to date and relevant.
Everyone in a senior role has a potential role and corresponding responsibility with regards to Change Management.
End-Users/Functional Teams:

1. Submitting enhancement requests through the appropriate systems.
2. Participating in testing, pre-deployment testing and post deployment testing.
3. Timely sign off for the change.
4. Verifying that change requests are valid.

Company Staff as End-Users, Functional Users or Functional User Management:
Responsibility for following the policy.

Company Staff Technical Role:
Responsibility to follow prescribed change management processes and procedures.

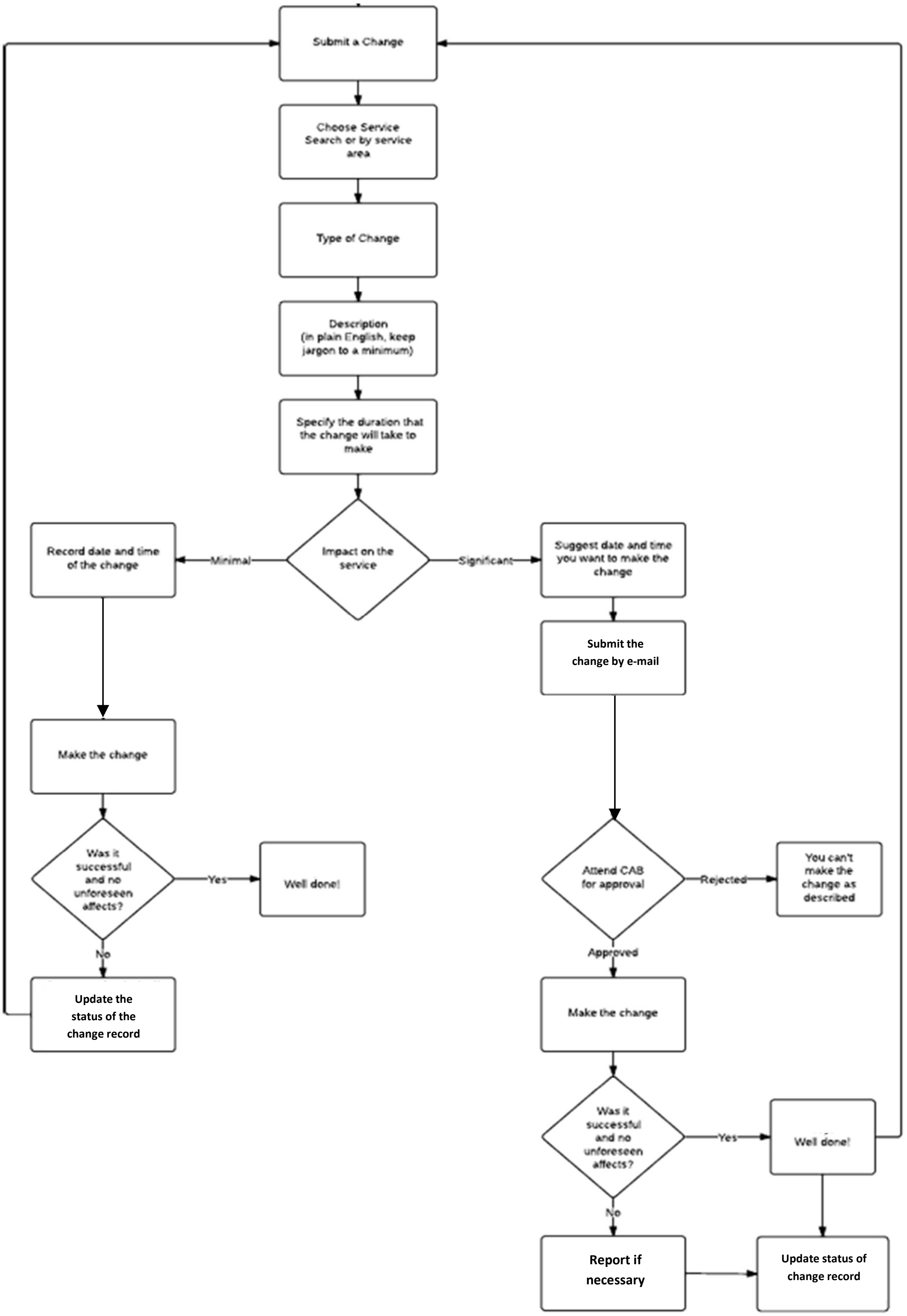
Change Manager/IT Director:
Overall responsibility for the change management policy and processes contained within it and to ensure that all staff follow it.

