CHANGE MANAGEMENT CHARTER

Client Services
Information Technology Services

Author: Rod Walker
Version: 1.1
## Document Change History

<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Changed By</th>
<th>Modifications</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.1</td>
<td>19/02/2013</td>
<td>Rod Walker</td>
<td>Initial draft</td>
</tr>
<tr>
<td>0.2</td>
<td>01/03/2013</td>
<td>Rod Walker</td>
<td>Updated to include feedback from ADs and manager, ICT Security (including expanding on emergency changes)</td>
</tr>
<tr>
<td>0.3</td>
<td>06/03/13</td>
<td>Wendy Williamson</td>
<td>Applied ‘Flinders format’ to document</td>
</tr>
<tr>
<td>0.4</td>
<td>07/03/13</td>
<td>Rod Walker / Gavan Conroy</td>
<td>Enlarged process flow Chart</td>
</tr>
<tr>
<td>0.5</td>
<td>07/03/2013</td>
<td>Rod Walker</td>
<td>Final Draft updated to include Nicole’s and Lumai’s comments</td>
</tr>
<tr>
<td>0.6</td>
<td>20/03/13</td>
<td>Rod Walker</td>
<td>Minor Modifications to Form</td>
</tr>
<tr>
<td>0.7</td>
<td>26/03/2013</td>
<td>Rod Walker</td>
<td>Minor Modifications to Form</td>
</tr>
<tr>
<td>0.9</td>
<td>21/11/2013</td>
<td>Tony Hookins</td>
<td>Removal of the word “Interim”</td>
</tr>
<tr>
<td>1.0</td>
<td>29/01/2014</td>
<td>Mark Carrocci</td>
<td>Modified and expanded section 8.2</td>
</tr>
<tr>
<td>1.1</td>
<td>18/08/214</td>
<td>Mark Carrocci</td>
<td>Modification to section 4.3, points removed that are now covered. Modifications to section 5.3, 5.6 and 6.2 with comments regarding the implementation methods for large scale changes and the use of a run sheet. Comments also about the CAB rescinding an approval. Modification made to section 7.3 to add the available forward schedule of changes link.</td>
</tr>
</tbody>
</table>
Acceptance Page

The information provided in this document is accepted as defining the Change Management Charter.

_________________________/ / 2014
Rod Walker
Associate Director, Client Services
ICT Services

_________________________/ / 2014
Nicole Fishers
Associate Director, Application Services

_________________________/ / 2014
Sally Wheldrake
Associate Director, Infrastructure Services

_________________________/ / 2014
Ian Smith
Director, Information Technology Services
# Table of Contents

1. Purpose......................................................................................................................... 5
2. Policy Statement............................................................................................................... 5
3. ICT Change Management Process.................................................................................. 6
4. Scope / Requirements ..................................................................................................... 6
   4.1 Emergency Changes .................................................................................................. 7
   4.2 Change Freezes .......................................................................................................... 7
   4.3 Limitations ................................................................................................................ 7
5. Roles and Responsibilities .............................................................................................. 8
   5.1 Requestor ..................................................................................................................... 8
   5.2 Change Catalogue ...................................................................................................... 8
   5.3 Change Supervisor (CS) ............................................................................................ 8
   5.4 Associate Directors (AD) .......................................................................................... 9
   5.5 Change Administrator (CA) ....................................................................................... 9
   5.6 Change Advisory Board (CAB) .................................................................................. 9
   5.7 Stakeholders / Key Advisors ..................................................................................... 10
6. Decision-Making Process ............................................................................................... 10
   6.1 Non CAB Changes .................................................................................................... 11
      6.1.1 “FYI” CAB notifications .................................................................................... 11
   6.2 CAB Approval ............................................................................................................ 11
      6.2.1 Large Scale Changes and ITS Teams ................................................................. 11
   6.3 Emergency Changes .................................................................................................. 12
7. Communication ............................................................................................................... 13
   7.1 Marval ......................................................................................................................... 13
   7.2 Stakeholder Email / Broadcast Messages ................................................................. 13
   7.3 Forward Schedule of Change Report ....................................................................... 14
   7.4 CAB Report ................................................................................................................ 14
8. Change Notification ....................................................................................................... 14
   8.1 Incident/Change Management .................................................................................. 14
   8.2 Change Outcome ....................................................................................................... 14
Appendix A - ISD Change Management Process ............................................................... 15
Appendix B - Definitions ................................................................................................. 16
1. Purpose

