

Process Maturity Framework - Change Management

Towards Maturity

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Abstract: Maturity of an organization's can be gauged by the ways it can be assessed. This Whitepaper provides an format to measure and assess the organizations change management capabilities and requirement to mature,

The 5 Maturity Level/s is as defined. Rate each Sub processes as per the assessed levels. As part of presentation, it is viable to plot radar chart for graphical representation. The Maturity assessment is as per the Change Lifecycle phases and should be incorporated as per the Lifecycle phase for easy optimization.

Maturity Level/s

0. Not Performed

No processes defined or controls in place

1. Initial

A variety of ad-hoc and inconsistent processes are in place

2. Repeatable but Intuitive

A single unconstructed or informal process is widely followed

3. Formal

Process formally defined but compliance not consistently enforced

4. Managed and Measurable

Well developed and consistently followed process

5. 5. Continuously Improving

Process continuously evaluated and optimized

Subprocess 1: Request Management

What processes does the organization have in place to manage a Change request across it's life cycle?

Subprocess 2: Risk Categorization

How does the organization evaluate the potential impact of a requested Change?

Subprocess 3: Planning and Authorization

How does the organization address Change approval and implementation logistics?

Subprocess 4: Testing and Implementation

What measures does the organization take to ensure Changes function properly and are implemented on schedule?

Subprocess 5: Review and Analysis

How is the current Change management process assessed for effectiveness and process improvement?

Subprocess 1: Request Management

Request Capture

0. No standard format defined for Change requests
1. No single request format or channel defined
2. Request format and channels are defined, though informal requests still accepted
3. Formal mechanism for request capture is in place, though it is occasionally bypassed
4. All Change requests are verifiably captured through a versatile and efficient formal process
5. Automated request capture mechanism is regularly reviewed and updated

Request Documentation and Tracking

0. Little or no tracking of Change requests or implementation activities
1. Tracking performed primarily through e-mail threads and occasional after-the-fact memos
2. Many incompatible tracking and documentation mechanisms in place and widely used
3. While formal Change tracking database is in place its use is not effectively enforced
4. Formal Change tracking process is verifiably followed and documentation up-to-date

5. Mature change management database regularly benchmarked and updated

Request Filtering and Prioritization

0. Changes are processed mostly on a first-come-first-serve basis
1. Ad-hoc Change filtering decisions, inconsistent prioritization criteria
2. Rudimentary filtering and prioritization of common requests. Others are handled in an ad-hoc fashion
3. Formal filtering and prioritization are in place, process often sidestepped for the sake of expedience
4. Compliance with a request filtering and prioritization process is measured and validated
5. Sophisticated criteria for filtering and prioritization are regularly reconsidered

Request Categorization

6. No attempt to categorize Changes based on business need or degree of difficulty
7. Change category defined through instinct and tracked informally
8. Normal requests are categorized, while urgent requests are handled in an ad-hoc fashion
9. Impact categories and predefined reactions are established, but not always heeded
10. Predefined impact categories and responses are followed with no exceptions
11. Historical Change Management data used for ongoing improvement of request categorization

Subprocess 2: Risk Categorization

Information Technology Impact

12. No process in place to evaluate potential IT impact
13. Recognition of need to assess IT impact, but there is no consistent process to follow
14. Subjective assessment of potential IT impact is usually conducted prior to Change
15. Objective IT risk assessment criteria and process is defined but compliance is not enforced
16. All Changes are subject to thorough IT risk assessment
17. IT assessment criteria are frequently reviewed to ensure relevance of risks considered

Business Impact

0. Business impact is not taken into account when evaluating Change risk
1. Inconsistent processes for evaluating potential business impact. Changes are routinely made without any type of assessment
2. Subjective assessment criteria defined and followed informally
3. Objective business risk assessment criteria and process is defined but compliance is not monitored
4. All changes are subject to thorough business impact assessment
5. Business assessment criteria is frequently reviewed to ensure the criteria is aligned with the business

Change Reversibility

0. No consideration of Change roll-back feasibility
1. Change reversibility assessment is ad-hoc and inconsistent
2. Change reversibility assessments are unstructured and not always followed
3. Change reversibility assessment criteria is defined but lacks enforcement
4. All Changes are certified to have a contingency plan prior to implementation
5. Change reversibility criteria are regularly evaluated and updated

External Factors

0. External factors are not considered when assessing Change impact
1. Awareness of potential impact from external factors but no formal evaluation mechanisms in place
2. Potential impact from external factors is informally considered
3. Formal evaluation of external factors that can affect Change implementation is defined, though not enforced
4. The potential risk due to external factors are formally considered for all requests
5. External factor risk criteria is frequently assessed to ensure relevance

