

6.1 Change Management

Process Purpose / Objective

The purpose of the Change Management process is to control the lifecycle of all changes, enabling beneficial changes to be made with minimum disruption to IT services.

The objectives of the Change Management process are to:

- Respond to the customer's changing business requirements while maximizing value and reducing incidents, disruption and re-work
- Respond to the business and IT Requests for Change that will align the services with the business needs
- Ensure that changes are recorded and evaluated, and that authorized changes are prioritized, planned, tested, implemented, documented and reviewed in a controlled manner
- Ensure that changes to configuration items are recorded in the Configuration Management System
- Optimize overall business risk
 - It is often correct to minimize business risk , but sometimes it is appropriate to knowingly accept a risk because of the potential benefit
- Changes should be managed to:
 - Optimize risk exposure (supporting the risk profile required by the business)
 - Minimize the severity of any impact and disruption
 - Achieve success at the first attempt
 - Ensure that all stakeholders receive appropriate and timely communication about change so that they are aware and ready to adopt and support the change

6.1.1 Assessment Score

- Maturity Score – 0.95 (Non Existent / Initial)
- Importance – 3.37

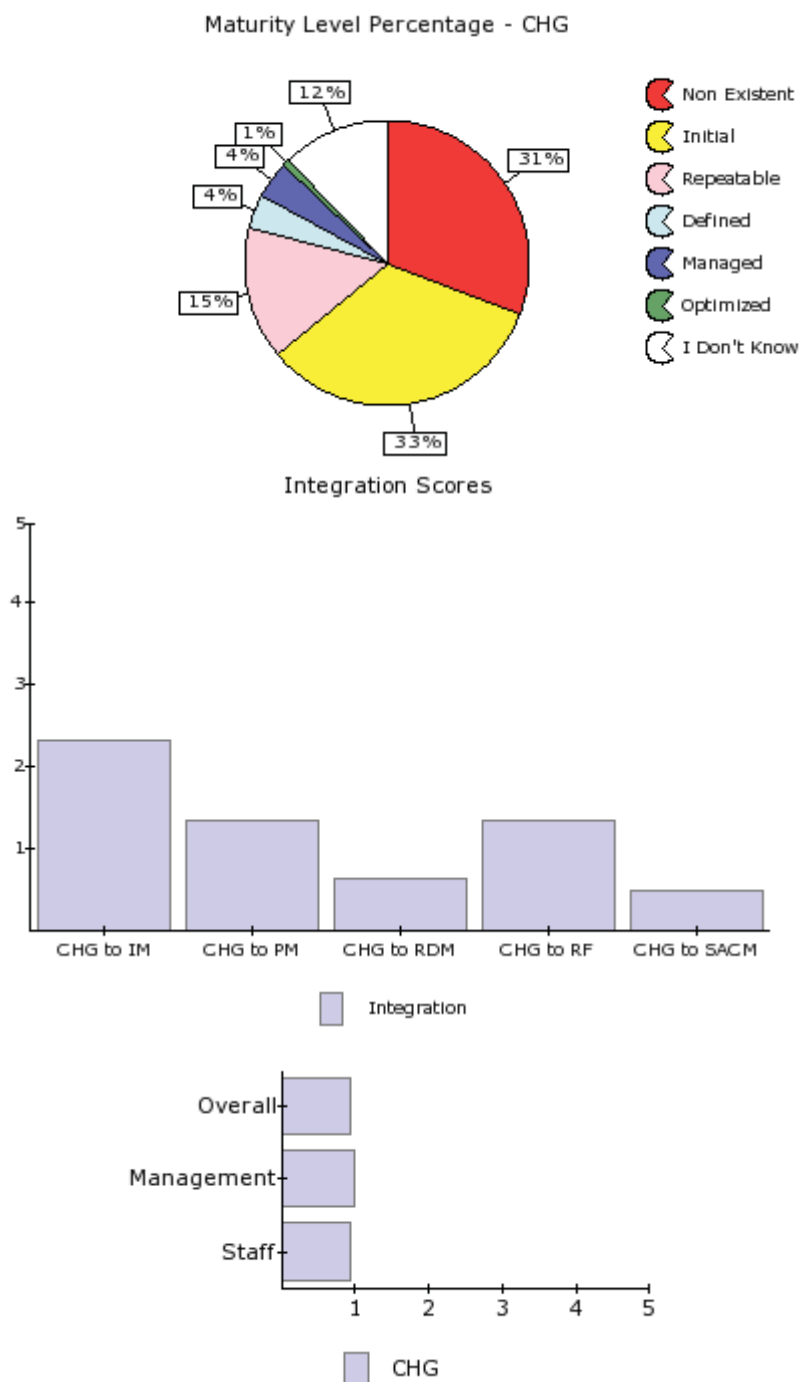


Figure 4 – Change Management Scores

6.1.2 Observations and Conclusions

- Change Management as a formal, documented process spanning all of UA OIT does not exist. Activities and procedures associated with Change Management such as Change Request submission and impact assessment are completed in an ad hoc manner
- Management of changes is based on individual and group experience and knowledge and common practices related to the technical domain in question
- Meetings are held to discuss the merits and risks of specific changes and approvals given based on experience and knowledge of the stakeholders involved in the change
- There is no common definition for what constitutes a “change”. Each department has their own definition and their own way to track changes
- There are no formal standards for acceptance criteria to guide decisions to approve or deny Change Requests
- There is no clear distinction between activities and procedures that comprise Change Management and those that are part of the Release & Deployment Management process. Much of the Change Management discussion covered Release & Deployment Management activities
- Knowledge of a pending change is not consistently communicated to all stakeholders prior to sign off. This creates challenges and inefficiencies in coordinating and scheduling the changes and required resources needed to execute them
