

User Guide for Submitters

Scope: BOR	Revision Date: 5/8/2015
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1. Introduction

The purpose of Change Management at the Connecticut State Colleges and Universities (ConnSCU) Board of Regents (BOR) System Office is to ensure that standardized methods and procedures are used for efficient and prompt handling of all changes associated with Information Technology (IT) services offered to the ConnSCU institutions.

The system that manages the Change Management process is FootPrints. We have used the FootPrints Change Management module to customize a workspace, called BOR Change Management that is designed to track, manage, control, and automate the change process. It is a rule-based system with a complete approval and voting process to automate the stages of approval. This ensures that the appropriate changes are communicated, reviewed, approved by the defined CAB, and adopted in a timely manner.

This document provides RFC Submitters with instructions on how use the Change Management System in FootPrints to manage RFCs (draft, submit, implement, etc.). The BOR Change Management workspace contains the RFCs. This document and all CM documents can be found on the [CM website](#).

2. Submitter Responsibilities

The RFC Submitter is the IT professional who is requesting the change that is described in the Request for Change (RFC). It is the responsibility of the submitter to provide a concise and complete RFC, with appropriate lead times, in the CM System. It is also the submitter's responsibility to implement the change and manage the RFC with the appropriate statuses.

3. Overview of the RFC Process

Here is an overview of the RFC process for a Submitter:

- Step 1.** Draft RFC: A Request for Change (RFC) is drafted within the BOR CM Workspace
- Step 2.** Submit RFC for Approval: Once the draft is ready to be sent to the CAB, the "Ready to Submit RFC" is checked for voting to start.
- Step 3.** Internal CAB Vote: The RFC is voted on by the Internal CAB.
- Step 4.** If approved by the Internal CAB and the change impacts services offered to one or more ConnSCU institutions, then it needs to go to the External CAB (Step 5) for approval. If it only impacts the ConnSCU System Office, then it can go directly to Step 6.
- Step 5.** External CAB Vote: The RFC is voted on by the External CAB.
- Step 6.** If approved by the necessary CAB(s), the submitter can move forward with the change. The submitter must update the RFC regularly during the lifecycle of the change.

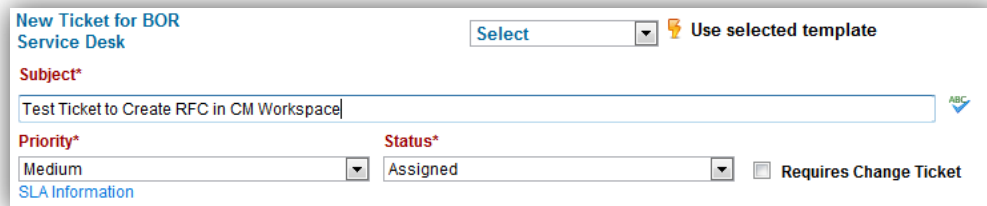
4. Creating the RFC

An RFC can be created by either A) a ticket in the BOR Service Desk workspace or B) directly from within the BOR Change Management workspace. **In most instances, option B would be used.**

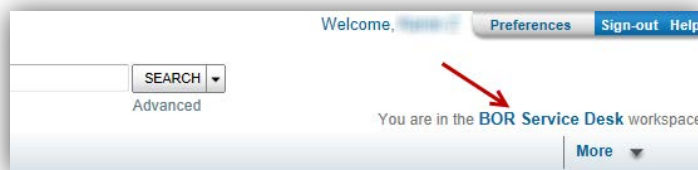
4.1. Creating an RFC from a BOR Service Desk Ticket

An RFC may be initiated from the BOR Service Desk workspace via a new ticket or an existing ticket:

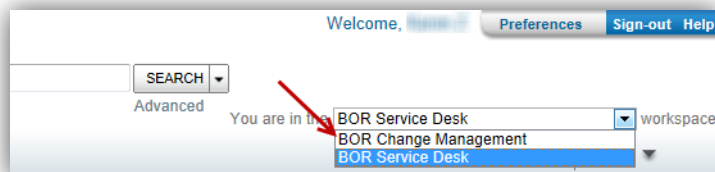
1. Launch a browser and go to <http://servicedesk.ct.edu>.
2. Enter your network logon credentials at the login screen. You will then be at the Home screen in the BOR Service Desk workspace.
3. Click “New Ticket” or edit an existing ticket that you have access to.
4. Fill in the new ticket information or update the ticket’s details as appropriate.
5. Before the ticket is saved, enable the “Requires Change Ticket” field:



6. The ticket will be saved in the BOR Service Desk workspace as normal, but will also generate a new RFC in the BOR Change Management workspace.
7. Change to the BOR Change Management workspace by clicking the current workspace name (upper right hand corner):



Then select **BOR Change Management** from the list of available workspaces:



8. The RFC will already be created and will have you listed as the RFC’s submitter (i.e. your information will be in the Contact Information tab) and you will also be listed as an assignee.