The purpose of this document is to provide direction to ITS staff who make changes to production assets, including hardware and software assets, maintained by Information Technology Services.

This direction is a measure that will enable:

- Associate Directors to assess the quantity and type of ICT change occurring across Flinders University;
- Demonstrable rigour applied to changes that will minimise unexpected and undesirable consequences;
- Transparency of changes through the various operational areas of ITS;
- Coordination of changes and resource requirements across the various operational areas of ITS.

The information gained from the enablement of the process will better inform Client Services to lead the implementation of a more formal change management process consistent with the industry best-practice standards of ITIL – the IT Infrastructure Library.

2. Policy Statement

For the purposes of this document a “Change” is defined as a requested event that is initiated by Flinders University or Service Provider which results in a new status of one or more items within the University’s ICT environment.

Any Requests For Change (RFC) (see Appendix B for form) to the Flinders University ICT environment are required to follow the established ICT Change Management Process as defined within this charter, to ensure the mitigation of associated risks and minimal disruption to services as a result of change.

The final allocation of responsibilities and creation of any formal change management support positions / roles will form an integral part of the ITS final structure.
3. ICT Change Management Process

The ICT Change Management Process workflow is detailed in Appendix A.

The goal of the ICT Change Management Process is to ensure that standardised methods and procedures are used for efficient and prompt handling of all RFC’s in order to minimise the impact of change upon service quality and consequently to improve the day-to-day operations of Flinders University. This is done through a formal process of recording, assessment, authorisation, scheduling and includes comprehensive communications for all changes.

4. Scope / Requirements

This charter includes any changes to the Flinders University ICT environment upon which any area of the University relies in order to perform their normal duties.

Each RFC (see Appendix B for form) must meet the following requirements:

- All fields within the RFC that are defined as mandatory are completed correctly;
- All information provided must be sufficiently detailed and be easily read;
- Allow a minimum lead time of 2 full business days;
- Changes that will have major impact (e.g. changes to ‘core’ systems) may require greater lead time to allow for sufficient notification and are typically conducted after normal business hours;
- The RFC must detail the reasons for the change in business like terms;
- The RFC must describe in plain English the consequences of:
  - the change
  - the change failing, including back out plans and
  - not applying the change.
4.1 Emergency Changes

There may be extenuating circumstances in which the Requestor requires an urgent change and provides a sufficient business reason to do so. These changes will typically be requested to restore critical services during a major outage and should have an associated incident raised in Marval.

4.2 Change Freezes

Under some circumstances, Change Freezes may be invoked and/or revoked by Associate Directors or the Director, ITS. Typical examples of when a change freeze may be invoked include:

- During and immediately after a major outage;
- During a major event or politically sensitive period; and
- During a nominated major change to a university wide application and/or infrastructure.

Freeze notification shall be provided to all ITS staff via an email sent to the itsnotice@flinders.edu.au distribution list. The relevant Associate Director or Director, ITS is responsible for ensuring the notification is issued. A typical broadcast would have the following structure:

"Please note that as a result of the major outage this week, a change freeze is in place until close of business tomorrow. During this freeze, emergency changes will be processed in accordance with section 6.3 and all other category 2, 3 & 4 changes should either be deferred or specifically approved by your Associate Director."

4.3 Limitations

The change management charter has the following limitations that will be addressed over time:

- Lack of centralised electronic recordkeeping;
- Lack of a single, consistent communication channel to stakeholders.