8. Type of Changes

This section defines the different type of changes. Rather than use the confusing ITIL classification of change, QRS will adopt more meaningful titles to the various types of changes:

- Minor/Routine Change: These are changes that may be done at any time as these have been categorised as low risk to the Company and the procedures are known and well documented. Examples of this type of are:
  - ➢ Application-based security or business needs patches
  - ➢ Regularly scheduled maintenance
  - ➢ Operating system patches (critical, hot-fixes, and service packs) *
- Major/Significant Change: These are classified as needing approval changes and these must be planned in advance and submitted for approval from the IT Director. The change request should also suggest a time for this change to take place via the change form before being carried out. The Board will have ultimate say if the change goes ahead at the suggested time or not. Detailed in the change request should be the documentation about what work is going to happen and the perceived benefit and impact to the users. These types of changes should always have a back out plan or mitigating action plan attached. Examples of this type of change are:
  - ➢ Change that results in an interruption to a service, or has a significant risk of an interruption to service
  - ➢ Change that results in a business or operational practice change
  - ➢ Changes in any system that affect disaster recovery or business continuity
  - ➢ Introduction or discontinuance of a service
  - ➢ Operating system patches (critical, hot-fixes, and service packs) *
- Emergency/Unscheduled Change: Unscheduled outages (server crashes, etc.) may require immediate attention whenever they happen. This should be documented but this could be done retrospectively. Please see the sections on Emergency Change Advisory Board and Emergency/Unscheduled Changes for more information. Examples of this type of are:
  - ➢ Department or Building is without service
  - ➢ A severe degradation of service requiring immediate action
  - ➢ A system/application/component failure causing a negative impact on business operations
  - ➢ A response to a natural disaster
  - ➢ A response to an emergency business need
- New Development: This type of change is specifically for the deployment of new features/functionality, services or applications and is not a fix to a problem.

* This appears in both categories as the impact can vary depending on the content of the patch. The IT Director will be able to provide guidance on which category a particular patch fits into and whether it needs approval before applying.


Submit a Change
Choose Service
Search or by service area
Type of Change
Description
(in plain English, keep jargon to a minimum)
Specify the duration that the change will take to make
Impact on the service
Minimal
Significant
Record date and time of the change
Suggest date and time you want to make the change
Submit the change by e-mail
Make the change
Was it successful and no unforeseen affects?
Yes
Well done!
No
Update the status of the change record
Attend CAB for approval
Rejected
You can't make the change as described
Approved
Make the change
Was it successful and no unforeseen affects?
Yes
Well done!
No
Report if necessary
Update status of change record

9. Submitting a Change

1. Notification should be conducted by email to Change Manager/IT Director.
2. Include detail about the service you are making the change on. If your change affects multiple services then list all services.
3. Include the type of change, there are four key descriptions to choose:
   - Routine – Select this if your change is well known and documented.
   - Fixing a minor fault - Select this if your change is a minor fix i.e. Spelling error
   - New Development – Select this if your changes adds new functionality or features
   - Fixing an urgent / severe problem – Select this if your change is to fix an immediate problem i.e. stopped server.
4. State a brief description of the change, avoid technical jargon and try to keep it plain and easy to understand.
5. Specify how long the change will take to be made.
6. Include the level of risk. There are two options:
   - Minimal - Changes that may be done at any time as they have little or no risk of going wrong and the procedures are well known and documented
   - Significant - Changes that must be planned in advance and need approval. There could be a significant risk to the service.
7. Note the date and time that the change will be made.
8. If your change was classified as ‘Minimal’ then you can carry out the change when you specified, if however, the change was classified, as ‘Significant’ then it will need to be reviewed first.
9. If for some reason you need to cancel or reschedule a change or if it does not complete, then you will need to notify the Change Manager and inform them using the following status classifications:
   - Uncompleted
   - Successful
   - Failed
   - Partial
   - Cancelled

You should still inform the users of the change taking place and the affects it will have.

10. Change Procedure

All change requests need to be documented and logged. Verbal requests and authorisations are not acceptable.
If your change is urgent, then please see the section on Emergency/Unscheduled Changes.

11. Emergency/Unscheduled Change

In some instances, events are critical enough that they must be rushed though, thereby creating an Emergency/Unscheduled Change. Each situation is different and as much consideration as possible should be given to the possible consequences of attempting this type of change. It is still necessary to obtain sufficient approval for the change, but this may be in the form of discussing the matter with a senior member of staff (AD or above) and logging who it was discussed with and how it was approved.

12. Change Freeze Periods

At certain critical times of the year, it will be necessary to impose a non-essential change freeze period. Currently these are towards the middle of the third month of each quarter due to current contractual commitments, but it may also be necessary at other times. If in doubt, contact the change manager/IT Director.

13. Cancelling a change

If for any reason you have to cancel or postpone an approved change, then please do this via email to the Change Manager/IT Director. If you need to perform the change again, then please make a new request.

14. Post Change Checks

After any change has been implemented, the person who is responsible for implementing the change should perform a check to see if it has been successfully applied.

Last updated: 30 September 2019

This Policy is the responsibility of the Board of Director's, supervision of the Policy will be undertaken by the Board.