

Change Management

(RFC Submitters)

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Why Change Management (CM)?

- Ensure that standardized methods and procedures are used for all changes.
- Facilitate efficient and prompt handling of all changes.
- Maintain a proper balance between the need for change and the potential detrimental impact and risk of a change.

Objective: To enable beneficial changes to be made with **minimal disruption** to IT services.

Change Management is an IT Service Management discipline.

What changes go through CM?

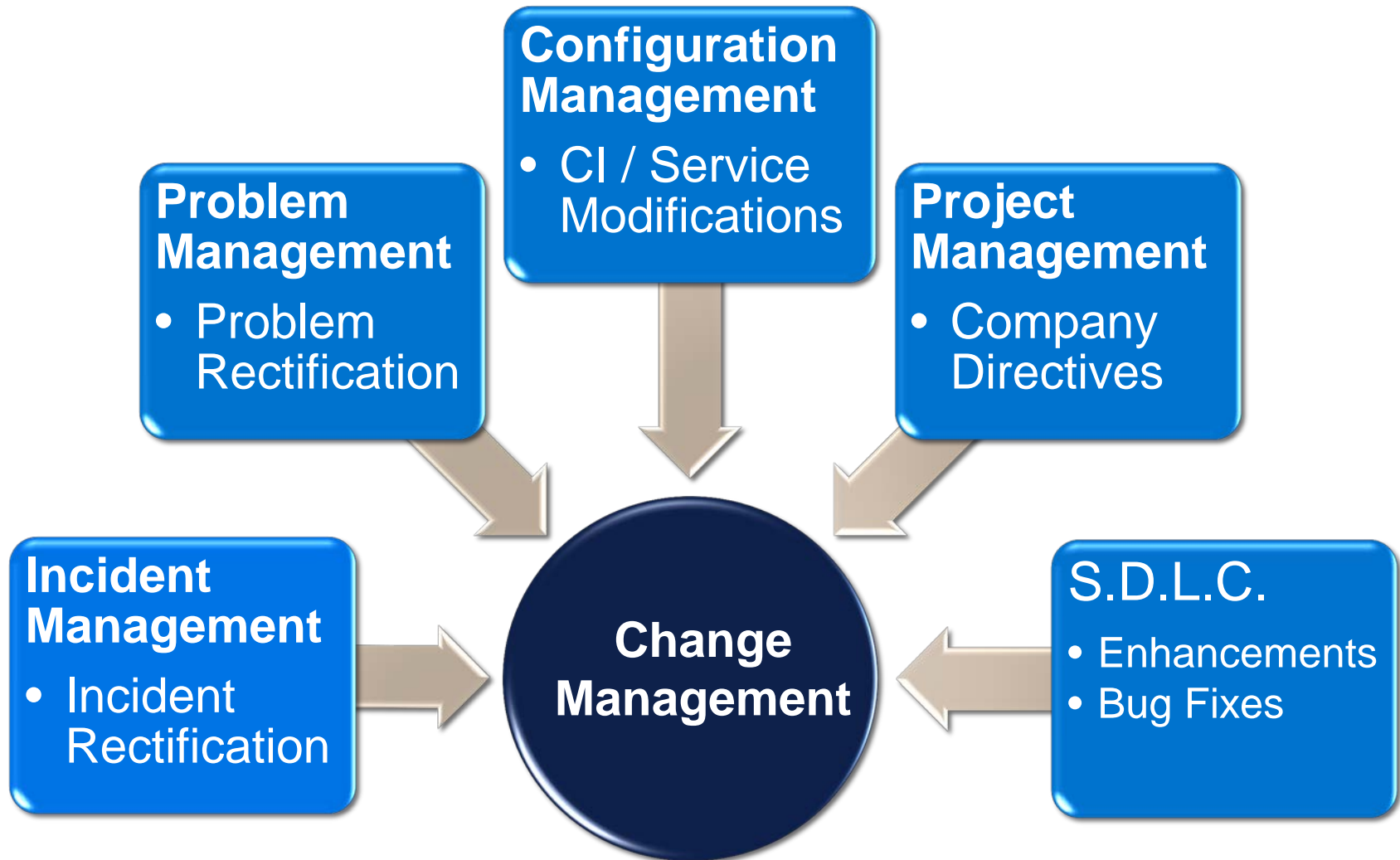
- “Those that make a modification or addition to any component of an IT infrastructure or any aspect of an IT System where the change could adversely impact service delivery”
- Examples:
 - Network Components (e.g. Reconfiguring the LAN)
 - Servers (e.g. Reboots, Upgrades)
 - Adding and IT element (server, application, etc.) to the environment
 - Application patching/upgrade
 - Database Upgrades, etc.
 - Environmental changes in Data Center
 - Adding/Changing Security Controls

Where do Changes Originate?

