# CHANGE MANAGEMENT AND CONTROL

Date of adoption: 23 May 2017
Council resolves to adopt the under-mentioned revised policy as the Information Technology Policy of the DR BEYERS NAUDE LOCAL Municipality.

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## 1. INTRODUCTION

**1.1** Operational change management brings discipline and quality control to Information Systems. Attention to governance and formal policies and procedures will ensure its success. Formalizing governance and adopting policies for operational change management delivers a more disciplined and efficient environment. By defining processes and policies, ICT Unit can demonstrate increased agility in responding predictably and reliably to new Municipal demands.

**1.2** Dr Beyers Naudé Local Municipality(BNLM) management has recognized the importance of change management and control as well as the associated risks; therefore, formulated the Change Management and Control Policy in order to address the opportunities and associated risks.

## 2. PURPOSE

**2.1** The purpose of the policy is to ensure the implementation of change management and control strategies to mitigate associated risks such as:

- Information being corrupted and/or destroyed;
- Computer performance being disrupted and/or degraded;
- Productivity losses being incurred; and
- Exposure to reputational risk.

**2.2** The Change Management and Control Policy applies to all parties operating within the BNLM's network environment or utilizing Information Resources. It covers the data networks, Local Area Network (LAN) servers and personal computers (stand-alone or network-enabled), located at the municipal offices and remote locations, where these systems are under the jurisdiction and/or ownership of the municipality and any personal computers, laptops, mobile device and or servers authorized to access the municipal data networks. No employee is exempt from this policy.

## 3. CHANGE MANAGEMENT AND CONTROL

### 3.1 Operational Procedures

3.1.1 The change control process defined below will control changes to all critical municipal information resources (such as hardware, software, system documentation and operating procedures). This process shall include management responsibilities and procedures. Wherever practicable, operational and application change control procedures should be integrated.

3.1.2 At a minimum, the change control process should include the following phases:

- Logged Change Requests;
- Identification, prioritization and initiation of change;

- Proper authorization of change;
- Requirements analysis;
- Inter-dependency and compliance analysis;
- Impact Assessment;
- Change approach;
- Change testing;
- User acceptance testing and approval;
- Implementation and release planning;
- Documentation;
- Change monitoring;
- Defined responsibilities and authorities of all users and ICT personnel;
- Emergency change classification parameters.

### 3.2 Documented Change

3.2.1 All change requests shall be logged on a standardized and central system. The approval of all change requests and the results thereof shall be documented.

3.2.2 A documented audit trail, maintained at the ICT Unit, containing relevant information shall be maintained at all times. This should include change request documentation, change authorization and the outcome of the change. No single person should be able to effect changes to production information systems that are managed by the municipality, including APPX, without the approval of Senior Manager: Finance.

3.2.3 Management has introduced application auditor software that records and logs all programmed changes on APPX. The logs are reviewed by the Senior Manager: Finance. Application Auditor is used to transfer new programs and programmed changes to the live environment. If Application Auditor is not used, “Unauthorized changes” to the system will be reported. The unauthorized changes report is reviewed on a monthly basis by the Senior Manager: Finance. Once the changes have transferred to the live (00) system, the user must sign off the call on the Helpdesk. The programmer must now close the Application Auditor call. A copy of the help desk call, the Application Auditor call together with any supporting documentation must be taken to Senior Manager: Finance for a weekly review. All changes to the production information systems must be logged by the Systems Administrator on the APPX Helpdesk Application. The change must be authorized by Senior Manager: Finance before being implemented. Upon the completion of the change authorized, the Senior Manager: Finance must sign off the change as “successfully implemented”. This process must be reviewed by the Director: Finance and Corporate Services.

### 3.3 Change Classification

3.3.1 All change requests shall be prioritized in terms of legislative requirements, improving internal controls and value adding changes.

## 3.4 Testing

3.4.1 Changes shall be tested in an isolated, controlled, and representative environment (where such an environment is feasible) prior to implementation to minimize the effect on the relevant business process, to assess its impact on operations and security and to verify that only intended and approved changes were made.

## 3.5 Changes affecting SLA ‘s

The impact of change on existing SLA’s shall be considered. Where applicable, changes to the SLA shall be controlled through a formal change process which includes contractual amendments.

## 3.6 Fall back

3.6.1 Procedures for aborting and recovering from unsuccessful changes shall be documented. Should the outcome of a change be different to the expected result (as identified in the testing of the change), procedures and responsibilities shall be noted for the recovery and continuity of the affected areas. Fall back procedures will be in place to ensure systems can revert back to what they were prior to implementation of changes.

## 3.7 Business Continuity Plans (BCP)

Business continuity plans shall be updated with relevant changes, managed through the change control process. Business continuity plans rely on the completeness, accuracy and availability of BCP documentation. BCP documentation is the road map used to minimize disruption to critical business processes where possible, and to facilitate their rapid recovery in the event of disasters.

## 3.8 Change Monitoring

3.8.1 All changes will be monitored once they have been rolled-out to the production environment. Deviations from design specifications and test results will be documented and escalated to the Senior Manager: Finance. The change Helpdesk process will then be followed to correct the deviation accordingly.

## 4. COMPLIANCE

4.1.1 Any person, subject to this policy, who fails to comply with the provisions as set out above or any amendment thereto, shall be subjected to appropriate disciplinary or legal action in accordance with the BNLM Disciplinary Code and Procedures. Municipal Information Security policies, standards, procedures and guidelines shall comply with legal, regulatory and statutory requirements.

## 5. REVIEW

5.1.1 This policy shall be reviewed at least annually.