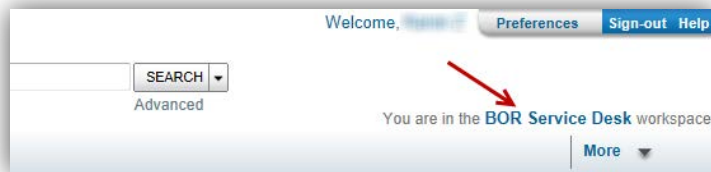
9. Proceed to the “Drafting the RFC” section.

4.2. Creating an RFC Directly From the BOR Change Management Workspace

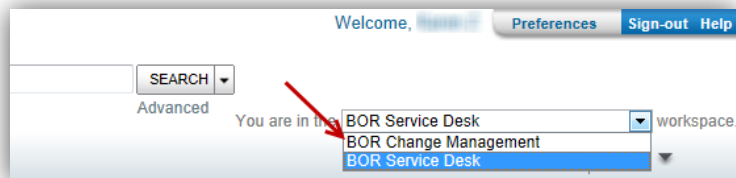
The first email in the voting process is the “Voting Has Started” email. This email contains the following information:

1. Launch a browser and go to <http://servicedesk.ct.edu>.
2. Enter your network logon credentials at the login screen. You will then be at the Home screen.

If you already use the FootPrints system for other workspaces, you will be in your primary workspace and will need to change to the **BOR Change Management** workspace by clicking the current workspace name (upper right hand corner):



Then select BOR Change Management from the list of available workspaces:



If you don't use the Footprints system for other workspaces, you will automatically be in the BOR Change Management workspace.

3. In the menu, click “New RFC” to create a new RFC:



4. Proceed to the next section, “Drafting the RFC”.

5. Drafting the RFC

When drafting the RFC, you need to take the time to provide detailed information regarding the change, to ensure the CAB has the necessary information to vote on the RFC based on the acceptable risk and impact of the change. Whether an RFC is created from a ticket in the BOR Service Desk or directly from within the BOR Change Management workspace, all RFCs start out with **Draft** status:

New RFC for BOR Change Management

Select Use selected template

Subject*

Type of Change* Status*

Normal Draft

A checkmark next to **Ready to Submit RFC** will send this RFC to the appropriate Change Advisory Board for voting.

Ready to Submit RFC

RFCs with a Draft status can be saved after all required fields are filled in and reviewed by others (e.g. Director, supervisor, team members, etc.) and re-edited as long as “Ready to Submit RFC” is not checked. Having “Ready to Submit RFC” selected is what sends the RFC to the appropriate CABs for review. See “Submitting the RFC for Approval” section for more details.

Filling in each of the RFC sections

The RFC is broken into multiple sections: a top header that is always displayed and five (5) tabs you can switch between in the left menu that will show you different fields on each tab:

SAVE Help

New RFC for BOR Change Management

Select Use selected template

Subject*

Type of Change* Status*

Normal Draft

A checkmark next to **Ready to Submit RFC** will send this RFC to the appropriate Change Advisory Board for voting.

Ready to Submit RFC

SAVE

SAVE

Help

Top header

Tabs

Contact Information*

RFC Information*

Working Notes

Attachments

Assignees and Notifications

Last Name*

First Name*

Email Address*

Phone*

Title*

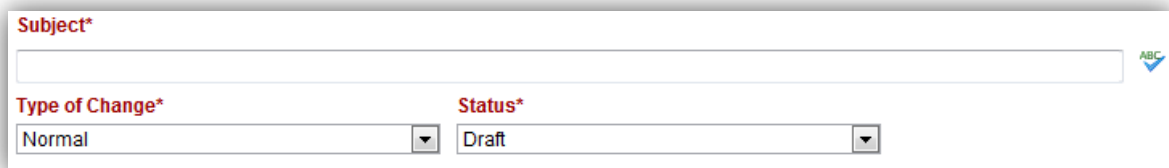
Department*

Cellular/Personal*

Most of the fields in the RFC are required. These are marked in **Red***. Tabs that contain required fields are marked in red as seen above. All required fields need to be filled in before the RFC can be saved.