Changes may arise in the following ways:

- Reactively - In response to problems or externally imposed requirements, e.g. legislative changes. As a result of an Incident, Problem, or SDLC initiatives (enhancements, bug fixes).
- Proactively - From seeking imposed efficiency and effectiveness or to enable or reflect business initiatives, or from programs, projects or service improvement initiatives. Via a Service Request, Enhancement, Project Initiative, etc.

Typical Sources for Requests for Change



Exceptions

Items that will not need to go through the formal CM process during initial implementation:

- Hardware/software installation, patching, etc. on client devices
- Creating/managing individual mail objects
- Creating/managing individual account objects
- Creating/managing individual workstation objects
- Configuration of a single switch port
- Non-Production server software upgrades, patching or config
- Non-Production server reboots
- Management of printers, copiers, scanners, peripherals, etc.
- Content changes
- Using or managing the service as it was original intended

These items still need to be documented and should be tickets in FootPrints as a service request.

The Change Management (CM) System

The system that manages the CM process and RFCs is FootPrints.

BOR Change Management workspace:

- Rule-based system with a complete approval and voting engine to automate the change process.
- Centralized repository for tracking and managing all changes from beginning to end.
- Tied to the BOR Service Desk workspace.

Submitters can access the CM System to view and create RFCs by logging into the FootPrints' server: <http://servicedesk.ct.edu>

All CAB members have view access to all RFCs.

What are the roles in the CM Process?

- 1) **The RFC Submitter:** BOR IT professional who requests and then implements the change by creating RFCs in the CM System.
- 2) **The Change Manager:** Responsible for the overall facilitation of the CM process.
- 3) **Change Advisory Boards (CABs):** There are 3 CABs: Internal, External and Emergency CABs. They are responsible for reviewing RFCs and providing the authority to implement changes.

More on the 3 CABs

- 1) **Internal CAB:** Has representation from the ConnSCU System Office IT Divisions.
 - Each IT Division has a primary and backup representatives
 - Appointed by the BOR System Office CIO

- 2) **External CAB:** Has representation from the seventeen (17) ConnSCU institutions.
 - Each ConnSCU institution has a primary and backup representatives
 - Appointed by Senior Management at each institution

- 3) **Emergency CAB**
 - The BOR System Office CIO or designee
 - Has the authority to approve Emergency RFCs

CAB Member Responsibilities

Internal and External CAB members have the following responsibilities:

- At least one representative (primary or backup) will attend scheduled meetings on a regular basis
- Review and vote on every RFC, within the voting period, based on impact and risk
- Convey any upcoming changes to their represented group

If a representative fails to carry out these responsibilities, the Change Manager may request a new representative be appointed.

Overview of the RFC Process

1. Submitter Drafts an RFC
2. Once the draft is ready to be sent to the CAB, the “Ready to Submit RFC” is checked for voting to start.
3. RFC is voted on by the Internal CAB.
4. If approved by Internal CAB and change impacts services offered at a ConnSCU institution, 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.
5. RFC is voted on by the External CAB.
6. If approved by the necessary CAB(s), the submitter can move forward with the change.

How an RFC is created

The Submitter creates the RFC from either:

- A. a new or existing ticket in the BOR Service Desk workspace;
- B. or directly in the Change Management workspace

RFC needs to be drafted and all required fields completed.

Once the RFC is saved as a draft in the CM system, it can be shared with others and re-edited until it's ready to be sent to the appropriate CAB(s) for approval.

The Submitter's procedure for creating the RFC is found on the [CM website](#).

Types of RFCs

There are 4 types of RFCs:

- 1) **Normal RFC:** Most RFCs are of this type. Requires 10 work days advance notice.
- 2) **Expedited RFC:** The change must be implemented in the shortest possible time for business or technical reasons. Notice period is between 24 hours (real time) to 10 work days.
- 3) **Emergency RFC:** The change needs immediate action to resolve a major incident, unplanned outage or security concern. Notice period is less than 24 hours. Approval is by the Emergency CAB.
- 4) **Standard RFC:** The change is recurrent, well known and has been proven to follow a pre-defined, relatively risk-free implementation. Approved Standard RFC no longer require CAB approval on a case-by-case basis.

