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After your subscription to the course has finished online, you will still have the study guide to help you prepare for the RCV exam - if you’ve not taken the exam by the time your subscription expires.

Each Module of your course has its own Study Guide, including a review of the Module information, exercise answers and any additional diagrams or material mentioned. By the end of the course, you’ll have 11 chapters that build up into the full guide.

This Chapter contains the Study Guide information for Module 7 – Change Evaluation.

Use this Study Guide in conjunction with your own notes that you make as you progress through the course. You may prefer to print it out, or use it on-screen.

After each Lesson, you can consolidate what you have learnt whilst watching the videos and taking the quizzes by reading through the chapter of the Study Guide. If you progress on to do the RCV exam, your Study Guide will provide you with vital revision information.

Remember, your Study Guide is yours to keep, even after your subscription to the RCV Course has finished.
<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHANGE EVALUATION</td>
<td>1</td>
</tr>
<tr>
<td>TABLE OF CONTENTS</td>
<td>2</td>
</tr>
<tr>
<td>STUDY GUIDE Icons</td>
<td>3</td>
</tr>
<tr>
<td>MODULE CONTENTS</td>
<td>4</td>
</tr>
<tr>
<td>CHANGE EVALUATION PURPOSE AND OBJECTIVES</td>
<td>5</td>
</tr>
<tr>
<td>CHANGE EVALUATION SCOPE</td>
<td>7</td>
</tr>
<tr>
<td>CHANGE EVALUATION VALUE TO BUSINESS</td>
<td>8</td>
</tr>
<tr>
<td>CHANGE EVALUATION POLICIES</td>
<td>9</td>
</tr>
<tr>
<td>CHANGE EVALUATION PRINCIPLES AND BASIC CONCEPTS</td>
<td>10</td>
</tr>
<tr>
<td>CHANGE EVALUATION KEY TERMS</td>
<td>11</td>
</tr>
<tr>
<td>CHANGE EVALUATION PROCESS STEPS</td>
<td>13</td>
</tr>
<tr>
<td>CHANGE EVALUATION ACTIVITIES</td>
<td>16</td>
</tr>
<tr>
<td>CHANGE EVALUATION ASSESSMENT</td>
<td>18</td>
</tr>
<tr>
<td>CHANGE EVALUATION PERFORMANCE EVALUATION</td>
<td>20</td>
</tr>
<tr>
<td>CHANGE EVALUATION REPORT</td>
<td>24</td>
</tr>
<tr>
<td>CHANGE EVALUATION PROCESS MANAGEMENT</td>
<td>25</td>
</tr>
</tbody>
</table>
Watch out for these icons as you use your Study Guide. Each icon highlights an important piece of information.

<table>
<thead>
<tr>
<th>Icon</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image1" alt="Icon" /></td>
<td><strong>Tip</strong> – this will remind you of something you need to take note of, or give you some exam guidance.</td>
</tr>
<tr>
<td><img src="image2" alt="Icon" /></td>
<td><strong>Definition</strong> – key concept or term that you need to understand and remember.</td>
</tr>
<tr>
<td><img src="image3" alt="Icon" /></td>
<td><strong>Role</strong> – a job title or responsibility associated with a process or function.</td>
</tr>
<tr>
<td><img src="image4" alt="Icon" /></td>
<td><strong>Exercise Solution</strong> – suggested solution to one of the exercises you will complete throughout the course.</td>
</tr>
<tr>
<td><img src="image5" alt="Icon" /></td>
<td><strong>Purpose or Objective</strong> – for a particular process or core volume.</td>
</tr>
</tbody>
</table>
This Module studied the Change Evaluation process.

Change Evaluation is the process that allows the service provider to check that the new or changed service is meeting the expectations of the customer, agreed during Service Design.

It allows comparison of the actual performance that is achieved by a new or changed service, with the performance that was predicted when the service was developed.

This Module had 3 Lessons.

