A. Purpose

To specify a procedure to regulate changes to hardware and software maintained by the UNCW Information Technology Systems Division (ITSD) supporting production systems and services.

This procedure is a part of the ITSD Policies and Procedures manual. As with any other established policy and procedure, failure to adhere to this procedure will be subject to disciplinary actions deemed appropriate by the Vice Chancellor, an Associate Vice Chancellor, or a Director of ITSD.

Change Requests are submitted to the Change Control Committee composed of the following persons:

- Information Security Officer (Chair)
- Associate Vice Chancellor Technology Services
- Director Operations & Systems Administration
- Director Integrated Enterprise Solutions
- Director Classroom and Computer Technology Services
- Director Network & Communications
- Director Technology Research Assessment and Services
- Director Technology Assistance Center Services

The Change Control Committee will convene electronically as needed and in person when required to review Change Control Requests that have been marked “Under Review” in the Remedy system. The ITSD Executive Council will review the Change Control Request Procedure in terms of improving the process and dealing with systemic exceptions. The ITSD Executive Council will have final determination of an acceptable Change Control Request.

B. Scope

This procedure governs, but is not limited to, changes made to hardware, software and procedures in production by all staff members of the ITSD, ITSD vendors, and ITSD support representatives or designated ITSD user liaison representatives within the university. Directors have the final decision regarding the need for a formal Change Control Request versus using incident management and internal notification.

C. Procedure

Upon determination of the need for a change, the person determining that need will complete each section of the online Change Control Request (CCR) Form.

Normally, an ITSD project or incident ticket must be in place prior to a change request containing:
- Pre-change testing procedure and signoff by appropriate parties;
- Record of testing results and standards used;
- Documentation that has been updated (if applicable);
- Detailed work plan with associated time estimates for each step;
- Back-out procedure to be implemented in the event of failures or issues;

There are three categories of CCRs:

1. Normal: A normal change shall be defined as any action to a production system that is planned in the future, with the necessary evidence of consultation and testing having been conducted in normal operating procedures of ITSD. Such a request must be submitted 2 business days prior to the implementation date.
2. Expedited: An expedited change shall be defined as any action to a production system that needs to be made before the normal two day planning window, but one which is able to be carried out after approval by the normal CCR procedure.

3. Emergency: An emergency change shall be defined as any action that is necessary for the immediate and continued operation of essential university functions and required to be implemented before the required Change Control Committee members are able to review and approve. The requestor will submit the CCR after the affected system has been modified, and will be approved post-change by the committee. In the judgment of the requestor, if the incident is a major incident, there should be attempts made to contact appropriate members of the Change Control Committee to alert them to the incident and its resolution, either by phone or, failing that, email. Documentation from the committee member that approved the emergency action is to be included in the change request system.

Change Requests that are not considered Emergency will be reviewed for completeness, accuracy, and impact to campus community. The Change Control Committee members are responsible for reviewing the new Change Control Requests. Issues, concerns, or suggestions must be documented in the Change Control system. Each Change Control Committee member has the option to ask the requestor to present additional documentation if the submitter has not met the requirements noted in this procedure.

For a Change Control Request to be considered approved it must have either:
- the sign off of one ITSD AVC, the Director of the area implementing the change, and one other ITSD Director
- the sign off of four directors

Changes without the minimum sign offs will remain classed as NEW until final approval of the Change Control Committee.

Any member of the Change Control Committee may mark the request as “Under Review”. As long as any member has the request marked as “Under Review” it will not become “Approved” until the individual that placed the request as “Under Review” marks the request as “Approved”.

Notifications generated by Change Control will serve as official notice concerning request status.

The director of the department implementing the change is responsible for verifying that the change occurs on schedule and that the desired results are achieved and reported. Any changes not completed within the time frame defined or implemented outside of the approved date and/or time should be reported to the Change Control Committee by the beginning of the following workday. Problems associated with a change should be documented and attached to the originating Project Request or Remedy incident ticket.

Once the change has been implemented it is the responsibility of the requestor to fill out the Completion section.
**Change Request Form Definitions**

**Change Description**: Brief description of purpose of change and actions taken to implement or install the change.

**Requestor Information**: Login ID, name, division, department and phone number of individual requesting the change. (N.B.: requestor and implementer cannot be the same individual and both need to be members of ITSD)

**Change Reason**: the reason for the change. Select an appropriate response from the drop-down menu.

- New deployment - Deployment of hardware or software.
- New functionality – Deployment of additional functionality to existing hardware or software.
- Maintenance - Routine hardware or software fixes, backups, etc
- Security - Routine hardware or software fixes, backups, etc
- Upgrade - Routine hardware or software upgrades.
- Other – Changes which do not fall within previous categories.

**Business Reason**: the business reason for the change. Select an appropriate response from the drop-down menu:

- Customer commitment
- Defect
- Department strategic
- Division strategic
- Enhancement
- Maintenance
- Security
- Upgrade

**Timing**: a description of the timing of the change. Select an appropriate response from the drop-down menu.

- Emergency- Any action implemented prior to Change Control Committee review.
- Expedited – Any action to be implemented with less than 2 business days notice.
- Normal - Any action that is regularly released or scheduled in the ITSD production environments.

**Implementation Date**: Date the change control is to be implemented. If an emergency change, then this is the date of approval.

**Completion Date**: Date the change is completed.

**Date of User Impact**: Date the change will impact system/users and/or the date the system is unavailable to the user.

**User Impact Details (including time)**: Time the change will impact system/users and/or the time that the system will be unavailable to the users. List departments or customers that will be impacted by this change.

**Risk Level and Explanation of Risk**: Selection required (Low/High) with an explanation of the ramifications to the business if the change fails.

**Testing Information**: Describe outcome of test plan if the change has been tested.

**Back Out Plan**: Describe action items if change is aborted.

**Submitter, Submit Date**: email address of individual submitting the request and date/time the request was submitted.

**Implementing Department**: Department responsible for implementing the change.

**Implementing Group** – Group of individuals responsible for implementing the change.
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**Implementer** – Individual(s) responsible for implementing the change.

**Related Configuration Items** – Where appropriate, select specific configuration items (Application, database, hardware, service, system) for further clarification.

**Approvals** – Each member of the Change Control Committee has the ability to Approve/Deny/Review a change control request by selecting the appropriate action.

**Approver’s Comments** – Notes added by the approver.

**Requestor/Implementer Comments** – Notes added by the requestor or implementer.

**Completion Information** – Final status of change (success without issue, success with issue, unsuccessful) along with detailed documentation where appropriate.

**Notifications** – Department or individuals to be notified of completion details.