Note: The procedure for submitting Standard RFCs has yet to be implemented.

Notice Periods and Voting Windows

NORMAL and STANDARD RFCs		EXPEDITED RFC	
NOTICE PERIOD:	>10 DAYS	NOTICE PERIOD:	<10 DAYS
INTERNAL CAB:	2 DAYS	INTERNAL CAB:	4 HOURS
EXTERNAL CAB:	3 DAYS	EXTERNAL CAB:	8 HOURS
EMERGENCY RFC			
NOTICE PERIOD:		< 24 HOURS	
APPROVED BY EMERGENCY CAB			

Drafting RFC (Top & Contact Info)

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

- **Subject** – This is the title of the RFC.
- **Type of Change** (Normal, Expedited, Emergency, Standard)
- **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”.

Drafting RFC (RFC Information Tab)

- **Implementation Date/Time** – Accurately reflect when change will occur.
- **Institutions Affected** – Institutions affected by the change.
Note: This field determines if the RFC will need to go to the External CAB or not.
- **Description of Change** – Details and purpose of the change.
- **Objectives/Benefits** – This details the goal of the change and its benefits.
- **Implementation Plan** – A step-by-step set of instructions detailing how the proposed change will be implemented and tested.
- **Expected Impact** – Choose from list of options:
 - Low – Minimal impact lasting less than 1 hour
 - Medium - Minor impact lasting 1 to 4 hours.
 - High - Major impact lasting over 4 hours.
- **Describe Impact** – Explain impact of this change to customers, services, etc.
- **Backout Risk** – Choose from list of options:
 - Direct - There is a defined route to reverse the change.
 - Difficult - Reversal of the change will involve additional service interruption time.
 - Impossible - There is no route to reverse the change.
- **Describe Backout Plan** – Outline a step-by-step contingency plan on how the proposed change will be backed out if the change does not go as planned.

Drafting RFC (Remaining Tabs)

Working Notes tab:

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:

Attach any supporting documentation to the RFC.

Assignees and Notifications tab:

Includes the IT groups/staff that will be involved in the implementation. By default, the IT Division (Business Information Systems, Information Security, Learning Technologies, Support Services, Systems and Infrastructure, Telecom and Operations) that you work in will be assigned to the RFC.

Submitting the RFC for Approval

Once the Submitter is ready to submit the RFC to the appropriate CAB(s) for approval, they simply edit the RFC and enable the “Ready to Submit RFC” option and save the RFC:

New RFC for BOR Change Management Select Use selected to

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 ←

NOTE: An automated time-based rule will process all RFC's after they are submitted. It may take 5-10 minutes for your RFC to be processed and for the voting to begin.

Voting Process – 1. Internal CAB

- After the RFC is submitted for approval, all Internal CAB members receive the “Voting has started” email.
- Each IT Division will need to review the RFC and cast their vote:
 - Any of the IT Divisions representatives (primary or backups) can cast the vote for the IT Division. But, **only the FIRST vote cast will be counted.** The IT Division will need to decide how their vote is cast (primary or backup).
 - The vote will be to either **approve** or **disapprove** the RFC. Defer should not be used.
 - The representative casting the vote needs to include their **name** and a comment.
 - Until the IT Division has cast their vote, periodic reminders are sent.

Note: Even if the change doesn't impact your IT Division, you must vote.

“Voting has started” email

VOTING HAS STARTED FOR REVIEW BY THE INTERNAL CAB

[Click here to submit your vote](#)

For record keeping, please enter your name in the comments field.



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The Deadline for this vote is 3d 0h 0m.

The current phase for this vote is Internal CAB Approval.

A reminder will be sent out every 4 hours until either the vote result has been reached or the deadline.

Request for Change (RFC) Details

RFC Name: Test Ticket_Normal_Internal CAB RFC # 34

Description of Change: Test Description

Objectives & Benefits: Test Objectives

Implementation Plan: Test Plan

Expected Impact: Medium

Which Institutions Will Be Impacted: BOR System Office;

Implementation Date: 12/20/2013 2:39 PM

For full details you can follow this [RFC link](#)

Access to the Change Management Workspace is required.