Lesson 1 – Process Introduction
- The purpose, objectives and scope of the process
- The value to the business of Change Evaluation
- Policies, and use of the Plan-Do-Check-Act model in Change Evaluation
- Some of the key terms that are used in Change Evaluation

Lesson 2 – Process Activities
- The steps of the process
- The evaluation activities and perspectives
- The evaluation of predicted performance versus actual performance

Lesson 3 – Process Management
- The contents of the evaluation report
- The triggers, input and outputs of the process
- The process interfaces
- Information management
- Process measurement
- Challenges and risks
Purpose

The purpose of the process is to allow the service provider to check that the new or changed service is meeting the expectations of the customer, agreed during Service Design.

Change Evaluation allows comparison of the actual performance that is achieved by a new or changed service, with the performance that was predicted when the service was developed.

In order to assess performance, it is necessary to develop a consistent approach that allows verification of whether or not the new or changed service will have an impact, either positive or negative, on the business.

Having a standardized approach to the evaluation process will ensure the ability to compare results from each evaluation.

Once the results of the evaluation are understood, any deviations that are found can be managed. Risks and issues can be identified and managed as well.
## Objectives

The objectives that support the purpose ensure that the evaluations are carried out successfully.

These include:

- Set correct customer expectations regarding the change that is being made. This involves providing accurate and effective information to the stakeholders.
- Ensure that if there are adverse effects or risks from the change that these are identified and the change is not implemented without these being addressed.
- Assess both the intended and where possible, the unintended effects of the change. This may be affected by the constraints of capacity, resource and organization. Obviously as the unintended effects are unplanned and unexpected, this makes them potentially difficult to identify. But they may have a significant negative or positive effect on the outcome of the change, so need to be assessed.
- The process should deliver an evaluation report that allows for a successful decision making process following a change. The delivery of accurate and meaningful information is critical and gives a service provider the ability to decide whether or not the change will be accepted by the business.
The scope of Change Evaluation matches the requirement for the change to be authorised at regular intervals in its lifecycle.

Each change should be evaluated prior to an authorisation point, for example, before software is checked into the Definitive Media Library.

This will include engagement with changes during deployment, and there should be an evaluation completed prior to transition into the operational environment.

**Remember**

Change Evaluation is a formal process for evaluating the effects of a change. It should only be adopted when required by the scope, significance, risk and cost of the change.

Evaluation of a less significant change can be carried out as part of the normal change process.
Change Evaluation Value to Business

Change Evaluation provides considerable value to the business as it focuses on ensuring that the value of the service change is achieved.

When considering value in terms of Change Evaluation, it is important to look at the utility and warranty requirements of the change being delivered.

Change Evaluation identifies if the use of the resources employed to deliver the change result in the benefits that are required, in terms of availability, capacity, continuity and security.

The process also provides value in terms of predicting the future capability to deliver service, as it provides information that can be used to identify improvement opportunities. For example, understanding the information captured by Change Evaluation and using this for improvement of the Change Management process.

Continual Service Improvement can take significant intelligence from Change Evaluation, allowing improvements to be made in the prediction and measurement of service change performance.
There are a number of policies that can be applied to the Change Evaluation process. These refer to the way that Change Evaluation will be used in the Service Transition stage.

For example, there may be a policy statement that states all Service Designs or changes will be evaluated prior to transition.

The policies may specify the level of activity, according to the effect of the change. For example, only significant changes will be assessed via the formal Change Evaluation process. Suitable criteria must be developed to allow the classification of this level of change.

Evaluation should also include assessment of risks associated with the change and any potential effect on existing services.

One of the most important policies will be associated with the acceptance of the change, based on the predicted versus actual performance relating to utility and warranty.

**Remember**

If deviations are identified, the customer or customer representative decides if they will accept the change. There are only three possible choices:

1. Accept the change as it is, including any deviations from the predicted performance
2. Reject the change
3. Raise a new change, with the revised predicted performance agreed in advance
A key principle for Change Evaluation is to consider the unintended, as well as the intended, effects of the change.

