I. PURPOSE

The purpose of this document is to define the Change Management process for use across the University Information Technology (UIT) and the Information Technology Services (ITS) organizations.

II. OBJECTIVE

The objective of Change Management is to control changes that affect the operations of UIT/ITS in a logical and methodical way in order to reduce adverse risks and maintain a stable environment.

III. SCOPE

This process applies to all UIT/ITS employees, contractors, vendors, departments, business areas, functional areas, and affiliated organizations.

IV. PROCESS

1. Submit RFC
2. Review and Categorize RFC
3. Emergency Change Process
4. Standard Change Process
5. Add RFC to CAB Agenda
6. Assess and Authorize RFC
7. Release Management Process
8. Schedule Change
9. Review and Close RFC

V. PROCESS DESCRIPTION

1. Create and Submit Request for Change (RFC)

Record information about the change using the Request for Change (RFC) form. When gathering information for an RFC, record sufficient information to properly identify what is being changed and how. The following information is required in an RFC:

- Who is requesting the change
- Short description of the change
- Change type (Emergency, Standard or Normal)
• Reason for the change
• Proposed implementation date
• Remediation plan that outlines steps taken to either back out of a change or downtime procedures that can be used until the change is fully implemented.

2. Review and Categorize RFC

Review the RFC for completeness. If it is missing any required information, contact the requestor and update the RFC accordingly. Validate RFC categorization as either an Emergency Change, Standard Change, or Normal Change.

Upon receipt of the RFC, notification is sent to the Requestor indicating that it has been received and is in the review process.

3. Emergency Change Process

Emergency Changes are forwarded to the Emergency Change Advisory Board (eCAB) for immediate assessment and authorization. Once authorized, the change is implemented as soon as possible to restore services as quickly as possible. Completion of RFC documentation may be performed post-change when necessary due to business needs.

4. Standard Change Process

Standard Changes are routine, proven, low risk changes that have been pre-approved by the Change Advisory Board (CAB). Standard changes use a change model which is reviewed and approved by the CAB. The change model includes the step-by-step work instructions to implement the change and includes timelines, roles and responsibilities and an escalation process. Once approved, the changes can be scheduled as needed based on the change model without additional review by the CAB. RFC's are still required for standard changes.

5. Add Request to CAB calendar

If the RFC is for a Normal Change, add the request to the list of the items to be discussed on the scheduled CAB meeting agenda and calendar.

6. Evaluate and Authorize Request

RFC's are evaluated based on the risk they present to the systems and services involved as well as the business and the availability of resources needed to implement. Once the request is evaluated, the RFC is either authorized or rejected and this is noted in the RFC record. The Requestor and Release Manager are notified of the results of the evaluation.

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7. Release Management Process

The Release Management process implements the authorized change. The main activities of the process are Planning, Development, Testing, and Deployment. The Change Manager is notified when major milestones in the Release Management process are reached. As part of the Release Management process, when testing of the solution is complete, authorization to deploy is requested from the Change Manager.

8. Schedule Change

When a change is authorized for deployment, the implementation date is scheduled and it is placed on the change calendar and published for informational purposes. The date and time is selected with consideration given to other changes being implemented, releases currently being deployed and business requirements.

9. Review and Close Request

Release Management notifies the Change Manager when deployment is complete. When notification is received that the change has been deployed, the results of the change are reviewed to determine success or failure and to capture lessons learned. Results of the review are recorded in the change record and the change record is then closed.

VI. ROLES AND RESPONSIBILITIES

<table>
<thead>
<tr>
<th>Activity</th>
<th>Requestor</th>
<th>Change Manager</th>
<th>CAB</th>
<th>ECAB</th>
<th>Release Manager</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submit RFC</td>
<td>A/R</td>
<td>I</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Review and Categorize RFC</td>
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<td>A/R</td>
<td>I</td>
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<td>A/R</td>
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<tr>
<td>Assess and Authorize RFC</td>
<td>I</td>
<td>A</td>
<td>R</td>
<td>C</td>
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<tr>
<td>Schedule Change</td>
<td>I</td>
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<tr>
<td>Release Management</td>
<td>I</td>
<td>C</td>
<td>C</td>
<td>A/R</td>
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<tr>
<td>Review and Close RFC</td>
<td>C</td>
<td>A</td>
<td>I</td>
<td>C</td>
<td></td>
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VII. PROCESS METRICS

<table>
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<tr>
<th>Metric Name</th>
<th>Formula</th>
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<tbody>
<tr>
<td># changes opened within time period</td>
<td>Count of changes opened</td>
</tr>
<tr>
<td># changes closed within time period</td>
<td>Count of changes closed</td>
</tr>
<tr>
<td># emergency changes</td>
<td>Count of Emergency Changes opened</td>
</tr>
<tr>
<td>% successful changes</td>
<td>Count of successful changes / Count of total changes implemented</td>
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Revision #: 1.0  Supersedes: N/A  Date: 01.01.16
VIII. REGULATORY INFORMATION

NA

IX. GOVERNANCE

The Process Owner is responsible for the enforcement of this process and the approved procedures and work instructions related to its implementation.

X. ENFORCEMENT AND EXCEPTIONS

This process document is approved by the UIT/ITS’s Executive Leadership Team. Failure to follow this process could result in disciplinary action.

Exceptions or modifications to this process can be approved by the Process Owner.

Changes to corresponding procedures or work instructions may be made by the Process Owner or a designated alternate.

XI. DOCUMENT REVIEW

The applicable process and procedure documents shall be audited, reviewed, and revised as necessary at a minimum interval of every one (1) year to ensure relevance, fit for purpose, and fit for use.

The applicable processes and procedures shall be audited, reviewed, and revised as necessary when the corresponding policy is modified.

XII. REFERENCES

Definitions Document
Problem Management Policy Document

XIII. APPROVALS

| Approval Body: |  |
| Approval Date: |  |
| Process Owner: |  |
| Origin Date: |  |

This document contains University of Utah confidential and proprietary information. Questions regarding this document should be directed to the Process Owner.
XIV. REVISION HISTORY

<table>
<thead>
<tr>
<th>Date</th>
<th>Revision #</th>
<th>Description of Change</th>
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<tr>
<td>11.02.15</td>
<td>1.0</td>
<td>Initial creation.</td>
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