Voting Process (cont'd)

- If all IT Divisions submit their vote within the voting window, Internal CAB members will then receive an email containing the results of the vote.
- **If approved** and the change impacts ConnSCU institutions, then **the RFC goes to the External CAB for approval** following the same process.
- **If approved** and the change impacts only the ConnSCU System Office, then **the RFC is approved for implementation.**
- If there are **any disapprove votes**, the RFC is rejected.

Voting Process – 2. External CAB

- After the RFC is approved by the Internal CAB, External CAB members receive the “Voting has started” email.
- Each Institution will need to review the RFC and cast their vote:
 - Any of the institution’s representatives (primary or backups) can cast the vote for the institution. But, **only the FIRST vote cast will be counted.** The institution will need to decide how their vote is cast (primary or backup).
 - The vote will be to either **approve** or **disapprove** the RFC. Defer should not be used.
 - The representative casting the vote needs to include their **name** and a comment.
 - Until the institution has cast their vote, periodic reminders are sent.

Note: Even if the change doesn’t impact your institution, you must vote.

Voting Process (cont'd)

- If all Institutions submit their vote within the voting window, External CAB members will then receive an email containing the results of the vote.
- **If approved**, then **the RFC is approved for implementation**.
- **If there is at least one disapprove vote**, the RFC is rejected.

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

After the Vote

Once the vote is complete, the submitter needs to review the voting results in the RFC. Follow these steps:

- Open up the RFC
- Select the “**History**” tab in the left column
- Select “**Voting History**” to see the voting results, which includes the comments.
- 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).

Submitter actions based on Vote

Depending on the results of the vote, the Submitter will:

1. implement the change;
2. revise the RFC for resubmission;
3. or withdraw the RFC

The Submitter will update the RFC until completion, making sure the RFC information and status is always up-to-date.

RFC Status: Approved

An RFC is approved if it went through the required CAB voting process and was approved for implementation.

Based on the results of Submitter's actions, the RFC will have a final status of one of the following:

Implemented: The Submitter successfully implements the change according to the implementation plan and date.

Backed-out: The Submitter implemented or attempted to implement the change and there were issues that caused the Submitter to implement the back-out plan.

Withdrawn: The Submitter did not implement the change and instead withdrew the RFC.

RFC Status: Rejected

An RFC is rejected if it went through the required CAB voting and received at least one disapprove vote.