It may be impractical to assess unintended effects completely, but where it is possible they should be included in the assessment.

This assessment should include the effects on existing shared services and infrastructure, as well as on the service being changed.

Another key principle is that service changes should be evaluated, fairly, consistently, openly and objectively.

Remember

The output from the process is an evaluation or interim evaluation report.

Reports should be produced at each point where authorization will take place, as part of the change process. This will ensure that the evaluation assists in the decision making for each authorisation.

Basic Concepts

Change Evaluation will make use of the Plan-Do-Check-Act model to ensure consistency in the approach to all evaluations.

Each evaluation will be planned and carried out in multiple stages. The results from the evaluations will be checked. If there are any issues found, actions will be taken to address them.
Change Evaluation has its own terms that it uses throughout the process.

This extract from the ST publication shows the key terms used in the process.

"Table 4.13 Key terms that apply to the change evaluation process"

<table>
<thead>
<tr>
<th>Term</th>
<th>Meaning</th>
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<tbody>
<tr>
<td><strong>Actual performance</strong></td>
<td>The performance achieved following a service change.</td>
</tr>
<tr>
<td><strong>Countermeasure</strong></td>
<td>The mitigation that is implemented to reduce risk.</td>
</tr>
<tr>
<td><strong>Deviations report</strong></td>
<td>A report of the difference between predicted and actual performance.</td>
</tr>
<tr>
<td><strong>Evaluation report</strong></td>
<td>A report generated by the change evaluation process, which is passed to change management and which comprises:</td>
</tr>
<tr>
<td></td>
<td>- A risk profile</td>
</tr>
<tr>
<td></td>
<td>- A deviations report</td>
</tr>
<tr>
<td></td>
<td>- A recommendation</td>
</tr>
<tr>
<td></td>
<td>- A qualification statement</td>
</tr>
<tr>
<td><strong>Performance</strong></td>
<td>The utilities and warranties of a service.</td>
</tr>
<tr>
<td><strong>Performance model</strong></td>
<td>A representation of a service that is used to help predict performance.</td>
</tr>
<tr>
<td><strong>Predicted performance</strong></td>
<td>The expected performance of a service following a service change.</td>
</tr>
<tr>
<td><strong>Residual risk</strong></td>
<td>The remaining risk after countermeasures have been deployed.</td>
</tr>
<tr>
<td><strong>Service capability</strong></td>
<td>The ability of a service to perform as required.</td>
</tr>
<tr>
<td><strong>Service change</strong></td>
<td>A change to an existing service or the introduction of a new service.</td>
</tr>
<tr>
<td>Term</td>
<td>Meaning</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Test plan and results</td>
<td>The test plan is a response to an impact assessment of the proposed service change. Typically the plan will specify how the change will be tested; what records will result from testing and where they will be stored; who will authorize the change; and how it will be ensured that the change and the service(s) it affects will remain stable over time. The test plan may include a qualification plan and a validation plan if the change affects a regulated environment. The results represent the actual performance following implementation of the change.&quot;</td>
</tr>
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The diagram below shows the steps of the Change Evaluation process:

* When change evaluation ends, the change management process is responsible for further activities

Figure 4.33 Change Evaluation process

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Triggers

The trigger for the Change Evaluation process comes from Change Management.

Change Evaluation can take place at any stage in the Change Management process. It may even be that an interim Change Evaluation report is requested, whilst the change is still being tested.

This will be used to check the progress of the change, and may identify alterations, which need to be completed before the change goes forward to deployment.

Inputs

The inputs for the process come from a number of areas.

There will be input from the Change Management process, as the request for change will provide information of the details of the change.

There will also be information about the change from the design lifecycle stage, captured in the Service Design package. This is the output from the design lifecycle stage, and contains plans for how the transition should take place. It will provide information about the service acceptance criteria for the change. This includes prediction of the performance for the change, so this is critical information for Change Evaluation.