- There is no agreed and documented change authorization model that defines the level of authorization required for each change category
- A Change Advisory Board (CAB) concept exists in some areas, but may not include the right stakeholders
- The management of changes is limited to individual change control functions. It does not include management reports about efficiency and effectiveness of the Change Management process nor does it enable identification of improvement opportunities
- Roles and responsibilities are not clearly defined or assigned across OIT. Roles associated with Change Management activities are technology based and not process based; for example the role of Change Owner, Change Manager or Change Coordinator are not formally defined or documented
- Reviews of changes may be carried out in response to specific issues associated with the change within technology groups but is not part of a formal, planned procedure
- Standard Changes, those intended to be pre-authorized by the Change Management process, are identified in some areas, but are not used to provide efficiencies across OIT

- Changes are categorized based on risk, as defined by the number of users that may be affected. This criteria is based on subject matter expertise among the staff in each of the technical domains but is not formally documented as part of the overall Change Management policies
- The Change Schedule is subject to change by implementers who decide on their own to do the change at a different time than was authorized
- HP Service Manager is used to support the documentation of changes. Other tools exist that serve to document specific changes to varying degrees but this is associated with activities more accurately defined as part of the Release & Deployment Management process
- There is a work initiation process which is separate from the Change Management process. When a change is ready to go into the live environment the change information is entered into the Change Management tool
- The process primarily supports change control or notification activities ensuring changes are raised, recorded, reviewed, authorized and implemented consistently; however, just prior to implementation
- There is a lack of formal end-to-end validation and testing of a change to prevent a subsequent failure
- Changes are categorized based on the technology and change approvers are assigned based on the technology domain
- There is reliance on the knowledge of team members to provide system and service impact analysis
- Change-related incidents are not tracked
- Changes are not formally reviewed after they are complete. There are no formal procedures for conducting comprehensive Post Implementation Reviews (PIRs)