Top Header:

The top header is always displayed and contains the following required fields:

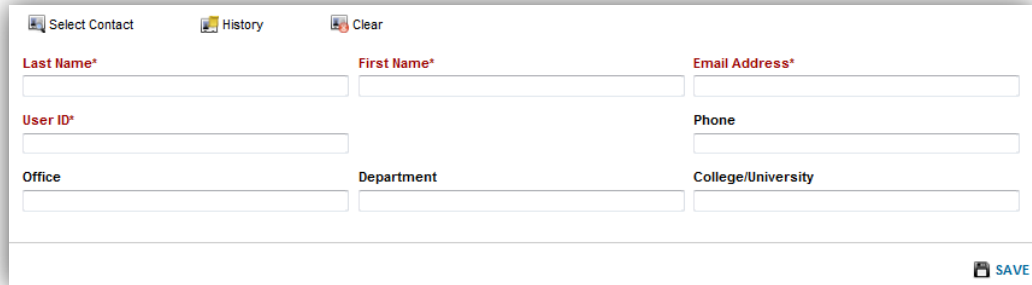


The screenshot shows a form with three required fields marked in red. The first field is 'Subject*' with a text input box. The second field is 'Type of Change*' with a dropdown menu showing 'Normal'. The third field is 'Status*' with a dropdown menu showing 'Draft'. There is a small 'ABC' icon in the top right corner of the form area.

- **Subject*** – This is the title of the RFC.
- **Type of Change***
 - Normal** This is a request that requires two weeks (10 normal business days) advance notice and follows the complete process of Change Management where the RFC is recorded, assessed and then approved or disapproved by the CAB(s).
NOTE: The majority of requests are of this type.
 - Expedited** This is a request for a change that must be implemented in the shortest possible time for business or technical reasons. While it is not as critical as an Emergency RFC, it must be processed in a faster manner than a Normal RFC. The notice period for this change is in the range of 24 hours (real time) to two weeks (10 normal business days). It follows the complete process of a Normal RFC, with the exception that the expedited voting times are as follows:
 - Emergency** This is a request for a change that occurs when immediate action is required to resolve a major incident, unplanned outage or security concern. It is normally implemented in less than twenty-four hours.
 - Standard** This is a request for a change that is recurrent, well known, and has been proven to follow a pre-defined, relatively risk-free implementation. These requests must be submitted to the CAB(s) to be approved as a Standard RFC. Voting and deadlines for the Standard RFC fall under the framework of a Normal RFC. Changes in an approved Standard RFC no longer require the CAB(s) approval on a case-by-case basis.
- **Status*** – At this point your only status option is Draft. Other statuses are available after the RFC goes through the voting process.

Contact Information* tab:

This is the contact information for you, the “RFC Submitter”. You can enter partial information into some of the fields (last name, User ID) and use the Select Contact button to complete the contact information.

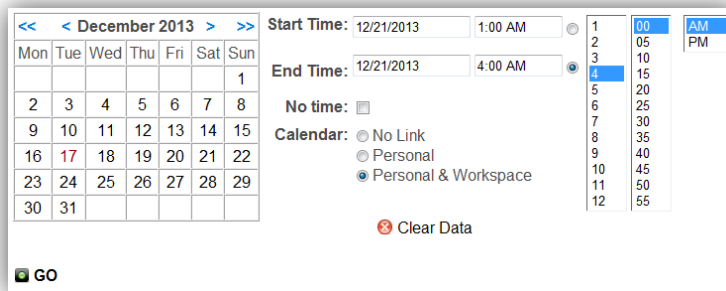


The screenshot shows a form with the following fields and controls:

- Buttons: Select Contact, History, Clear
- Fields: Last Name*, First Name*, Email Address*, User ID*, Phone, Office, Department, College/University
- SAVE button

RFC Information* tab:

- The **Implementation Date/Time*** field should accurately reflect when you as the submitter intend for the change to occur. Click on the calendar symbol to launch a pop-up box to set both the start and end date/time:

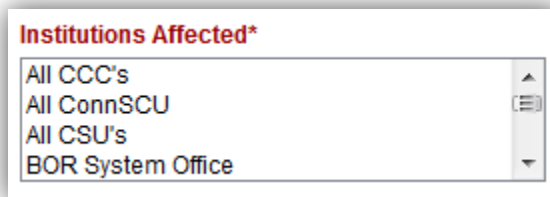


The screenshot shows a pop-up box for setting the Implementation Date/Time* field. It includes:

- Calendar: December 2013
- Start Time: 12/21/2013 1:00 AM
- End Time: 12/21/2013 4:00 AM
- Calendar options: No Link, Personal, Personal & Workspace (selected)
- Clear Data button
- GO button

1. The radio button defaults to setting the date and time of the Start Time first. Use the Calendar to set the date; and then the hour and minute fields to set the time.
2. Change the radio button to End Time and set the end date and time (may be same day) using the same calendar and hour and minute fields.
3. Choose ‘Personal & Workspace’ for the Calendar option.
4. Click ‘Go’ to input

- The **Institutions Affected*** field will determine whether the RFC continues on to the External CAB after the Internal CAB approval.