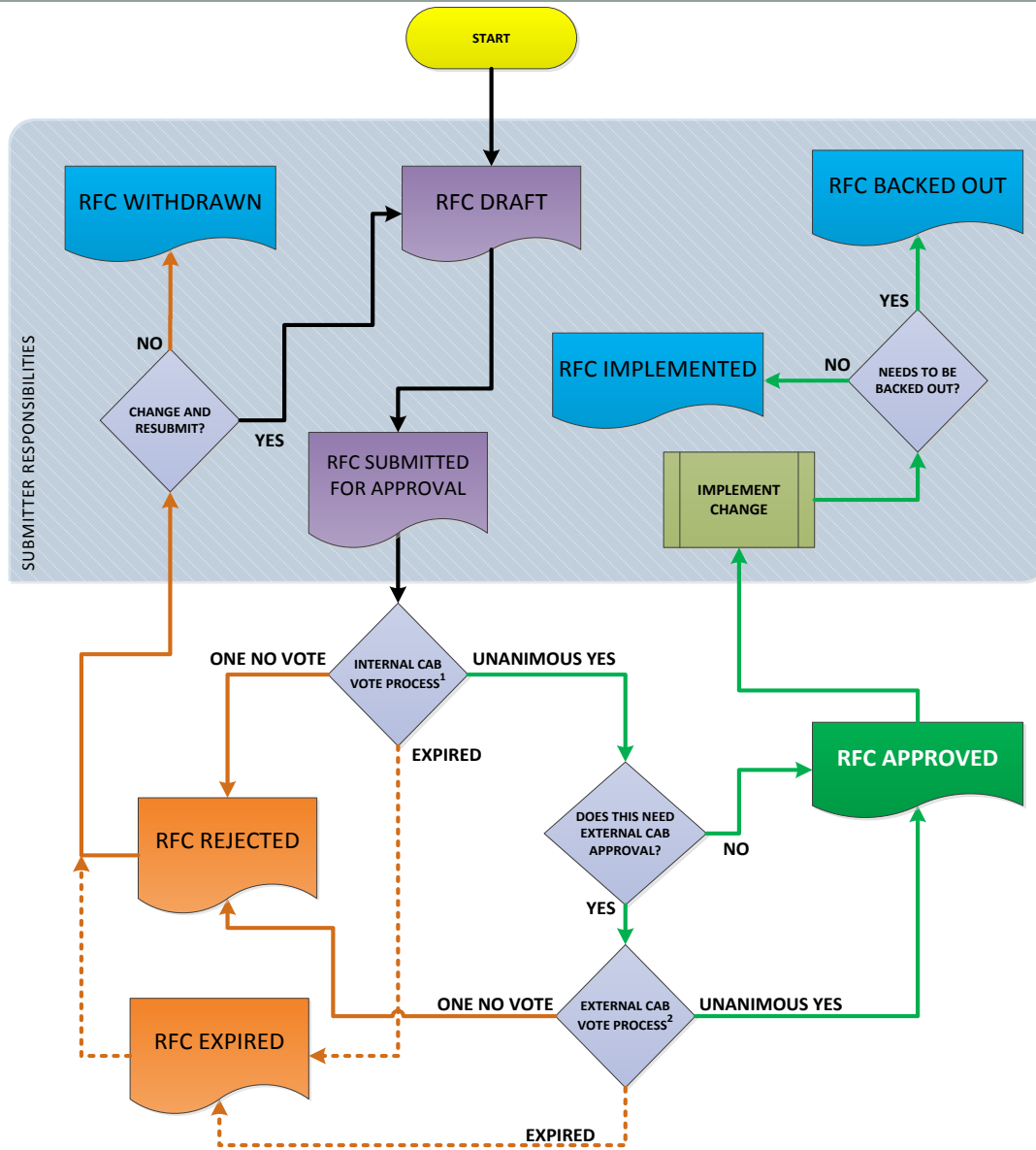
- Since all votes will have a comment, the Submitter will know the reason for the disapprove vote.
- Submitter can withdraw the RFC or modify and resubmit the RFC that has been rejected, however:
 - Resubmitted RFCs may no longer meet the planned implementation date.
 - RFC Type may need to be changed from Normal to Expedited or Emergency based on requirements of the change.

RFC Status: Expired

An RFC is expired if the RFC is not voted on by all members during the defined voting windows.

EXCEPTION: During the initial implementation of the CM Process, RFCs that have expired are voted on at the next CAB meeting. A unanimous vote by those present will approve the RFC for implementation.

Once the initial implementation exception is no longer in place, the Submitter could either resubmit the RFC or withdraw it.



¹ Normal Change Internal CAB Vote limit: 2 DAYS
 Expedited Change Internal CAB Vote Limit: 4 HOURS

² Normal Change External CAB Vote limit: 3 DAYS
 Expedited Change External CAB Vote Limit: 8 HOURS

7 “R’s” of Change Management

The **seven Rs of Change Management** is a quick check list of what should be covered when raising a request for change.

- Who **RAISED** the Change?
- What is the **REASON** for the change?
- What **RETURN** will the change deliver?
- What **RISKS** are there is we do or do not carry out the change?
- What **RESOURCES** will be required to perform this change?
- Who is **RESPONSIBLE** for this change being performed?
- What **RELATIONSHIPS** are there between this and other changes?

CAB Meetings

- CAB Bylaws have been established to guide the CAB and specify details of the CAB Meetings. They can be accessed here:
<http://supportcenter.ct.edu/Service/ChangeManagement/CAB-ByLaws.pdf>
- Some of the items outlined in the Bylaws include leadership, authority, responsibilities, voting and non-voting members.
- Meetings are scheduled for every Tuesday at 9:15am
- View the list of appointed CAB representatives here:
<http://supportcenter.ct.edu/Service/ChangeManagement/CAB-Members.pdf>

Resources

- Visit the Change Management page:
<http://supportcenter.ct.edu/Service/ChangeManagement.asp>
- Contains up-to-date information on the following:
 - [Change Management Procedure](#)
 - [CM Process exceptions](#)
 - [CAB Bylaws](#)
 - [CAB Members](#)
 - [Internal](#) and [External](#) Voting Procedures
 - [User Guide for CAB Members](#)
 - [User Guide for Submitters](#)
- Access the Change Management system here:
<http://servicedesk.ct.edu>

Questions??