Note that advice is being sought on the ability for the current implementation of Marval to assist with addressing these limitations.
5. Roles and Responsibilities

5.1 Requestor
For each RFC the Requestor shall categorise the change in accordance with the guidelines outlined at http://www.flinders.edu.au/isd-files/documents/CSC form library/Change Control Process.pdf. The Requestor shall complete the RFC Form for all category 1-4 changes, business as usual changes will be processed in accordance with prior arrangements made with the Associate Director.

The Requestor is to provide an assessment and sufficient details of the RFC and will be accountable for gathering necessary approvals for the RFC, where required.

5.2 Change Catalogue
The change catalogue is a list of positions that have the authority to approve various change types.

Initially this catalogue contains no entries and can only be modified under the direction of an Associate Director or the CAB (refer to section 5.6 below).

5.3 Change Supervisor (CS)
The Change Supervisor is typically the Requestor’s Supervisor or Project Manager.

The Change Supervisor is responsible for:

- ensuring that the relevant information and approvals from Special Advisors and Key stakeholders is gathered and appropriately recorded;
- reviewing the change;
- providing an appraisal of the change and its scope;
- approving the change if it is within their delegation as defined within the Change Catalogue;
- If the change is not within their delegation, providing the change documentation to their Associate Director.
5.4 Associate Directors (AD)

The Associate Director may approve the RFC if they determine it will not have a negative impact on any ‘core’ system. Subject to the nature of this change the AD may delegate future changes of this nature to the Change Supervisor by updating the Change Catalogue.

If the RFC may negatively impact a ‘core’ system, the AD must place the change on the CAB meeting agenda, arrange for the Requestor to be in attendance and circulate the necessary information to all Associate Directors.

5.5 Change Administrator (CA)

The Change Administrator has responsibility for ensuring all changes and approvals are recorded and stored appropriately.

5.6 Change Advisory Board (CAB)

The CAB reviews all the RFCs that may have an impact on ‘core’ systems together with all information gathered throughout the process. It also performs a rigorous assessment of the expected business and technical risks associated with the RFC. It also provides feedback as to the requested implementation schedule, ensuring minimisation of undesired interactions of multiple RFCs.

The CAB will meet twice a week (Tuesday & Thursday) to review RFC’s submitted, listen to details provided from various individuals and provide an “Approved/Not Approved” decision for each RFC.

Members may also request that further information is needed before a decision can be made. In this case the RFC is pending until said information can be presented to the CAB.

The CAB may also require “Approvals” from Key Stakeholders, system/application business owners or Executive for RFC’s that could have a major impact on the Flinders University’s ICT environment e.g. FLO, telephony etc.

The membership of the CAB is role based with the addition of Key Stakeholders relevant to each RFC being included in the CAB when required. Each member must nominate a delegate (who is not already a CAB member) who can attend CAB meetings to approve on the member’s behalf should they not be available.
The following roles make up the CAB membership:

- Associate Director, Client Services (voting member);
- Associate Director, Application Services (voting member); Associate Director, Infrastructure Services (voting member);
- Manager, ICT Security (voting member);
- Change Supervisor(s);
- Change Administrator.

It is the responsibility of the relevant AD to ensure that all approvals are received prior to the RFC going ahead.

The CAB recommends running sheets to be submitted where appropriate or if requested, and prefers large changes to be broken down into lower risk separate sequential work where possible. For example:

- in-house testing,
- pilot RFC
- Full implementation RFC

Subject to the nature of this change, the CAB may delegate future changes of this nature to the designated AD or Change Supervisor or by ensuring the Change Catalogue is updated.

5.7 Stakeholders / Key Advisors

For each RFC, the Requestor must identify key stakeholders related to the RFC. This allows those stakeholders the opportunity to provide an assessment of any risks or impact from their perspective, and ensures they are notified of any changes which may affect the services they provide.

