



City Policies

SUBJECT: MIS Change Management

MIS 4.0

EFFECTIVE: 04/01/2008

APPROVED: _____
George K. Noe, City Manager

DATE: _____

I. PURPOSE

The purpose of the MIS Change Management Policy is to manage changes in a rational and predictable manner so that City staff can plan accordingly. Changes require serious forethought, careful monitoring, and follow-up evaluation to reduce negative impact to the user community and to increase the value of the information technology infrastructure. The purpose of this policy is not to frustrate change or to question the rationale of changes. Rather, it is to make sure that changes have their intended impact while avoiding unintended consequences and minimizing the risk and impact to City Departments.

For purposes of this policy, a change is defined as anything that transforms, alters, or modifies the operating environment or standard operating procedures that have potential to affect the stability and reliability of MIS-supported information technology infrastructure and disrupt the business of the City. A change, as defined by this policy, can be planned or unplanned.

By establishing a Change Review Board, MIS is creating: an agreed upon method for approving and rejecting proposed changes; a mechanism for processing emergency system changes; a forum for analyzing the impact of changes; and a change notification and coordination process for management and impacted users. The department will utilize the features and functions of the MIS' work management system as a mechanism for tracking and reporting changes by documenting the proposal, approval, implementation, and review of system changes. A standard maintenance window has been designated for the preferred deployment of approved maintenance and minor changes. Major changes will be scheduled on an as needed basis when the standard window is not large enough to accommodate the necessary outage. One example of a major outage would be an application upgrade that takes four or five days to complete.

II. POLICY STATEMENT

All changes to MIS-supported systems are required to follow the established ***MIS Change Management Process***. MIS requires that changes to MIS-supported information technology be

subject to a formal change management process that ensures or provides for a managed and orderly method by which such changes are requested, approved, communicated prior to implementation (if possible), logged and tested.

III. SCOPE

This policy covers all changes to MIS-supported systems (hardware, software, applications, and network environment) upon which any functional unit of the City relies in order to perform its normal business activities. Changes not covered by this policy are changes that affect only an individual. Examples of changes not covered under the scope of this policy include, but are not limited to, changes to an employee's desktop or laptop computer, updates to an office phone, etc.

Changes may be required for many reasons, including:

- User requests
- Vendor recommended/required changes
- Changes in regulations
- Hardware and/or software upgrades
- Acquisition/implementation of new hardware or software
- Hardware or software failures
- Changes or modifications to the infrastructure
- Environmental changes (electrical, air conditioning, data center)
- Unforeseen events
- Periodic maintenance

IV. AUDIENCE

This policy applies to Municipal Information Systems (MIS) Departmental personnel who install, operate, or maintain information technology upon which any City Department relies in order to perform its normal business activities. In addition, the policy applies to the City user community as it needs to be informed and aware of the policy since it may have occasion to request a change, approve, test, and thus are subject to following the prescribed process.

V. ROLES AND RESPONSIBILITIES

Everyone has a potential role and corresponding responsibility with regards to change management.

- End-User/Functional User – has responsibility for 1) submitting a change request, 2) participating in testing, pre-deployment testing and post deployment testing, and 3) timely sign off for the change.
- End/Functional User Management – has responsibility for 1) verifying that change requests are valid and 2) timely signing off of changes.
- MIS Staff - have responsibility for following the prescribed change management processes and procedures.
- MIS Management – has overall responsibility for overseeing the change management policy and process. This includes ensuring the policy dissemination, oversight, and final approval of implementation of any change.

VI. CHANGE CATEGORIES

This policy categorizes change as: Planned Major, Maintenance and Minor, Emergency and Unplanned Outage, and Standard. Of the four change categories, Planned Major Change requires the most rigorous and extensive change process and procedures.

Planned Major Change

Examples of planned major changes are:

- change that results in business interruption during regular business hours
- change that results in business or operational practice change
- changes that affect disaster recovery or business continuity
- introduction or discontinuance of an information technology service

Maintenance and Minor Change

Examples of this type of change are:

- application-based security or business needs patches
- operating system patches (critical, hot fixes, and service packs)
- regularly scheduled maintenance
- changes that are not likely to cause a service outage

Emergency and Unplanned Outage Changes

Examples of this type of change are:

- building is without service
- a severe degradation of service needing 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
- a change requested by emergency responder personnel

Standard changes

Examples of this type of change are:

- Port Configurations
- Printer Adds
- DNS Name Changes
- Host File Changes
- New User Accounts
- Password Resets

VII. PLANNED MAJOR, MAINTENANCE & MINOR CHANGES

These changes require the submission and approval of a change request form or proposal to the Change Review Board. The Change Request should:

- Identify the application/system in question.
- Describe the aspect of the application/system that is in need of a change.
- Describe the impact of leaving the application/system as is compared with incorporating the suggested change.

- Describe in detail the impact of the requested change as well as the downstream impacts on the related (dependent) systems that it interfaces with, interacts with or sends or receives information to/from. The impact assessment should include cost impacts as well as technological architectural impacts, including scheduling and staffing/resources impacts.
- Provide a definition for the target group(s) to be contacted via the Communication Plan.
- Provide backout procedures for failed changes.

VIII. EMERGENCY REPAIRS

Although each situation is unique and unscheduled changes will occur, it is imperative that ALL unscheduled changes (changes to restore an immediate outage in which there is not sufficient time for the Change Review Board to meet) be approved by the Director of MIS or his/her designee. In such situations, it is crucial that the communication plan be used as a guidance tool to ensure that all stakeholders are aware of the changes being made. **It is important to obtain sufficient approval and to notify the appropriate staff of any change, whether planned or unplanned.**

IX. STANDARD CHANGES

A standard change is a change to infrastructure that follows an established path, is relatively common, and is the accepted solution to a specific requirement or set of requirements.

Standard Changes must be:

- Pre-approved by the Change Review Board.
- Follow a documented standard operating procedure.
- Recorded and documented as other changes are.
- Completed only by staff approved to work in that specific area.

X. POLICY LOCATION

This MIS Change Management Policy and Change Management Procedures are posted at: <K:\MIS-DIR\SHARED\ITIL\Change Mgt\MIS 4.0 Change Management Policy 03302008.doc>

XI. ATTACHMENTS/FORMS:

- A. MIS Change Management Process
- B. MIS Maintenance Window Detail
- C. MIS Change Request Form
- D. MIS Communication Plan

Reproducible copies of all forms are available on at <http://itil>.

XII. POLICY UPDATE

This policy shall be reviewed on an annual basis and any revisions to the policy shall be approved by the City Manager and the Director of MIS.

XI. CONSEQUENCES FOR VIOLATION OF THIS POLICY

Failure to comply with this policy will result in disciplinary action up to and including termination.

XIII. QUESTIONS REGARDING THIS POLICY

Questions regarding this Policy shall be directed to the Director of MIS, or designee, who may be contacted at 361/826-3740