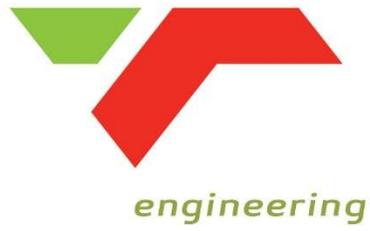


**TRANSNET**



**ANNEXURE I**

**CHANGE MANAGEMENT PROCEDURE**

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**ANNEXURE I – CHANGE MANAGEMENT PROCESS**
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**ANNEXURES**

**Appendix K1 – Sample Change Control Document**

## Background

Change Management's (CM) function is to ensure that modifications to the Service Towers are recorded, evaluated, authorised, prioritised, planned, tested, implemented, documented and reviewed in a controlled manner to minimise the risk of negative impact of changes to Transnet.

This standard governs changes made to all Service Towers, Service Components (SC) and Configuration Items (CIs). This includes but is not be limited to:

- Changes to the Service Provider Equipment and Service Towers as applicable;
- All hardware and software components of the Service Towers which are exclusively dedicated for the provision of Services for Transnet Engineering;
- Network components including physical cabling as it relates to Services and for dedicated use of Transnet Engineering;
- Security devices as it relates to Services and for the dedicated use of Transnet; and
- Documentation including policies, procedures, service catalogues, and reporting as related to Services.

## 1 DEFINITIONS

Definitions for terms which are capitalised are as per their meanings in the Agreement and its Annexures

## 2 SCOPE

### 2.1 ACTIVITIES

Change Management's key activities include ensuring that changes to Service Towers are recorded, evaluated, authorised, prioritised, planned, tested, implemented, documented and reviewed. Change Management is also responsible for reporting on the effectiveness of the process between Service Provider and Transnet Engineering. Ensuring that the Change Management Procedure is auditable and key risks have been identified and mitigated against.

### 2.2 AUDIENCE

1. Transnet Engineering Authorised Person(s); and
2. Service Provider Relationship Management and Service Delivery Management.

### 2.3 EUCD SERVICES

This procedure applies changes to Services and Component or Deliverable, where such change is to the environment that is solely dedicated for the use of Transnet Engineering, including, but not limited to Service Provider Equipment used to provision Services to Transnet and its Affiliates and operating divisions.

### 2.4 ACTIVITIES OUT OF SCOPE

The scope of Change Management covers changes to Services, as defined and Configuration Items associated with such Services for the duration of the Agreement Changes that lie outside the scope of the Change Management procedure include:

- Organisational changes;
- Changes to business operations; and
- Changes to Transnet CPE systems, software, hardware, that is not Service Provider Equipment and is not related to the Services

## 3 STANDARD STATEMENTS

### 3.1 GENERAL

1. All Changes will follow the Change Management procedure Change Management will manage all Changes in such a way to minimise Business impact.
2. Change Management records will be audited to ensure that the information in them is accurate and complete.
3. Management will ensure that enough resources are allocated to execute Change Management effectively and efficiently.
4. All Requests for Change will be recorded.
5. All Changes records will be updated with relevant and complete information so as to record a full history. This will include, but not be limited to:
  - Requests for Change form.
  - Risk Assessment of the change;
  - A Test Plan.
  - Implementation Plan.
  - A Back-out Plan.
  - Communication Plan.
  - Report from Incident Management.
  - Report from Problem Management.

- Post Implementation review report.
6. All submitted Requests for Change will be submitted as per the agreed format and with agreed information so as to be complete to allow for proper evaluation of the Change
  7. The TE Change Advisory Board (CAB) will authorise RFCs based upon the risk assessment, service levels, and obligations of Service Provider or Transnet as related to the Services.
  8. All Changes to existing and new Configuration Items (CIs) that are not yet in the CMDB, must be added to the CMDB.

### 3.2 EMERGENCY CHANGES

1. An Emergency Change is a change that must be introduced as soon as possible as the result of an urgent or critical event.