A further input into Change Evaluation comes from Service Validation and Testing, in the form of test plans and results.

Service Validation and Testing verifies that the change is behaving according to the specifications of the design. The results of testing will provide an indication of the performance that is being achieved by the change.

This will provide information that can be used by Change Evaluation when comparing the predicted performance with the actual performance that is being achieved.

Evaluation Planning

Once the trigger has been received and the inputs have been collated, the evaluation can be planned. This is the first step in the process.
Evaluate Predicted Performance

Once the evaluation has been planned, the next step is to evaluate the predicted performance. This generates an interim report on the predicted performance and if this is acceptable the process moves on to the next step.

If it is not acceptable, then the report will go to Change Management for a decision about how to progress.

Evaluate Actual Performance

The next step following a successful report on the predicted performance is to evaluate the actual performance. This will generate an interim evaluation report.

If the performance is not acceptable, the output will be given to Change Management, and they will determine the next step.

Evaluation Report

If the evaluation is acceptable, then this will generate an evaluation report. A judgement will be made about closure of the change. If the evaluation recommends that the change cannot be closed, then the evaluation will continue at the next change authorisation point.
There are a number of activities that take place as part of the Change Evaluation process.

**Evaluation Plan**

When an evaluation plan is produced, it needs to cover a number of different perspectives. This is to ensure that the evaluation understands the intended and unintended effects of the change.

It is normal to expect a change to deliver beneficial effects, which are the intended effects.

<table>
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<tr>
<td>Intended effects should match the acceptance criteria for the change.</td>
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</table>

Unintended effects are more difficult to predict and identify, as they are unexpected. These unintended effects may not be beneficial, and may not be recognised even after the change goes live.

**Understanding the Intended Effect**

It is important that the evaluation process understands the intended effect of the change.

This requires analysis and understanding of the service change, customer requirements, and the Service Design package. It is important to understand the purpose of the change and the benefits that are expected from it.

This might include examples such as increased service performance, or a reduction in the cost of running a service.

Change Evaluation should identify if these benefits are actually achieved, and provide evidence to prove it.
Remember

The change documentation should specify the requirements of the change. It is important to include the specific measures applied to determine the effectiveness of the change.

If the measures are unclear, the evaluation should be stopped, and a recommendation not to proceed should be provided to Change Management.

Some changes may have a detrimental effect, but still need to be implemented. For example compliance with legislative requirements may incur additional work and costs, but non-compliance will be unacceptable. Sarbanes-Oxley legislation is a good example of this, as failure to comply results in legal action.

Understanding the Unintended Effect

Another part of Change Evaluation is understanding the unintended effects of a change, which were neither planned nor expected.

Remember

The effect of a change on the business and IT service provider environment cannot be fully evaluated without assessing these effects as well as the intended effect.

One of the most effective ways of identifying unintended effects is by talking to stakeholders. These are not just the customers, but also users of the service, those who maintain it, those who fund it, and anyone who has a specific interest in the service.

It will be important to explain what is being done and how the change has been implemented, and the intended benefits. This will ensure that stakeholders fully understand the implications of the evaluation and can therefore provide accurate feedback.
There are a number of factors that need to be considered when assessing the effects of a service change.

STORMPUP “The acronym used to identify the factors when assessing the effects of a service change”.

This extract from the ST publication shows STORMPUP:

**“Table 4.14 Factors to consider when assessing the effect of a service change”**

<table>
<thead>
<tr>
<th>Factor</th>
<th>Evaluation of service design</th>
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<tbody>
<tr>
<td><strong>S – Service provider capability</strong></td>
<td>The ability of a service provider or service unit to perform as required.</td>
</tr>
<tr>
<td><strong>T – Tolerance</strong></td>
<td>The ability or capacity of a service to absorb the service change or release.</td>
</tr>
<tr>
<td><strong>O – Organizational setting</strong></td>
<td>The ability of an organization to accept the proposed change. For example, is appropriate access available for the implementation team? Have all existing services that would be affected by the change been updated to ensure smooth transition?</td>
</tr>
<tr>
<td><strong>R – Resources</strong></td>
<td>The availability of appropriately skilled and knowledgeable people, sufficient finances, infrastructure, applications and other resources necessary to run the service following transition.</td>
</tr>
<tr>
<td><strong>M – Modelling and measurement</strong></td>
<td>The extent to which the predictions of behavior generated from the model</td>
</tr>
<tr>
<td>Factor</td>
<td>Evaluation of service design</td>
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</tr>
<tr>
<td></td>
<td>match the actual behavior of the new or changed service.</td>
</tr>
<tr>
<td>P – People</td>
<td>The people within a system and the effect of change on them.</td>
</tr>
<tr>
<td>U – Use</td>
<td>Will the service be fit for use? Will it be able to deliver the warranties? Is it continuously available? Is there enough capacity? Will it be secure enough?</td>
</tr>
<tr>
<td>P – Purpose</td>
<td>Will the new or changed service be fit for purpose? Can the required performance be supported? Will the constraints be removed as planned?“</td>
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There are further activities that take place as part of the Change Evaluation process, which include the evaluation and comparison of the predicted and actual performance of the change.

Evaluation of Predicted Performance

The evaluation of the predicted performance of a change includes a risk assessment. This is based on the information from the customer requirements, including the acceptance criteria, the predicted performance, and the performance model.

Risk Assessment

The output from the risk assessment will be an interim evaluation report, which will be sent to Change Management.

The interim report will include the outcome of the risk assessment, and the comparison of the predicted performance and acceptance criteria.

The report will contain a recommendation to reject or accept the service change, in its current state.

If the report recommends that the change should be rejected because of enhanced risks or failure to meet acceptance criteria, then all activities will end at this point. Change Management, not the Change Evaluation process, will make any decisions on the next steps.

If the recommendation is to accept the change, the decision still rests with Change Management for the next steps. The evaluation will pause until the Change Management process authorises the next stage.

Remember

Change Management will retain responsibility for authorisation and decision making utilising the output from the Change Evaluation process
Evaluation of Actual Performance

Evaluation of actual performance is carried out before each step in the change. Obviously, the extent to which this can be completed will depend on how far the change has got in its lifecycle towards completion.

<table>
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<tbody>
<tr>
<td>The same approach is adopted as was used for the assessment of the predicted performance. This includes a risk assessment and comparison of the actual performance and the acceptance criteria.</td>
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The results of the evaluation are sent to Change Management, in the form of an interim evaluation report. The contents will include a recommendation, based on the results of the risk assessment, and the comparison of actual performance and acceptance criteria.

Decisions will be made based on the recommendation of the interim report, and as before, Change Management makes these decisions.

If the decision from the recommendation is to cease the change, then all activity will stop. If it is to continue, then activity will carry on after the next change authorisation point.

Once the change has been implemented, the same approach will be adopted for the assessment of the actual performance in operations.

An interim report will be produced for Change Management if the service change is showing unacceptable levels of risk or performance, recommending rejection of the change.

If the risk assessment shows an acceptable level of risk and performance, then an evaluation report will be sent to Change Management.

Risk Assessment

Each organisation should have its own consistently applied approach to risk management. These are commonly based on best practice approaches.

It does not matter which risk management approach is being used as long as it’s effective. The purpose of risk management in Change Evaluation is to assess risks related to the service change.
This includes assessment of the existing risks within a service and the predicted risks following the implementation of the change.

The results of the risk analysis will identify the next actions. If the risk level has increased then it will be necessary to mitigate against the risk, using risk management.

This may include steps to eliminate a potential threat or a weakness. In some cases, where the business is dependent on the service, additional measures to increase resilience may be employed.

Following mitigation, there should be a further risk assessment, and the original results will be compared with the new results. This will identify any residual risks, which are those that remain after mitigation. This cycle of review will allow for the risks to be managed and reduced to an acceptable level for the business.