If the change will only impact BOR System Office, then select BOR System Office. If the change will impact any other institution, select the applicable entries. To select more than one entry, hold down the Ctrl key and click multiple entries. All institutions that are part of ConnSCU are listed.

- **Description of Change*** – A description that includes the details and purpose of the change.
- **Objectives/Benefits*** – This details the goal of the change and its benefits.
- **Implementation Plan*** – This multiple line input box should have a step-by-step set of instructions detailing how the proposed change will be implemented and tested. Level of detail must be sufficient for a person with similar skill to execute the implementation successfully and be understood by all reviewers/approvers.
- **Expected Impact*** – Choose from the pull-down options, the one that is applicable to the change:
 1. None - No impact is expected. Change is transparent to customers.
 2. Low – Minimal impact lasting less than 1 hour
 3. Medium - Minor impact lasting 1 to 4 hours.
 4. High - Major impact lasting over 4 hours.
- **Describe Impact*** – This multiple line input box will be used to explain the impact of this change in plain English. This should include any anticipated impact to customers, services, policies or procedures.
- **Backout Risk*** – Choose from the pull-down options, the one that is applicable:
 1. No Backout Plan
 2. Direct - There is a defined route to reverse the change.
 3. Difficult - Reversal of the change will involve additional service interruption time.
 4. Impossible - There is no route to reverse the change.
- **Mitigation/Role Backout Plan*** – This multiple line input box should be used to outline a contingency plan of step-by-step information on how the proposed change will be backed out if the change does not go as planned. Level of detail must be sufficient for a person with similar skill to execute the implementation successfully and be understood by all reviewers/approvers.

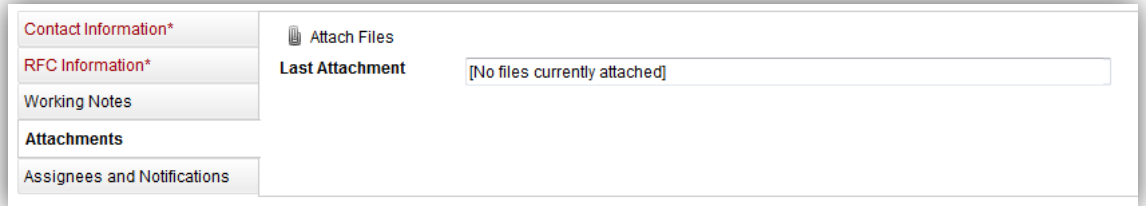
Working Notes tab:

The Working Notes tab is required only after the RFC has been approved, not during the RFC drafting stage. It provides an area for the submitter to add details on the change.

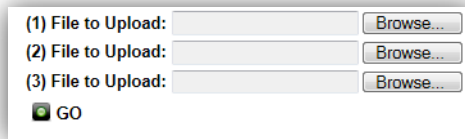
Attachments tab:

You should attach any supporting documentation to the RFC:

1. Select the Attachments tab in the RFC and then click “Attach Files”:



2. In the “Upload a File Attachment” window. Click the “Browse...” button and browse to the file. Click “Open” to attach the file. You may continue adding files (up to three). When done, click “Go”:



3. The RFC will now contain the attached files.

Assignees and Notifications tab:

The assignees area of the RFC includes the IT groups/staff that will be involved in the implementation. By default, the IT Division that you work in will be assigned to the RFC. Those included in the assignees area will also receive notifications.

Saving the Draft RFC

Once you have finished filling out all the RFC fields you can save the RFC by clicking the “SAVE” button. An RFC can be worked on while in Draft status for as long as is needed.

6. Submitting the RFC for Approval – Normal/Expedited versus Standard RFC's

With the introduction of Standard Change requests there are now two different types of methods to submit an RFC. It is important that the Submitter understand the difference since the requests while similar in process will have very different results.

RFCs where work will be performed – Normal and Expedited RFCs are submitted for a vote and upon approval work will be performed on a specific date.

RFCs where work will not be performed – Standard RFCs are submitted for a vote and upon approval work will NOT be performed. The approval by the CAB(s) grants the Submitter the authorization to perform this specific type of work at a later date without requiring a vote.

To Submit a Normal or Expedited RFC

Once the RFC is complete and ready for CAB voting, open the RFC, check the “Ready to Submit RFC” field in the top header and save the RFC. This will start the voting process:

The screenshot shows a web form titled "New RFC for BOR Change Management NP". At the top right, there is a "Select" dropdown menu and a "Use selected template" button. Below the title is a "Subject*" text input field. Underneath are two dropdown menus: "Type of Change*" set to "Normal" and "Status*" set to "Draft". There are two columns of explanatory text. The left column states: "A checkmark next to **Ready to Submit RFC** will send this RFC to the appropriate Change Advisory Board for voting." The right column states: "An RFC submitted as a Standard Change must be Normal type, recurrent and follow a pre-defined relatively risk-free implementation. If approved, a quick template will be generated to facilitate future RFC's of this type. A Standard change can be performed without a voting procedure." At the bottom left, the checkbox "Ready to Submit RFC" is checked and highlighted with a red box, with a red arrow pointing to it. At the bottom right, there is a "Submit as Standard Change?" dropdown menu set to "No".

