

Standards – Guidance and Examples

Operational Controls and Procedures

Standard
3.3 Change Control
Rationale
<p>Administration teams need to be able to deliver change without affecting normal service delivery.</p> <p>PASA does not expect administrators to undergo change for changes sake; however proactive identification of changes required is advantageous, PASA does expect administrators to ensure that they have procedures and mechanisms in place to be able to deliver change (both business and client change) without this affecting normal service delivery and to ensure systems and processes are legislatively compliant. Administrators need to ensure that their change procedure is robust and readily available across their organisation. It is a requirement that changes are looked at in a logical manner across an organisation and not in silos to ensure that the correct changes are carried our business wide where required.</p>
Outcomes
Administrators implement change seamlessly, accurately and without disruption to normal service.
Measurement / Evidence
<ul style="list-style-type: none"> • Documented change plans where changes are identified, scoped, risk assessed, a delivery plan documented and signed off, resources allocated and the outcome of the change plan evidenced. Specifically testing outcomes from any process or calculation change should be retained and documented for the purpose of future audit and evidence of control; • undisrupted service levels demonstrated through reporting to trustees (refer to Standard 2.1 dealing with reporting);
General Principles

PASA expects applicants for accreditation to be able to demonstrate:

- That they have a process for identifying and recording changes that are identified in the business;
- that they are reporting on the results;
- that they have procedures in place to ensure that service levels are undisrupted and contingency plan if they are disrupted;
- any change request has a documented change plan where changes are identified, fully scoped, risk assessed, a delivery plan documented and signed off, resources allocated and the outcome of the change plan evidenced. Specifically testing outcomes from any process or calculation change should be retained and documented for the purpose of future audit and evidence of control. It is vital that any change requests are managed to ensure that service levels are undisrupted and maintained throughout the change life cycle;
- all change requests must be documented as outlined above and it is suggested that these requests are signed off (agreed or rejected);
- all change requests regardless of the outcome should be captured, recorded and reported on throughout the change life cycle;
- all changes that are carried out should be planned not to disrupt the normal service delivery, where applicable;
- all change activity to have clear and regular governance to ensure administrators and key stakeholders will receive progress reports on their change requests throughout the change lifecycle;
- if a change is implemented this will have passed appropriate quality measures, and the final change will be signed off by the senior user and project sponsor;
- any lessons that have been learnt from the change will be appropriately documented for future change initiatives or activities (of BAU).

Fundamentally:

- Change and BAU are clearly defined and separated in the operational environment either through structure or resource planning and allocation;
- controlled, and fully documented and auditable changes throughout the administration environment;
- impact analysis undertaken prior to any change being undertaken;
- defined change scope, risk assessments and a delivery plan documented;
- independent sign off before any change progresses where applicable;
- BAU Service levels maintained throughout a change process;
- specific SLAs, MI and Governance for change, with supporting approval bodies in place;

- independent MI to track changes in flight;
- routine changes such as factors have a defined process

Application to TPAs and Accreditation Approach

- PASA expects TPAs with multiple clients to take a reasonable approach involving:
- A standard documented approach to all clients within the TPA;
- a dedicated change process

Accreditation Approach

- The accreditation team will:
 - Ask for evidence of a controlled change management process (all changes scoped, agreed and appropriate change governance in place);
 - look for evidence that the results are reported to the trustees;
 - look for evidence that the results are acted upon.

Application to In-House Teams and Accreditation Approach

PASA expects in-house teams to follow the same principles for change management as apply to TPAs.

Accreditation Approach

- The accreditation team will:
 - Ask for evidence of a controlled change management process;
 - look for evidence that the results are reported to the trustees;
 - look for evidence that the results are acted upon.

Timelines

PASA expect these controls and procedures to be immediately available and in use.