University of Waikato Change Management Process

1. ## Overview

Information Technology Services and the Faculty and Division ICT staff have adopted the Information Technology Infrastructure Library (ITIL) systems management framework as its model for best practice. One of the key ITIL processes is Change Management.

The ITIL definition of Change Management is:

The goal of the Change Management process is to ensure that standardized methods and procedures are used for efficient and prompt handling of all changes, in order to minimize the impact of change-related incidents upon service quality, and consequently improve the day-to-day operations of the organization.

A change management process has been developed and is being improved as the process moves to the new ITIL call management system, LANDesk. A Change Advisory Board (CAB) has been established and is made up of a group of senior ICT staff and key corporate data owners.

2. ## Responsibilities

a. ### Change management roles
Global Change Manager – Convenes and chairs the CAB meetings.
Local Change Managers – Oversees changes for their areas of responsibility.
Change Initiator – Project Manager or Technical Lead managing the change.
Change Implementer(s) – Technical staff implementing the change.

b. ### Summary of Change Manager responsibilities

i. Global Change Manager
- Decides who is invited to CAB meetings (ad-hoc members)
- Convenes and chairs CAB meetings
- Convenes and chairs CAB/EC meetings
- Manages Urgent RFCs through the life cycle
- Approves and authorizes Urgent RFCs
- Analyses Change records to determine any trends or apparent process problems that occur
- Identifies and documents changes that by-pass the Change Management process and provides information to the Change Process Owner to address compliance requirements
- Management Reporting – KPIs

- Assists in identifying and prioritising process improvements
- Ensures adherence to the process
- Approves or rejects applications for Standard (Pre-Approved) Changes after CAB review
- Conducts Post Implementation Reviews
- Approves acceptable changes endorsed by the CAB for Significant and Major changes
- Initiates and facilitates Senior ICT Management meetings for Major RFC reviews and endorsement

    ii.   Local Change Manager

- Receives, logs and filters submitted RFCs in collaboration with the Change Initiator
- Initial assessment of the RFC and returns incomplete or incorrect RFCs to Change Initiator
- Determines if the RFC is a Standard Change
- Participates in the Post Implementation Review as necessary
- Participates in the CAB meetings as needed
- Participates in the CAB/EC meeting as needed
- Conducts initial Change Management review of all RFC(s)
- Validates initial prioritisation of RFC(s)
- Validates initial Change Category
- Validates initial RFC Urgency of RFCs originating from their respective federation
- Validates initial completeness of RFC of RFCs originating from their respective federation
- Identifies potential Urgent Changes for RFCs originating from their respective federation and advises Change Initiator of Urgent Change process
- Final Approval of acceptable Minor Changes their respective federation
- Initial approval of Significant and Major Changes their respective federation
- Routes Significant and Major Changes to Global Change Manager for CAB review
- Communicates the CAB approval to the Change Initiator and authorises RFC implementation
- Communicates with all necessary parties to coordinate Change build, test and implementation (Manage Implementation)
- Updates the Change log with all progress
- Reviews implemented Changes to ensure they have met their objectives
- Reviews outstanding RFCs awaiting consideration or awaiting action
- Advises Global Change Manager and Change Process Owner of process improvement opportunities

3.   **CAB Meetings**

The CAB meets weekly to identify and reviews proposed changes to the ICT landscape, ensuring alignment with current industry project delivery standards and best-practices.

The CAB fulfils its purpose primarily by executing the following strategies:

- Implement a standard, repeatable, predictable, and transparent change advisory process.
- Remain focused on University-wide business needs considering the impact of the changes on the individual faculties and divisions.
- Act in accordance with the University strategy, policies and legislative requirements:

The CAB meeting is organised by the global change manager who creates the agenda and circulates descriptions of changes to be discussed prior to the meeting.

4.   **Change Types**

It is important to categorise changes, this allows for the appropriate level of resource to be applied to the change

Change Category	Definitions & Examples	Acknowledged By
Change Category	Change category: the measurement of a change's deployment impact on ICT and the University's business. The change complexity and resources required, including people, money, and time, are measured to determine the category. The risk of the deployment, including potential service downtime, is also a factor.	**Acknowledged By**
Standard Changes (MACDs)	Pre-approved Changes to configuration items as listed on the Standard Change List. No impact to users. Standard Changes are raised in LANDesk and tracked through the Incident Management process i.e. are not required to follow the formal Change Management process.	**Proceed directly to implementation**
Service Requests (Work Requests)	Work to be performed that doesn't change the baseline of a configuration item; or Change Management is not concerned with tracking i.e is of a too low level. E.g. password resets, email & file restores, adding users to corporate applications, updating email lists, etc. Again they're raised and tracked via LANDesk.	**Proceed directly to implementation**
Minor	A change affecting small numbers of individuals or Configuration Items within a single faculty or division (e.g. configuration changes to a local server serving local users, changes to User Profiles, etc), or a change with no impact on the end-users e.g. rebooting a corporate server performed during agreed outage windows. Change is to be recorded in the Change Control system with Local Change Manager "peer review".	**Local Change Manager**