To Submit a Standard RFC

Once the RFC is complete and ready for CAB voting, open the RFC, check the “[Ready to Submit RFC](#)” and change the [Submit as Standard Change?](#) pull-down to [Yes](#) and then save the RFC. This will start the voting process:

The screenshot shows a web form titled "New RFC for BOR Change Management NP". At the top right, there is a "Select" dropdown menu and a "Use selected template" button. Below the title is a "Subject*" text input field. Further down are two dropdown menus: "Type of Change*" set to "Normal" and "Status*" set to "Draft". Below these are two columns of explanatory text. At the bottom, there are two highlighted elements: a checkbox labeled "Ready to Submit RFC" which is checked, and a dropdown menu labeled "Submit as Standard Change?" set to "Yes". Red arrows point to these two elements from the right.

7. The Voting Process

Once the RFC has been submitted for approval, the appropriate CABs will review the change and vote to approve or disapprove the RFC. The RFC may be voted on by both CABs if its impact extends beyond the BOR System Office. The first vote will be by the Internal CAB, represented by designees in each division of IT at the BOR System Office. The second vote will be by the External CAB made up of representatives of each ConnSCU Institution’s IT Department.

7.1. Submit for Approval Status

An RFC with a Submit for Approval status will remain in this status until the voting period has finished. Depending on the RFC’s Type of Change (normal, standard, expedited and emergency) this period of time may be as long as 5 days or as short as a few hours.

7.2. Notification of Voting Decisions

As the submitter you will receive an email notification when a vote decision occurs. These are the points where an email should be expected:

- When the Internal CAB votes to Approve or Reject
- When the External CAB votes to Approve or Reject

Sample Normal RFC Approval Email:

THIS RFC HAS BEEN APPROVED BY THE INTERNAL CAB.

Since the change does not impact services offered to one or more ConnSCU Institutions, External CAB voting is not required.

Request for Change (RFC) Details

RFC Number: 34
RFC Name: Test RFC for Documentation

Type of Change	Normal
Description of Change	Test Description

For full details you can follow this [RFC link](#)
Access to the Change Management Workspace is required.

Sample Standard RFC Approval Email:

THIS RFC HAS BEEN APPROVED BY THE INTERNAL CAB TO BECOME A STANDARD RFC.

Since the RFC does not impact services offered to one or more ConnSCU Institutions, External CAB voting is not required.

This Standard RFC will no longer require the CAB(S) approval on a case-by-case basis. RFCs of this type will be PRE-APPROVED, however, appropriate notifications will still be required.

Standard Request for Change (RFC) Details

RFC Number: 105
RFC Name: Standard Change Test for Doc

Type of Change	Standard
Description of Change	This is a request for this RFC to become a Standard Change.

For full details you can follow this [RFC link](#)
Access to the Change Management Workspace is required.

8. After the Vote

There are two paths that will be followed after voting process has completed.

Normal and Expedited tickets – Depending on the results of all required CAB voting (Internal and/or External,), the Submitter will proceed with implementing the change, revising the RFC for resubmission, or withdrawing the RFC. An approved voting decision does result in work being performed by the Submitter.

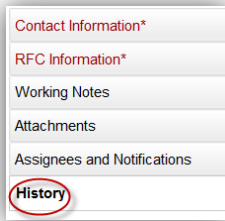
Standard Change Requests tickets – Depending on the results of all required CAB voting (Internal and/or External) the Submitter wait for a Standard Change template to be generated, revise the RFC

for resubmission, or withdraw the RFC. An approved voting decision does not result in work being performed by the Submitter.

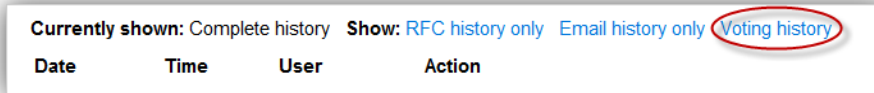
Reviewing Voting Results

Once the vote is complete, the Submitter may need to review the voting results in the RFC. In most cases this will follow a disapproval vote. Follow these steps:

1. Open up the RFC
2. Select the **“History”** tab in the left column:



3. Select **“Voting History”** to see the voting results, which includes the comments.



4. Review the comments for any feedback on the RFC. **This is where you will find any changes that may need to be made for an RFC that was rejected (Disapprove vote).**

A table showing voting history with columns: Date, Time, User, Process, Phase, Vote, and Comment. The table contains six rows of data. The 'Disapprove' row is highlighted with a red border.