6.1.3 Recommendations

- Assign a global Change Manager (Process Owner, promoter, advocate and ultimate Change authority) accountable for the end-to-end Change Management process across all in-scope departments
- Provide support for the global Change Manager role by assigning process representatives (Change Coordinators) from each functional group or department
- Reconsider the overall scope of the Change Management process within the organization so that the approvals at the senior management levels are effectively communicated in a timely manner to the IT groups that will ultimately be responsible for execution of changes and project deliverables
- Determine change success criteria that include business benefits, rather than just focusing on the technical aspects of a change
- Define and document Change Management policies that provide consistent standards to address the need for adequate risk assessment details, including resource requirements and the impact on the technology, the business customer and IT resources
- Policies should also address testing requirements, success criteria and Post Implementation Review procedures
- Establish change categories, for the purposes of change authorization, which allow for thorough risk assessment, approval and scheduling of all changes. By doing so, all changes that impact services can be managed within the scope of Change Management in an efficient, cost-effective manner:
 - Pre-approval of routine, low-risk changes, requiring individual unit manager approval
 - Changes that require broader management level approvals by groups of managers
 - Changes that are deliverables of project initiatives
- Identify an Authority Matrix that defines the roles and responsibilities within the Change Management process not only to execute change approvals but to manage all changes from submission to closure following a Post Implementation Review
- Create and define roles for a Change Advisory Board and Change Manager roles for staff or managers granted authority to individually approve minor changes
- Establish a Forward Schedule of Change that includes all changes within the scope of the process. This schedule should be accessible to all stakeholders on a read-only basis

- In the long term, define a full service lifecycle Change Management process which encompasses both a conceptual approval to do a change as well as the later lifecycle approval to promote the change to production
- Provide oversight and authorization for the work performed in each of the Release and Deployment Management process activities
- Define and document the scope of Change Management required to coordinate all changes, including communications between change builders and implementers to ensure successful changes by change category
- Define, document, communicate and enforce clear standardized requirements for deployment and implementation timelines to enforce compliance to agreed change windows. Communicate these standards and procedures for reporting instances when agreed change windows are not used or are exceeded
- Integrate Change Management with the following processes:
 - Incident Management – ensures changes are not having a negative impact on the stability of the production environment
 - Project Management – ensures high visibility and business impacting changes are managed for impact/risk and authorized
 - Request Fulfillment (when it is developed) – to ensure Standard Changes, once approved, can be handled easily
 - Problem Management (when it is developed) – to ensure changes are submitted to resolve Known Errors and performs trending on change-related incidents
- Establish a cross-functional team to help identify UA-wide requirements for the Change Management toolset to:
 - Support wide acceptance and proper use of the tool
 - Capture change information, including specific change types/categories that contain fields for technology-specific data which can provide additional detail for true impact assessment
 - Identify relevant documentation requirements based on change type/category
 - Automate change authorization workflow based on change type/category
- Define cross-organizational roles and responsibilities based on the Change Management process activities. Develop a RACI (Responsible, Accountable, Consulted, Informed) Authority Matrix to:
 - Formally identify and communicate the role of the Change Management Process Owner

- Clarify the process roles and responsibilities
 - Ensure that all roles are aligned to functional job descriptions and cross-functional organizational structures
- Post and communicate information and minutes from all CAB meetings so that communication is cascaded to all change stakeholders. This communication can serve as a channel for informal education and awareness of the process
- Improve reporting for Change Management to measure efficiency and effectiveness of the process activities. Specifically:
 - High/low risk by change type
 - Successful and unsuccessful changes with business impact and risk justification
- Define initial Critical Success Factors (CSFs) for Change Management that might include:
 - Efficient and prompt handling of changes
 - This grounds any assertion that the Change Management process provides value, and justifies the Change Management process
 - Change handling meets standards
 - Timely and successful change implementations without unanticipated change-related incidents are chief measures of customer satisfaction. This assumes that anticipated impacts are agreed across the enterprise
 - ITSM tools support the Change Management process
 - Once the process has been established, the enabling tools assist, and do not hinder the achievement of process outcomes
 - Management commitment to Change Management
 - Leadership plays a key role in setting the attitudes, behaviors and culture to achieve desired outcomes
- Define initial Key Performance Indicators (KPIs) for Change Management that might include:
 - Reduced percentage of changes classified as Emergency, Urgent or Critical
 - Reduced percentage of unauthorized changes
 - Reduced percentage of change-related incidents
 - Change Management review meetings are regularly held and well attended



- Regular reviews of the Change Management process and procedures for no-value-add activities