Significant	A change where the effect is widespread, but not massive e.g. Corporate server reboot during work hours; Change of server hardware component requiring server to be shutdown; Software version upgrade in a corporate system; Change in system functionality or related process. Change is to be recorded in the Change Control system with CAB "peer review".	**Change Advisory Board**
Major	A change where the impact on the University user community could be massive e.g. project managed changes impacting a large number of end-users; Network-wide or service-wide changes. Change is to be recorded in the Change Control system with CAB "peer review".	**Change Advisory Board**
Local Emergency	A critical incident or security threat affecting a single faculty or division that must be addressed immediately. The Local Change Manager is to be contacted, who will then decide on the validity of the request and authorise the Change to proceed as appropriate. Emergency change requests are not necessarily subject to the Forward Schedule of Change (FSC) or planned outage windows but can take advantage of them if it minimises the impact of the resolution. Change is to be recorded in the Change Control system, preferably before implementation - otherwise immediately afterwards, with Local Change Manager "peer review".	**Local Change Manager or, in absence, delegated to Team Leader**
Wide-spread Emergency	A critical incident or security threat affecting more than a single faculty or division that must be addressed immediately. The Global Change Manager must be contacted, who will then decide on the validity of the request and confer with the affected Local Change Managers to authorise the Change to proceed as appropriate. Emergency change requests are not necessarily subject to the FSC or planned outage windows but can take advantage of them if it minimises the impact of the resolution. Change is to be recorded in the Change Control system, preferably before implementation - otherwise immediately afterwards, with CAB peer review".	**Global Change Manager and Local Change Manager(s) or, in absence, delegated alternates**

5. **Notification**

Depending on the Change Category, changes should be managed as follows:

Notifications			
Change Category	**Advanced Advisory Required**	**Change Request (LANDesk record)**	**Change Prior Notification (Wider Communication)**	**Change Completion Notification & Closure**
Standard & Service Reqs	Not required	LANDesk Incident/Request Process	LANDesk Incident/Request Process	LANDesk Incident/Request Process
Minor	Local Change Manager	LANDesk 'Change' record at least 2 days in advance of the change and Local Change Manager advised.	1 days prior to Service Desk list and CAB members. 1 day prior to the affected users (via local comms process).	Change Outcome recorded in LANDesk immediately post change completion. Closure accepted by Local Change Manager
Significant	Local Change Manager & CAB (via Global Change Manager)	LANDesk 'Change' record at least 2 days in advance of the change, and Local Change Manager and Global Change Manager advised.	2 days prior to USG list and CAB members. At least 1 day prior to the affected users.	Change Outcome recorded in LANDesk immediately post change completion. Closure accepted by CAB (weekly meeting)
Major	CAB Meeting (weekly - 2pm Tuesdays)	LANDesk 'Change' record at least 1 day in advance of CAB meeting and at least 5 days in advance of the change, and Global Change Manager advised.	5 days prior to USG list and CAB members, with reminder 2 days prior. At least 5 days prior to affected users, with reminder 1 day prior.	Change Outcome notified to USG list and recorded in LANDesk immediately post change completion. Closure accepted by CAB (weekly meeting)

Local Emergency	Local Change Manager (verbal), or from a Local Team Leader if Local Change Manager absent.	LANDesk 'Change' record within 1 day of Emergency Change completion, if not able to be done prior to the change.	If possible, prior to any action being taken – notification to local support staff & USG list. Local Change Manager to decide upon communication to users (via local comms process).	Change Outcome recorded in LANDesk immediately post change completion. Closure accepted by Local Change Manager
Wide-spread Emergency	Global Change Manager and Local Change Manager(s) (verbal), or from delegates if Change Managers absent.	LANDesk 'Change' record within 1 day of Emergency Change completion, if not able to be done prior to the change.	If possible, prior to any action being taken – notification to USG list, or at least the Service Desk. Global Change Manager to decide upon communication to users.	Change Outcome recorded in LANDesk and notified to USG list immediately post change completion. Closure accepted by CAB (weekly meeting)

6. **LANDesk Change Management Workflow**

The change management process workflow is based on the LANDesk systems functionality (refer to diagram on the following page):

● The Change Management module is accessible by selecting the "SD Change" module within the LANDesk console (the left-hand lower list of shortcuts).
● You can create, edit and save your Change in 'draft' mode until you happy with it.
● Remember to select the appropriate groups (email lists) under "Dates and Notifications" to receive notification of the change (CAB members receive notification by default for all changes).
● To finalise the Change you must click "Submit" under the Actions menu list to commit the Change.
● Once submitted, in order to notify those you have selected/entered in the Dates and Notifications section you must click "Send Emails" under the Actions menu.
● Once submitted you can still make changes, however to change the scheduled Change date and duration you need to click "Update Start Date and Duration" under the Actions menu. If you make changes and want to re-notify the Change click "Send Emails" under the Actions menu.
● CAB Members have the ability to add feedback to a change by clicking "Add CAB Feedback" under the Actions menu (only visible for CAB members).
● Just like incidents/requests in LANDesk you can add notes and attachments to Changes and reassign Changes by selecting the action on the Action menu.
● Once a Change has been completed - successfully, unsuccessfully, or cancelled - then click "Close" and fill out the required information to close the Change.

LANDesk CAB Process

Assignment

Open

»Add Configuration Item«

»Assignment«

Local Change Mgr Advised

Request more Information

Assignment

Information Requested

Submit   Abort Change

Ok with Request

»Reject«

Standard Change?   Yes

No

»Urgent Change?«   Yes   CAB/E

No

Approved Urgent Change   Proceed Std Change

«Minor?»   No   Major?   No   Significant?   No

Yes   Yes   Yes

Assess Urgent Change   Std Change Type

«Minor Change»   CAB   CAB   «Urgent Change?»   No   Add Task

Yes

Re-Categorise   Schedule   Major Change   Add Task   Assignment

Add Task   Advised   Reject   Significant Change   Assignment   Standard Change

Local Change Mgr   Advised   Reject   Urgent Change

Minor   Advised

Notify

Schedule

Add Task

Assignment

Scheduled

Are all Tasks at End state?

Review Change

Submit

Unsuccessful   Assignment   No   Successful?

Change   Yes

Commit All Configuration Items

Successful

Close

Close   Rollback All Configuration Items