Date	Time	User	Process	Phase	Vote	Comment
01/31/2014	3:44 PM	BOR Business InfoSys	Normal Internal CAB - Send to External CAB	Internal CAB Approval	Approve	Approved - Joe McAuliffe
01/31/2014	3:48 PM	BOR Telecom-Operations	Normal Internal CAB - Send to External CAB	Internal CAB Approval	Approve	Approved - Aust
01/31/2014	4:55 PM	BOR Learning Technologies	Normal Internal CAB - Send to External CAB	Internal CAB Approval	Approve	OK.
02/01/2014	7:46 AM	BOR Systems-Infrastructure	Normal Internal CAB - Send to External CAB	Internal CAB Approval	Approve	Ryan N
02/01/2014	12:18 PM	BOR Support Services	Normal Internal CAB - Send to External CAB	Internal CAB Approval	Disapprove	It seems like this has the possibility of impacting all services running at 39, which would impact all 17 institutions. It says no blackout plan, but there seems to be one explained, so this needs to be changed.
02/01/2014	12:18 PM	BOR Support Services	Normal Internal CAB - Send to External CAB	Internal CAB Approval	Approve	

Depending on how the CAB has voted, you as the submitter will be heading down one of four paths:

- Proceeding with implementation of the change
- Revising your change for resubmission
- Withdrawing the change

- Utilize an approved Standard RFC

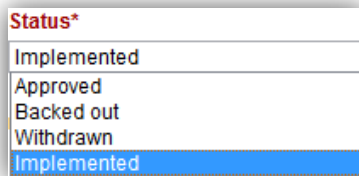
8.1. Approved Status Lifecycle

This status is used to indicate that the RFC went through the required CAB voting process and was approved for implementation. Approval has been given to proceed with the implementation plan and date as detailed in the RFC. From this status, it may go on to an *IMPLEMENTED*, *BACKED OUT*, or *WITHDRAWN* status. For Standard Change approvals, the process is automated. *TEMPLATE* and *PRE-APPROVED* are utilized.

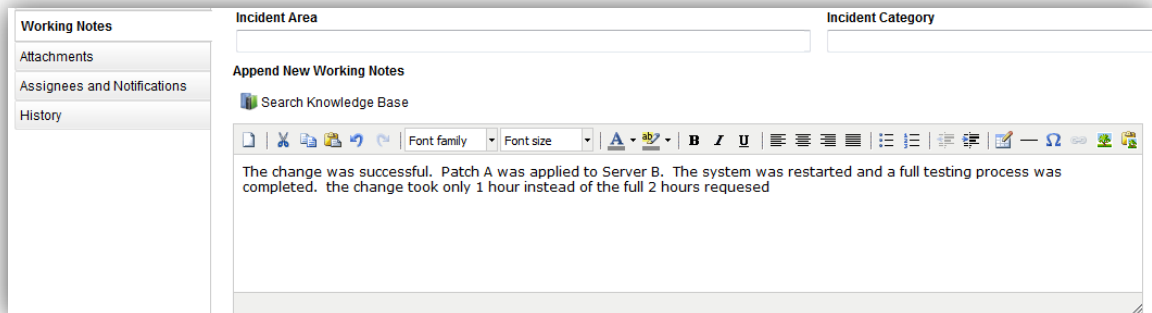
Implemented

The *Implemented* status is set when an RFC has gone through the approval process and has been implemented as described in the RFC. NOTE: an RFC with an *Implemented* status can be changed to a *Backed Out* status if needed within the implementation window, however this should be a rare situation as back-out plans should not be used after the implementation window.

1. Edit the RFC and change the Status pull-down to *Implemented*:



2. Add information to the Working Notes tab. This field must be used by the submitter for the purpose of documenting how the change was implemented (as proposed, with these issues, etc.). Any issues or unforeseen obstacles should be documented at the time of implementation.