### 3.3 CHANGE ADVISORY BOARD (CAB)

1. The TE Change Advisory Board ("**CAB**") shall approve all RFCs for the TE environment that is submitted and determine whether they should be implemented in relation to the Services. In addition, it may determine and agree with the Service Provider that certain changes are altered before implementing for it to be accepted.
2. The Request for Change will include applicable charges and costs for the change in accordance with **Appendix K1**.
3. The TE CAB will meet weekly. The Change Manager will provide an agenda of newly submitted items and a change status schedule. The purpose of this meeting will be to:
  - Bring all required parties together to assess the feasibility of implementing the change and provide the Change status.
  - To review the status of all open changes and schedule for the current and upcoming weeks.
  - Discuss high impact changes.
  - Approve or disapprove each change as well as the Change Schedule.
4. Attendees of these weekly meeting at least be the following, for both Transnet Group and the ODs:
  - Transnet Engineering Authorized Person (s)
  - Change Manger;
  - Incident management representative;
  - Problem Management representative;

- Configuration Management representative;
- IT Security representative;
- IT Continuity representative;
- Capacity Management representative;
- Service Desk representative.
- Service Provider Relationship Management Representative

#### **3.4 EMERGENCY CHANGE ADVISORY BOARD (ECAB)**

We appreciate that due to the nature of these types of changes that it is not very practical to either wait for group of advisory board members to gather or to seek approval for a change to be made. This is made especially difficult for out of hour's incidents that require immediate or quick changes to be made in order to restore a service. In these circumstances, the Change Manager, EM: Enterprise Service Delivery and representatives from the ODs that will be affected by the Change have the authority to approve a change. It is acknowledged that in some exceptional circumstances that this may not be possible, and the authority will then fall on the person making the change. However, the change request form should still be filled in, even if it is retrospectively.

#### **3.5 CHANGE FREEZE PERIODS**

At certain critical times of the year, it will be necessary to impose a non-essential change freeze period. Service Provider and Transnet will agree to this period in writing well in advance to allow for any planned changes as they relate to the Services to be managed accordingly. During this time only such changes that are mutually agreed to be essential to either the running of Services or fixing of a problem with a Service Tower. If the need to make a change arises during this time, then both parties will follow the instructions sent out with the change freeze dates.

#### **3.6 CANCELLING A CHANGE**

- If for any reason a TE CAB-approved change has to be cancelled or postponed, then the Change Manager and Service Provider shall be informed.
- If the Change will need to be performed at a later date, then a new RFC must be submitted.
- In the event of the cancellation of a change which has an impact on the Services or Service Provider's ability to perform its obligations pertaining to such Services as impacted by such change, the Service Provider will be given excused performance until such time the change is actually implemented

### 3.7 POST IMPLEMENTATION REVIEW OF CHANGES

1. After any change has been implemented, the Service Provider will submit the post implementation Review of the change to Transnet Engineering. This report will be included as part of the Change Record with TE CAB.
2. The TE CAB will perform a detailed review of all unsuccessful Changes to determine the why the change was not implemented as planned. The results of the review will be stored in a lessons-learned repository and used for process evaluation and continual process improvement.

### 3.8 CHANGE RECORD CLOSURE

Before a Change record is Closed, the following quality assurance will be done:

- Verification that the Change was implemented as planned.
- If the Change was not implemented as planned, then the reasons for this will have been documented in the Post Implementation Review. Unsuccessful Changes will have to be closed and be resubmitted as a new Change after the requestor of the change has satisfied the TE CAB that the causes of the unsuccessful initial implementation have been addressed.

### 3.9 UNAUTHORISED CHANGES

Unauthorised Changes are a serious breach of this standard and are an unacceptable risk to Transnet. If unauthorised changes are detected the TE CAB will sanction an investigation to determine the impact of the unauthorised Changes and what actions need to be taken.

## 4 RELATED INFORMATION AND REFERENCE

This Standard should be read in conjunction with the following supporting guidelines:

External Documents:

- ITIL Service Design, 2011 edition
- COBIT 5 Enabling Processes (2012)
- Transnet's internal change management process

### 4.1 REGULATORY REQUIREMENTS:

Transnet Engineering and Service Provider recognises the importance of complying with all Applicable

Law (regulatory requirements) in accordance with clause 59 of the Agreement

## **5 FINANCIAL IMPLICATIONS**

Where the change has financial implications the Service Provider will submit the necessary costs for such change in accordance with **Appendix K1** for the review of the CAB.