Subject matter experts may also be consulted if necessary to help understand the impact and risks associated with any RFC and may be asked to attend CAB meetings to provide detail to assist members in the approval process.

6. Decision-Making Process

Each RFC must provide enough detail and sufficient Stakeholder consultation so the AD and in some cases the CAB can make an informed decision on whether to approve a RFC.
6.1 Non CAB Changes

RFCs that do not impact core systems or will not have a significant impact on Flinders University’s ICT environment are put forward to the AD for approval.

It is the sole responsibility of the designated officer within the Change Catalogue to give the final approval based upon information gathered throughout the process and through a rigorous assessment of the expected business and technical risks associated with the RFC. If an entry does not exist in the Change catalogue, then this responsibility lies with the relevant Associate Director.

6.1.1 “FYI” CAB notifications

ADs may choose to notify CAB members through “FYI” email notifications for RFCs that may have minimal risk but have the potential to have a major impact if they fail.

6.2 CAB Approval

RFC’s that have the potential to cause a negative impact on a core system or a significant impact on the wider Flinders University’s ICT environment are required to be put forward to the CAB for approval.

An RFC is considered approved by the CAB when it has full agreement by all attendees. A quorum of at least 3 voting members is required.

6.2.1 Large Scale Changes and ITS Teams

A category 2 change is deemed ‘large scale’ if it meets the following criteria:

- It hast potential to cause significant impact campus wide and
- Involves the coordination of multiple technical personnel

The Requestor of the RFC is responsible for disseminating the technical details and proposed work-plan well in advance to all involved technical team members.

The Requestor is to ensure that the RFC is sufficiently analysed by all teams and that feedback is collated to allow for adequate planning and CAB approval.
6.2.2 Run Sheet and Critical Check List
For Category 2 large scale changes it is recommended that the ‘Run Sheet Template’ be utilised and attached to the RFC.

The ‘Run Sheet’ sets out in chronological order, the implementation steps of a major change including:

- pre-requisite tasks,
- work-plan tasks
- appointed responsibilities
- test plans and acceptance criteria
- contact details of all key personnel and
- a critical check list.

A copy of the template is available on the Flinders change management webpage.

6.2.3 Rescinding Approval and Delay of RFC
If the risk of a CAB approved RFC changes substantially, the CAB may choose to rescind the RFC’s approval or delay its implementation.

6.3 Emergency Changes
While the aim of this Change Management Charter is to provide advance notice of scheduled changes, it is recognised that emergency changes will occur.

Common reasons for emergency changes include:

- Restoring unplanned critical / core service outages;
- Responding to a security breach;
- Taking action to prevent an imminent core service disruption or outage.

Emergency Changes are expected to occur infrequently and require rapid approval which may initially be verbal in nature. The approver’s key responsibility is to:

- independently ensure that despite the urgency of the situation, sufficient rigour is still applied to prevent the emergency change from making matters worse; and
- making senior managers accountable for the decision to implement the change.

A change can be declared an Emergency Change under the following conditions:

- An incident has been declared;
- The appropriate AD(s) are notified of the incident;
• The Manager, ICT Security is notified if there is a potential for a Security Breach;
• The Director, ITS is notified;
• An appropriate Senior Officer has been made accountable for owning the technical resolution of the issue.

The Requestor must complete the RFC form in order to document the nature of the change. If a CAB meeting is not possible at short notice, the Requestor must seek at least verbal approval by either:

• discussing the Change with at least two Associate Directors; or
• discussing the Change with a relevant Associate Director and Manager, ITS Security Services; or
• discussing the Change with the Director, ITS.

Once approval has been gained, the Requestor can proceed with the Change and the approving officer(s) must email their approvals at the earliest possible time to both the Requestor and the CA. Obtaining formal signoff of the RFC is the responsibility of the Requestor and may occur after the Change has been implemented.

7. Communication

7.1 Marval

It is anticipated that all details relating to a RFC are recorded with Marval.

