

# Change Management

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# Why Change Management (CM)?

- 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.
- A proper balance between the need for change and the potential impact and risk of a change needs to be considered for each proposed change.

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

# 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”
- A change request is known as an RFC and can originate from:
  - Problem Report
  - Service Request
  - Regular Maintenance
  - Enhancement
  - Project Initiative
- Examples: Reconfiguring the LAN, application patching or upgrading a production server.

# Exceptions

Items that do not need to go through the formal CM Process:

- 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

# 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.

CAB members can access the CM System to view all RFCs by logging into the FootPrints' server: <http://servicedesk.ct.edu>

This ensures that the appropriate changes are communicated, reviewed, approved by the defined CAB(s) and adopted in a timely manner.

# 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. The RFC Submitter drafts the RFC
2. When the RFC is ready, the RFC is submitted for approval
3. Voting occurs by appropriate CAB(s) to approve or disapprove the RFC
4. Action by the Submitter is taken based on the voting results

# 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

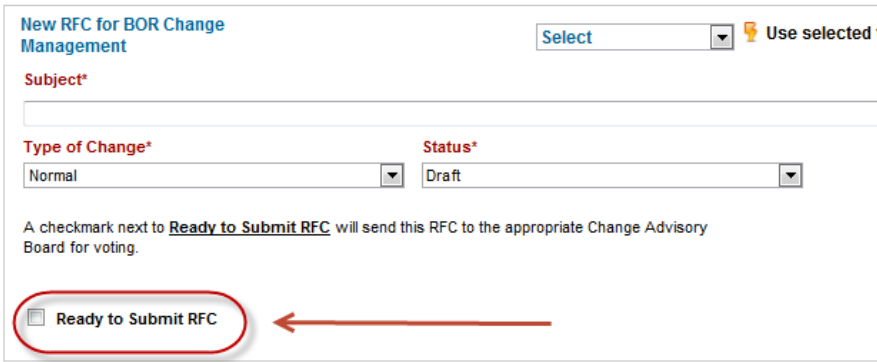
There are 4 types of RFCs:

- 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.*

# 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** ←

# Notice Periods and Voting Windows

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

# 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

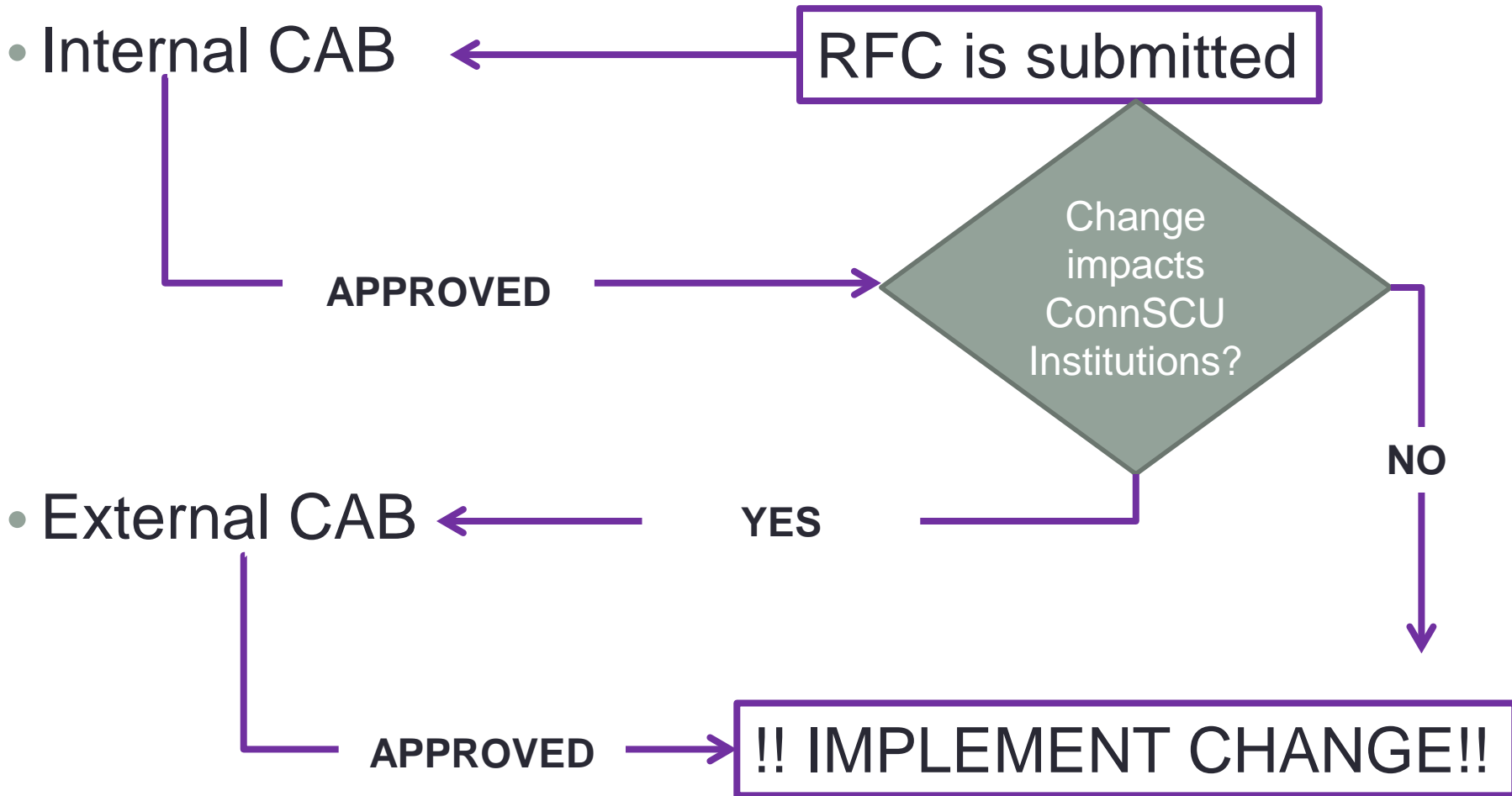
- After the RFC is approved by the Internal CAB, External CAB members receive the “Voting has started” email.
- Each Institution will need to review the RFC and cast their vote:
  - Any of the institution’s representatives (primary or backups) can cast the vote for the institution. But, **only the FIRST 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.