The change will be implemented only once the change and the proposal for the change as applicable has been accepted by Transnet and authorized through issuance of necessary Purchase Order.

## **6 EXCLUSIONS**

There are no exclusions to this Standard.

## **7 REQUEST TO DEVIATE FROM STANDARD**

In cases where material and compelling circumstances merit deviation(s) from particular provision(s) of this Standard, Transnet Engineering and Service Provider will mutually agree to such deviations.

## Appendix K1 – Sample Change Control Document

Change Control Proposal Form Change Control Number 001

### 1. Change tracker:

Date \_\_\_\_\_

Name Surname requested that a Change Proposal be compiled to implement a model change for the desktop on the Transnet Price List as from \_\_\_\_\_ (Date).

### 2. Request Detail:

|                  |  |
|------------------|--|
| Request Date     | Date   |
| Request Priority | (high/medium/low)  |
|                  |  |
| Requested By     | Name Surname   |
| Company/BU Name  |  |
| Phone Number     | 000- 000 - 0000  |
| E-mail Address   | <a href="mailto:name.surname@XYZ.co.za">name.surname@XYZ.co.za</a> |

### 3. Reason for Request:

A request was issued by Name Surname to compile a Change Proposal to implement a model change for the desktop/Laptop on the Transnet Rental Price List, due to \_\_\_\_\_ (Reason).

### 4. Request Analysis:

**Product Illustration Comparison:**

**Product Illustration: Laptop 000 (Discontinued Item):**

**Product Illustration: Laptop 001 (Proposed Replacement Item):**

**Product Specification Comparison:**

| Features        | Laptop 000 | Laptop 001 |
|-----------------|------------|------------|
| Processor Type  |            |            |
| Chipset         |            |            |
| Memory          |            |            |
| Graphics Card   |            |            |
| Network         |            |            |
| Expansion Slots |            |            |
| Ports           |            |            |
| Dimensions      |            |            |

**Product Features: Laptop 001**

Example ----

Offering more form factors and configurations than ever before in an Essential desktop, the new Laptop 001 is designed to deliver cost-effective business productivity for growing businesses and organizations. Built with proven, practical features focused on providing essential business value, etc...

**5. Price Comparison:**

| Item:      | Description:            | Transnet Price: |
|------------|-------------------------|-----------------|
| Laptop 000 | Laptop 000 with 19" TFT | R 0,000.00      |
| Laptop 001 | Laptop 001 with 19" TFT | R 0,000.00      |

All prices are exclusive of VAT.

**6. Recommendation:**

XYZ would like to recommend a model change on the Transnet Engineering Price List for the Laptop 000, due to this item being discontinued in favour of the more advanced Laptop 001 (Please refer

to the Technical Specifications). Thus, Transnet Engineering will be offered newer technology at the same price (Please refer to the Pricing Comparison).

#### 7. Item(s) to be changed or updated:

Once approval & sign off has been obtained from the Transnet Engineering / XYZ Team Representatives and an implementation date has been determined, XYZ will remove the Laptop 000 from the monthly Transnet Price List and replace it with the Laptop 001.

NOTE: IMAGE CHANGE WILL BE REQUIRED. SUFFICIENT TIME MUST BE ALLOWED TO ACCOMMODATE THE REQUIRED CHANGES ONTO THE CONTRACT.

#### 8. Implementation Plan:

| Action   | Responsible person                | Date                |
|--|-----------------------------------|---------------------|
| Approval & sign off from Transnet Engineering / XYZ Team Representatives                             | Transnet Engineering:<br><br>XYZ: | ASAP                |
| Determine implementation date (e.g. from which month will this item be removed from the Price List?) | Transnet Engineering:<br><br>XYZ: | Dependent on item 1 |
| Update Transnet Engineering Price list   | XYZ                               | Dependent on item 2 |

#### Document approved by:

\_\_\_\_\_  
Name

Transnet Engineering Change Control

\_\_\_\_\_  
Name

Chairman

\_\_\_\_\_

\_\_\_\_\_

Name

Transnet Engineering ICT Infrastructure

Name

XYZ