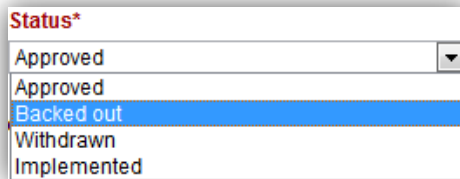


3. Save the RFC. This RFC is now complete.

Backed Out

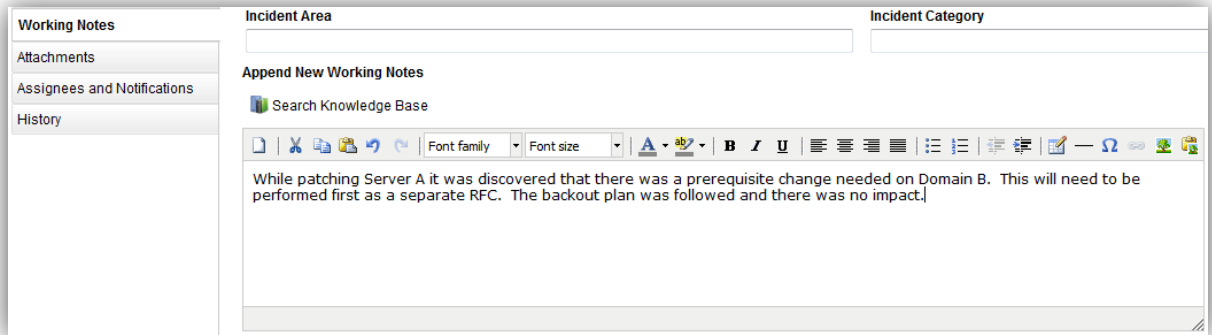
This status is used to indicate that an RFC has gone through the approval process and was attempted to be implemented or was implemented but needed to be backed out as per the back-out plan. This could be due to some unforeseen consequences or impediment. This status is only available from an *Implemented* or *Approved* status.

1. Edit the RFC and change the Status pull-down to *Backed out*:



A screenshot of a dropdown menu titled "Status*" with a red asterisk. The menu is open, showing four options: "Approved", "Backed out", "Withdrawn", and "Implemented". The "Backed out" option is highlighted with a blue background.

2. Add information to the Working Notes tab. This field must be used by the submitter for the purpose of documenting why the back out plan was utilized and if there was any impact.



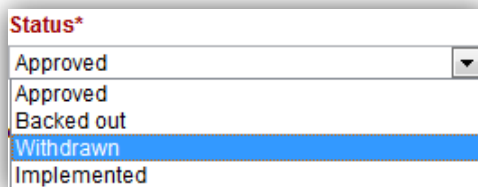
A screenshot of a software interface showing the "Working Notes" tab. The interface includes a sidebar with "Attachments", "Assignees and Notifications", and "History". The main area has "Incident Area" and "Incident Category" fields. Below these is a "Append New Working Notes" section with a "Search Knowledge Base" button. A rich text editor toolbar is visible, and the text area contains the following text: "While patching Server A it was discovered that there was a prerequisite change needed on Domain B. This will need to be performed first as a separate RFC. The backout plan was followed and there was no impact."

3. Save the RFC. This RFC may go back to Draft status or be Withdrawn.

Withdrawn

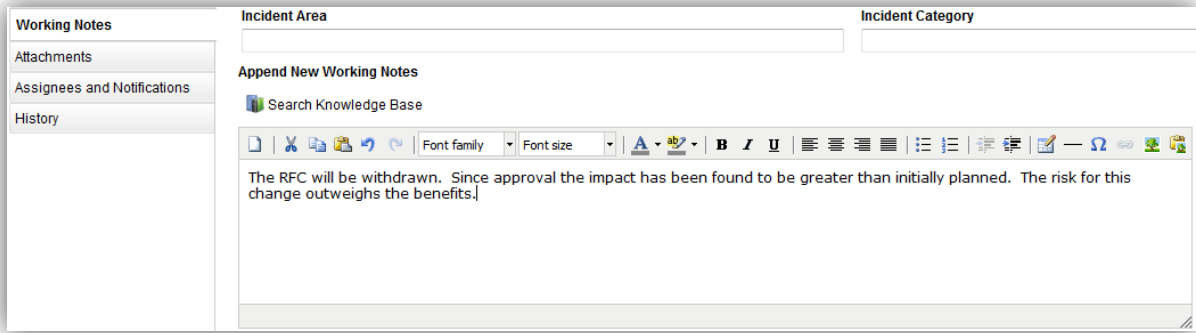
This status is used when an RFC needs to be withdrawn.

1. Edit the RFC and change the Status pull-down to *Withdrawn*:



A screenshot of a dropdown menu titled "Status*" with a red asterisk. The menu is open, showing four options: "Approved", "Backed out", "Withdrawn", and "Implemented". The "Withdrawn" option is highlighted with a blue background.

2. Add information to the Working Notes tab. This field must be used by the submitter for the purpose of documenting why the ticket was withdrawn.



3. Save the RFC. This RFC is now complete with a *Withdrawn* status.

Template

This status is automatically assigned after a Proposed Standard RFC has been approved. The RFC will serve as a template for future changes of this exact type. An RFC that has Template status cannot be modified. A list of Approved Standard Changes can be found on the [CM website](#).