# CAB Flowchart



# Submitter actions based on RFC Status

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.

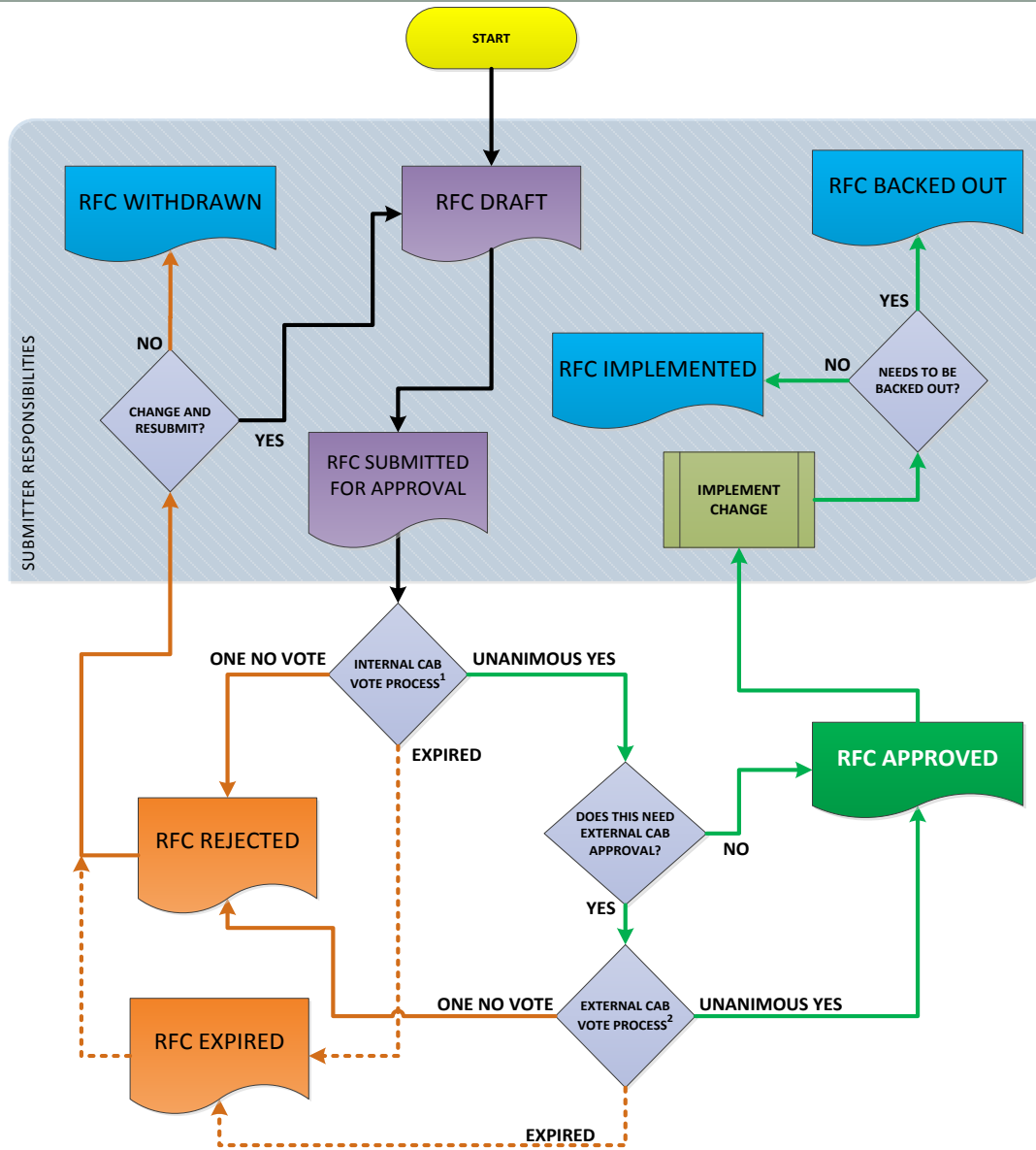
- Since all votes will have a comment, the Submitter will know the reason for the disapprove vote.
- Submitter can withdraw the RFC or modify and resubmit the RFC that has been rejected, however:
  - Resubmitted RFCs may no longer meet the planned implementation date.
  - RFC Type may need to be changed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



<sup>1</sup> Normal Change Internal CAB Vote limit: 2 DAYS  
 Expedited Change Internal CAB Vote Limit: 4 HOURS

<sup>2</sup> Normal Change External CAB Vote limit: 3 DAYS  
 Expedited Change External CAB Vote Limit: 8 HOURS



# 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??

