HIC SERVICES STANDARD OPERATING PROCEDURE

Change Management

SOP NUMBER: HIC Services SOP 16
VERSION NUMBER: 3.0
EFFECTIVE DATE: 30/05/2023
DOCUMENT SECURITY LEVEL: Open
REVIEW DATE: This SOP will be reviewed at least every 12 months, or at other times as requested by: HIC Information Governance Committee
AUTHOR: Leandro Tramma

DATE APPROVED BY THE INFORMATION GOVERNANCE COMMITTEE: 30/05/2023
DATE APPROVED BY THE HIC EXECUTIVE COMMITTEE: 09/05/2023
DATE REVIEWED BY HIC OPERATIONS GROUP: 24/04/2023
CONTACT PERSON FOR THIS SOP: Service Delivery Manager
**DOCUMENT REVIEW AND REVISION HISTORY:**

<table>
<thead>
<tr>
<th>Version Number:</th>
<th>Edited by (job title):</th>
<th>Effective Date:</th>
<th>Details of editions made:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>Leandro Tramma, Process Manager</td>
<td>01/01/15</td>
<td>New SOP</td>
</tr>
<tr>
<td>2.0</td>
<td>Keith Milburn, ADP Manager</td>
<td>01/07/17</td>
<td>Revision after HIC Exec to reflect current practice</td>
</tr>
<tr>
<td></td>
<td>Tracey Stewart (Data Entry Team Leader)</td>
<td>25/02/20</td>
<td>Updated cover sheet with new approval process information</td>
</tr>
<tr>
<td></td>
<td>Rachael Torano (Business Support)</td>
<td>18/05/20</td>
<td>Updated with new and approved Header Changes made to cover page to include Op’s review date as agreed at the HIC Information Governance Meeting Document Review and Revision History table header updated As agreed by the HIC Governance Committee signatures have been removed from cover page and Document Review and Revision History table has been updated to include review dates and notes</td>
</tr>
<tr>
<td>2.0</td>
<td>HIC Ops</td>
<td>24/10/22</td>
<td>Reviewed 24/10/22 no changes required</td>
</tr>
<tr>
<td>3.0</td>
<td>Keith Milburn, Service Delivery Manager</td>
<td>10/04/23</td>
<td>Changes to reflect the new process integrated within JIRA</td>
</tr>
</tbody>
</table>

*Draft and Archived/Obsolete revisions are not to be used.*
*Access current versioning system to verify revision.*
1. PURPOSE

Health Informatics Centre Services (HIC Services) is a University Research Support Unit operating within the Tayside Medical Science Centre (TASC) at the University of Dundee, in collaboration with NHS Tayside and NHS Fife. HIC Services provides Data Users with linked, anonymised information derived mostly from large Population Based Health Datasets, owned mainly by the NHS and the University of Dundee. HIC also develops data collection software, provides data entry and securely hosts data for research use.

2. SCOPE

Change is an essential part of maintaining and continuously improving provided services. Change must be properly managed so that disruption and unpredictable interruptions to services are minimised. The scope of this document is to highlight the practices in operation in HIC to guarantee due diligence is followed during changes that affect any aspect of its operations.

This document provides a summary of each of the main sections of the change management process as is implemented by HIC. This document does not cover test or development work unless there is an impact on production or pre-production areas.
3. DEFINITIONS

- **Change Advisory Group (CAG)** – The CAG is a HIC internal group comprised of senior members of staff and is responsible for approval of changes.
- **Process Manager** – Senior staff or delegated process manager.
- **Change Type** – Defines the type of change being submitted for review:
  - Standard Change – a low risk change that’s preapproved and follows documented, repeatable tasks.
  - Non-Standard Change – a thorough review process is conducted before approving this change.
- **Change Impact Category** – Defines a common scale against which to judge the magnitude of the change in terms of effort and risks:
  - Extensive - There is a significant business service impact because multiple customers are affected by the change. Considerable human and technical resources are needed. Management is involved in the decision process. The RFC must be discussed in the CAG meeting and approved by the change manager. The change manager seeks advice on change authorization and planning.
  - Significant - There is a clear service impact because at least one customer is affected by the change. The RFC must be discussed in the CAG meeting and approved by the change manager. The change manager seeks advice on authorization and planning.
  - Moderate - There is little impact on current services because no customers are affected because of the change. The change manager can authorize this RFC.
  - Minor - The change can be executed without prior approval from the change manager because no customers are affected by the change.
- **Change Urgency** – Provides a comparator scale to measure how urgent the change is:
  - Critical - The change is immediately necessary to prevent severe business impact. Change approval is needed by the CAG or Emergency Committee.
  - High - The change is needed as soon as possible because of potentially damaging service impact.
  - Medium - The change will solve irritating problems or repair missing functionality. This change can be scheduled.
  - Low - The change will lead to improvements, changes in workflow, or configuration. This change can be scheduled.
- **Change Risk Assessment** – Provides a review of the likelihood of risk and the related consequence:
  - Likelihood:
1 – Rare
2 – Unlikely
3 – Possible
4 – Likely
5 – Almost Certain