When considering risks in Change Evaluation, it’s important to bear in mind that the level of risk should be appropriate for the benefits that are expected. The tolerance or appetite of the business for risk should also be considered.

In an ideal situation, every change will lead to a reduction in risk, but the business may decide to accept a higher level of risk if the benefit will provide sufficient commercial or competitive business advantage.

If the level of risk is not acceptable, then evaluation will recommend the rejection of the proposed service change. If the change has been implemented, then the report will recommend the back-out plan is used.

**Remember**

Once the two evaluations (for predicted performance and actual performance) have been completed and passed, their results are compared.

At this point the risk assessment should have determined that there are no unacceptable risks.
Deviations Report

The output from this activity is a deviations report, which will cover all of the factors in “STORMPUP”. It will identify the extent of the deviation for each of these factors.

The test plan and results from the Service Validation and Testing process provide the evidence of the actual performance of the service, following the implementation of a service change.

Test results are made available to Change Evaluation and used as described in the evaluation of the actual performance.

Qualification and Validation

In some circumstances, such as a regulated environment like defence or pharmaceuticals, it may be necessary to provide a statement of qualification and/or a validation status following a change.

The diagram shows the inputs to these activities, the qualification plan and results and/or validation plan and results.

![Diagram](image)

Figure 4.34 Context for qualification and validation activities

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The evaluation process ensures that the results meet the requirements of the plans. A qualification and/or validation statement is provided as output.
The final output from the process is the evaluation report, which is provided to Change Management.

The contents of the Evaluation Report include:

**Risk profile**

This section is the representation of the residual risk left after the change has been implemented, following the application of any countermeasures.

**Deviations**

This is the difference between the predicted and actual performance following the implementation of a change.

**Qualification Statement**

After review of the qualification test results and plan, a statement is issued regarding the state of the service after the implementation of the change.

The qualification statement provides a formal statement about the IT infrastructure. It identifies if the infrastructure is appropriate and correctly configured to support the service or application.

**Validation Statement**

Once the validation test results and plan have been reviewed, a statement of whether or not the service can be validated following the change is issued. This formally states that the new or changed service or application meets a documented set of requirements.

**Recommendation**

The final section of the report is the recommendation.

Based on the other sections of the report, this will recommend either acceptance or rejection of the change. This is the output that Change Management requires for decision-making.
This section covers the process management considerations for the Change Evaluation process.

**Triggers**

The trigger for Change Evaluation is a request from Change Management for an evaluation to take place. This can be an interim or final evaluation.

**Inputs**

The inputs to the process include the Service Design Package, which includes the service acceptance criteria and service charter.

There will also be inputs from the Change Management process, such as requests for change, change records, detailed change documentation and change proposals.

Further input will be provided from test plans and results, and discussions with stakeholders for the change.

**Outputs**

**Remember**

The outputs are:

- The interim evaluation reports for Change Management
- The evaluation report for Change Management

**Interfaces**

Change Evaluation is part of the overall approach for managing significant Service Transitions. It will have a close relationship with Transition Planning and Support, to ensure that the relevant resources are available when required.
Obviously, the Change Evaluation process must have very close connections with the Change Management process. In order to make this process useful, there must be an agreement on which types of change will be subject to the Change Evaluation process. It is important to ensure that there are adequate resources and timescales included in the planning for a change if Change Evaluation is to be employed.

Change Management provides the trigger for the Change Evaluation process, and the evaluation report should be delivered to Change Management so that it can be included as an input to the Change Advisory Board decision-making.

**Remember**

Change Evaluation has interfaces to Service Transition processes and processes in other Lifecycle stages

Other process interfaces include the design coordination process - for the production of the Service Design package.

Service Level Management and Business Relationship Management will provide an understanding of business impact for any issues identified as part of the evaluation. These processes will also assist in the arrangement of customer or user resources if these are needed to help carry out the evaluation.