Subprocess 3: Planning and Authorization

Review and Approval

0. No review and approval processes are in place
1. Change review and approval process has substantial variation

2. An informal Change review and approval is typically followed across the organization
3. A Change Advisory Board (CAB) is in place to examine Changes which require review and approval
4. Process audits ensures that no Changes that need approval are implemented without CAB review
5. Review and approval process is regularly evaluated and updated

Change Scheduling

0. No standard format defined for Change requests
1. Changes are scheduled without explicit consideration of business impact or need
2. Rudimentary scheduling mechanism in place but not applied consistently
3. Formal scheduling mechanisms are defined, though occasionally bypassed
4. Prioritized Change scheduling consistently followed
5. Scheduling process is frequently scrutinized to identify opportunities for improvement

Back-out and Testing Plans

0. No back-out plans or testing plans are developed
1. Creation of back-out and testing plans are ad-hoc and inconsistent
2. Informal back-out process and testing plan is frequently used
3. Formal testing and back-out plans are expected, though compliance is not monitored
4. Testing and back-out plans are created and validated for all Changes for which they are required
5. Back-out and testing plan guidelines are routinely evaluated and updated

Change Communication

0. No effort or mechanism in place to communicate pending Change
1. Forward Scheduling of Changes (FSCs) is ad-hoc and inconsistent
2. Basic FSCs process is created and informal communication channels are in place
3. Communication of formal FSC is required but hard to enforce
4. All relevant parties are properly notified of scheduling details
5. Historical review of scheduling effectiveness used to optimize FSC requirements

Change Build

0. There is no process to prepare for upcoming Changes
1. No consistent process in place for Change building Informal
2. Change hand-off and preparation are in place and is typically followed Formal process defines
3. Change preparation guidelines and RFC hand-off to relevant technical groups
4. RFC hand-off and Change build requirements are monitored and strictly enforced
5. Hand-off and build guidelines are scrutinized to identify process improvements

Subprocess 4: Testing and Implementation

Testing:

0. Changes implemented with minimal or no testing
1. No consistent testing methodology or explicit requirements
2. Informal or poorly documented testing process applied to most Changes
3. Formal requirements for independent testing are in place but not enforced
4. Formal independent testing requirements are in place for relevant Changes and tracked for compliance
5. Independent testing requirements are routinely reviewed and updated

Resource Marshalling and Coordination:

0. Available resources are arbitrarily assigned to Change rollout
1. Resource assignment and rudimentary business coordination handled on a case-by-case basis
2. Informal resource marshalling and coordination business process is routinely followed
3. Formal process for resource marshalling and coordination with business customers is used but not actively monitored
4. Compliance with formal marshalling and coordination process is enforced
5. Resource marshalling and coordination process is evaluated to maximize resource efficiency

Change Rollout

0. No formal process for Change rollout exists
1. Change rollout process exhibits substantial variation across the organization
2. Informal Change rollout process is usually followed Formal
3. Change rollout checklists and deadlines are defined and usually followed
4. Compliance with Change roll-out protocol is monitored
5. Change rollout process is regularly evaluated to enhance its effectiveness

Subprocess 5: Review and Analysis

Impact review

0. No post-implementation review of Change impact
1. Ad-hoc, post-implementation review of Change impact exhibits substantial variation across the organization
2. Rudimentary post-implementation impact review process is in place but not applied consistently
3. Formal impact review process and CAB are in place to support post-implementation assessment
4. Compliance with appropriate impact review process is monitored and enforced
5. Post-implementation review process is regularly evaluated and updated

Metrics and Management Reporting

0. No Change management metrics are collected
1. Change management metrics are collected in an ad-hoc fashion and reports created as needed
2. Basic metrics are frequently gathered and informal management reports created
3. Targeted Change management metrics are routinely collected and reports created targeting IT and business audience
4. Formal metric collection and management reporting process is consistently monitored
5. Metrics and management reporting process is assessed regularly to ensure relevance

Process Review

0. No after-the-fact review of Change process
1. Occasional lesson learned incorporated into Change process
2. Informal brainstorming meetings used to identify opportunity for Change process improvement
3. Formal end-to-end evaluation of Change processes used to pinpoint opportunities for improvement
4. Performance of Change process is monitored and implementation of process improvements is enforced
5. Success of process review mechanisms is evaluated and opportunities for better incorporating lessons learned are continuously identified