Consequences:
1 – Insignificant
2 – Minor
3 – Moderate
4 – Major
5 – Catastrophic

RFC – Request for change. The RFC is the main reference for all documentation related to a change and supports the approval decision process. It should highlight the following:

Change Description - Description of the change – what is being changed and how.
Business Justification - Clearly record reasons for making a change and if the change is not made, what are the consequences and risks?
Change Approvers – Process manager.
Internal and External Stakeholders - Stakeholders who are likely to be affected by the change.
Communication Plan - Detailed description of the communications to be provided during the change.
Planned Start and End Date of Change - Will be defined by the change implementer.
Affected Assets - List of assets affected by the change.
Change Impact and Urgency - A change can be Extensive, Significant, Moderate or Minor. The urgency can be Critical, High, Medium or Low.
Risk Assessment of Change - Once the change has been made are there any risks that might arise?
Implementation Plan - Detailed description of the steps required to implement the change.
Test Plan - What is the plan for testing the change before implementation?
  Rollback Plan - If the change has been unsuccessful (or has created actual or suspected problems) a documented roll-back plan should be in place in advance of roll out.

For all other definitions see HIC Services SOP Appendix B – Definitions.
4. RESPONSIBILITIES

- **Team Managers** – Manages and Monitors the whole process. They will be responsible for signing off successful changes.
- **HIC Operational Director** – Responsible for overall HIC security policy and implementation
- **Governance Manager** – Monitoring compliance, handling significant events, keeping SOP up to date

5. POLICY

5.1.1.1 Every change identified, either from external input or from an internal party, will go through a documented process.

5.2 Change Validation and Triaging

5.2.1 Overview

5.2.1.1 To verify the relevant procedure is being followed, proposed changes will need to be validated and triaged.

5.2.1.2 Validation is the process of ensuring that the party requesting the change is indeed authorised to request it. Triaging is performed by all parties involved and is needed to assign a Priority and a Category to the requested change.

5.2.2 Details

5.2.2.1 The following details will be documented:
- Defining an approver of the change prior to CAG for non-standard change
- Identifying the stakeholders and related communication plan.
- Identifying the urgency and impact of the change.
- Identifying the assets affected by the change.
- Identifying the potential risks following the change.
- Creating an Implementation Plan
- Creating a Test Plan.
- Creating a Roll-back plan.

5.2.2.2 If necessary, the proposed change could be prototyped to gather as much information as possible.
5.3 Change Approval

5.3.1 Overview
5.3.1.1 Approval by senior member or delegated process manager of HIC Services that the RFC is required, before proceeding.
5.3.1.2 Approval by the CAG for non-standard changes.

5.3.2 Details
5.3.2.1 All changes require a single senior staff or delegated process manager approval; the decision will be based on the RFC documentation, the impact and risks associated with the change, and external parties’ input.
5.3.2.2 The CAG will review and decide on the non-standard change request.

5.4 Change Workflow

5.4.1 Overview
5.4.1.1 Change Building - When a change is approved, it will be built as documented.
5.4.1.2 Change Testing – Following the approved test plan.
5.4.1.3 Change Implementation – Following the approved implementation plan, in the event of a failure, the roll-back plan will be implemented or an Incident raised.
5.4.1.4 **Post Implementation Review** – The change will be verified and reviewed with outcome reported back to the CAG.

5.4.1.5 **Standard Change Creation** – If applicable a standard change will be created to streamline future change requests. This will be reviewed by the CAG prior to availability for use.

### 5.5 Change Communication

5.5.1 **Overview**

5.5.1.1 Following the communication plan stakeholders are kept aware of its status.

**Details**

5.5.1.2 During all above stages of the Change Workflow, the stakeholders will be kept informed of the process.

5.5.1.3 This process is parallel to the Change Workflow and does not necessarily finish when the Change Workflow ends.

### 5.6 Change Documentation

5.6.1 **Overview**

5.6.1.1 The process will be documented and stored within the Project Management system.

5.6.2 **Details**

5.6.2.1 Relevant documentation will be created or updated by the staff responsible.

5.6.2.2 This process is parallel to the Change Workflow and does not necessarily finish when the Change Workflow ends.

5.6.2.3 This may involve, but is not limited to, training for staff and instructions/guidelines to users.

### 6. APPLICABLE REFERENCES

-