Pre-Approved

This status is the starting point for an approved Standard change. RFCs of this type do not proceed through a voting process. When a Pre-Approved RFC is saved, it will send out a notification to the appropriate teams. Please review the Standard Change RFC Procedures Document found on the [CM website](#) for information how to use a Standard Change Template.

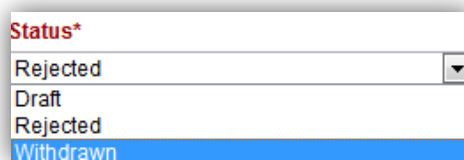
8.2. Rejected Status Lifecycle

This status is used to indicate that the RFC went through the required CAB voting and was not approved (i.e. received at least one Disapprove vote). From this status, it may go onto *WITHDRAWN* or *DRAFT* status.

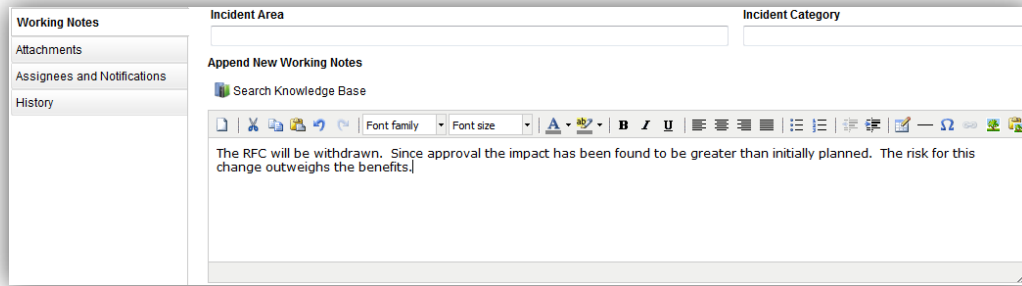
Withdrawn

This status is used when an RFC request needs to be withdrawn.

1. Edit the RFC and change the Status pull-down to *Withdrawn*:



2. Add information to the Working Notes tab. This field must be used by the submitter for the purpose of documenting why the ticket was withdrawn.



3. Save the RFC. This RFC is now complete at Withdrawn Status.

Draft

Once changed back to the *Draft* status, the submitter may update/edit the details of the ticket in order to meet the criterion requested by the CAB. This may require rescheduling the implementation window, a change in the implementation, etc. An RFC can stay in this status for as long as necessary.

8.3. Expired Status Lifecycle

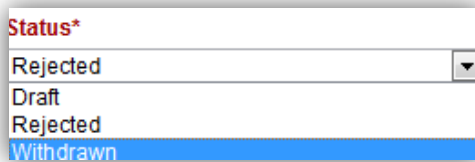
This status is used to indicate that the voting criteria were not met because the voting deadline has been reached with insufficient voter participation. From this status, it may go onto *WITHDRAWN* or *DRAFT* status.

Withdrawn

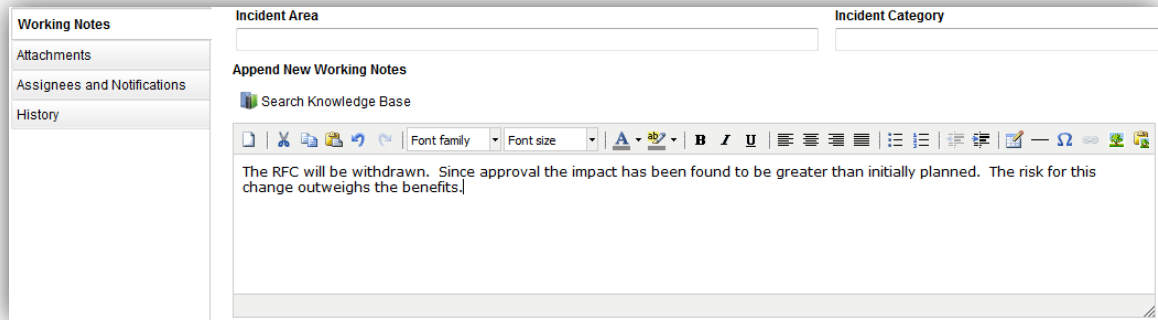
This status is used when an RFC needs to be withdrawn.

This status is used when an RFC request needs to be withdrawn.

1. Edit the RFC and change the Status pull-down to *Withdrawn*:



2. Add information to the Working Notes tab. This field must be used by the submitter for the purpose of documenting why the ticket was withdrawn.



3. Save the RFC. This RFC is now complete with a *Withdrawn* status.

Draft

Once changed back to the *Draft* status, the submitter may update the ticket making applicable changes and resubmit it for approval. An RFC that has expired, which needs to be resubmitted, may no longer meet the required lead time for a Normal RFC and would need to have the RFC Type change to Expedited as well.