Information will also be provided by the Service Validation and Testing process, in the form of test plan and results. Careful coordination of the process activities is needed to ensure that inputs are received at the appropriate time.

**Information Management**

Information management will play a key role in managing the output documentation from the process, and will also be a source of information as an input.

Evaluation reports should be checked into the Configuration Management System, and soft-copy versions of the report should be stored in the Service Knowledge Management System.
Critical Success Factors and Key Performance Indicators

As with all service management process, Change Evaluation should be monitored, measured and improved.

When considering measurement of the Change Evaluation process, it is important to remember that each organisation needs to identify appropriate critical success factors based on the objectives for the process.

These are some examples of Critical Success Factors and associated Key Performance Indicators to support them. These should only be used after very careful consideration of the organisational goals. CSFs and KPIs will provide the opportunity to identify improvements, which should be logged in the CSI register.

- **CSF** Stakeholders have a good understanding of the expected performance of new and changed services
  - **KPI** Reduced number of incidents for new or changed services due to failure to deliver expected utility or warranty
  - **KPI** Increased stakeholder satisfaction with new or changed services as measured in customer surveys

- **CSF** Change management has good quality evaluations to help them make correct decisions
  - **KPI** Increased percentage of evaluations delivered by agreed times
  - **KPI** Reduced number of changes that have to be backed out due to unexpected errors or failures
  - **KPI** Reduced number of failed changes
  - **KPI** Increased change management personnel satisfaction with the change evaluation process as measured in regular surveys.”
Exercise – Challenges for Change Evaluation

This Lesson included an Exercise to look at the challenges for Change Evaluation. If you didn’t have time to complete the exercise during the Lesson, why not attempt it now?

Exercise

Change Evaluation isn’t a priority at Seylon Ordnax, but some of the management team see it as a possible quick win and easy to implement.

What challenges would you face implementing Change Evaluation at Seylon Ordnax? How might you overcome them?

Exercise Solution

Service management is not very mature at Seylon Ordnax, this will cause a number of challenges in implementing Change Evaluation. Some of the typical challenges for this situation are listed below, with some suggested solutions.

- Lack of Change Management process in place in Seylon Ordnax
  - Implement Change Management with the authority to make decisions, and engagement with business

- Forecasting and predicting performance, as there is little evidence of existing performance measurement on which to base estimations
  - Ensure all staff understand the need to capture accurate information as part of the operational role

- Risk management, as the Head of IT’s approach is to be seen as dynamic and responsive, and this is likely to lead to an increased perception of risk tolerance or appetite
  - Implement and adopt a risk management approach which reflects the risk tolerance or appetite of the business, rather than the IT department

- Understanding the perspectives of the stakeholders across all of the business units - Central Operations, Web Sales, Branch Sales and Customer Services
  - Develop a working business relationship throughout the IT and
Business departments
You may have these or other challenges and solutions. Compare these with the guidance provided by the framework in the next section.

**Challenges**

The challenges to Change Evaluation include:

- The development of standard performance measures and measurement methods across projects and suppliers
- Understanding the different perspectives of the stakeholders, so that risk management can be carried out successfully for Change Evaluation activities
- Assessing the balance between managing and taking risks, and how this affects the overall strategy of the organisation and service delivery. This will include taking a pragmatic and measured approach to risk
- Measuring and demonstrating less variation in forecasting and predictions during and after transition
- Communication is always challenging, particularly when dealing with the overall approach to risk management across the organisation. It is important to ensure that all stakeholders are aware of the risk management approach and to encourage a culture where people share information. This will include ensuring there is a comprehensive understanding of risks that may have an adverse effect on the successful Service Transition of services

**Risks**

The risks associated to the process include:

- A lack of clear criteria for when Change Evaluation should be used, and unrealistic expectations of the time required to carry out evaluations
- A lack of experience or authority in those who are carrying out and making recommendations to change authorities
- Delays to projects, or inaccurate predictions of scheduling dates by projects or suppliers, which in turn cause delays in scheduling Change Evaluations