In the meantime, information may need to be recorded in an unstructured format.

7.2 Stakeholder Email / Broadcast Messages

Notifications to key Flinders University staff of RFC’s are done through a “Stakeholder’s Email” to inform a number of key people of scheduled RFC’s.

For major RFC’s that will have a significant impact on a large number of users within Flinders University a “Broadcast” message may be sent informing them of the change. This will only be done with the approval of the Associate Director, Client Services.
7.3 Forward Schedule of Change Report


7.4 CAB Report

At each CAB meeting the CA will table a report detailing each RFC requiring CAB approval and any additional information pertaining to the RFC. In addition the CA will report the outcomes of previously CAB approved RFC’s, informing members whether changes were successful.

8. Change Notification

8.1 Incident/Change Management

If during the implementation of a change issues arise that prevent the change from progressing, it is the responsibility of the Requestor to advise the approving officer. An incident record is then raised and linked to the original RFC. From this moment any issues are managed as an incident.

If during a change, a variation to the original work plan occurs or is needed, it is the responsibility of the Requestor that the CS is notified at which point the original RFC is updated. The variation to work plan is then assessed by the CS and a judgement is made determining the outcome of the RFC. This may include a halt to the RFC and re-submission to the Change Management process (see Appendix A).

8.2 Change Outcome

Upon completion of the Change it is the responsibility of the Requestor to notify the CA whether the Change was successful or not. If a response is not received within 2 working days then it is the responsibility of the CA to follow up with the Requestor.

If the change is successful, the Requestor is to close the RFC with closure notes including any issues that were encountered and resolved during the change.

If the change failed, was backed out or partially completed, the Requestor is to record these details in the RFC. The RFC is to be closed and the CA notified. If the work is to be re-attempted, a new RFC is required to be raised and submitted. A category 1 to 3 change will need re-approval.
Emergency Changes require speed of access to Associate Directors and Stakeholders and should be escalated immediately. An emergency change is intended to repair an error in an IT service that is negatively impacting the business to a high degree.

Normal Change – All Changes that have significant impact or risk to the university.

Routine Change – A change to a service or infrastructure that has an accepted and established procedure to provide a specific change requirement for which the approach is pre-authorised by Change Management. These changes will have delegated responsibility with Line Managers/Supervisors able to approve.

Change Advisory Board (CAB) consists of the Associate Directors, the Manager/Supervisor requesting the change, and staff appropriate to the change being considered.

CAB decisions should be unanimous for change requests to be approved.

Change Catalogue to encompass Routine Changes.
Appendix B - Definitions

**CAB:** The Change Advisory Board. As can be inferred from the name, this body has no governance role, but is tasked with *advising* the Change Advisor and Requestor of the perceived impact of a requested change. This body is made up of a core group with representation from all major systems and the core ICT Services teams, and incorporates required stakeholders depending on the nature of the RFC being assessed.

**Change Administrator (CA):** The person with responsibility for ensuring all changes and approvals are recorded and stored appropriately.

**Change Management:** One discipline within the ITIL process framework which has the aim of ensuring appropriate controls are placed around changes to IT Systems and Services to mitigate risks, ensure stability, and provide responsiveness to changing organisational requirements and minimal service disruption.

**Change Supervisor (CS):** The Requestor’s Supervisor or Project Manager.

**Core Systems:** A system or ICT support system that is essential for the conduct of normal University wide or Divisional business.

**ICT:** is an abbreviation for Information and Communications Technology and is used as a collective term to describe all systems and services associated with computers, digital networks and telecommunications.

**ITIL:** The IT Infrastructure Library is a collection of internationally recognised best-practices for delivering IT Services, covering all aspects of service provision, quality assurance, and providing a framework which allows customisation of internal processes.

**Requestor:** The person identified as providing the details of the Change and having accountability for the RFC.

**RFC:** Request for Change – an electronic form which initiates the Change Management Process.