ADS Change Advisory Board (CAB) CHARTER

State of Vermont

VERMONT

Accepted by ADS Change Advisory Board

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DOCUMENT HISTORY

Document Revision/Release Status

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1.1	February 29, 2016	Comments/edits	Darwin
2.0	March 2, 2016	Accept all comments by Darwin for final review	Angela Leclerc
2.1	March 16, 2016	Comments by Frank C. – additional changes made by Darwin	Angela Leclerc
3.0	November 28, 2017	Update DII to ADS within document for new draft	Angela Leclerc
3.1	December 4, 2017	Added comments and edits for the CAB to review	Peter Telep
3.2	December 8, 2017	Added definition and communications sections	Peter Telep
3.3	December 19, 2017	Cleaned up document and added communications content	Peter Telep
3.4	January 9, 2018	Edited content per last meeting outcomes	Peter Telep
3.5	January 12, 2018	Edited content per last meeting	Angela Leclerc
3.6	January 31, 2018	Final edits	Peter Telep
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Document Owner

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INTRODUCTION

The ADS Change Advisory Board (ADS CAB) exists to support the authorization of changes and to assist in delivering support to the Agencies and Departments by approving requested changes and assisting in the assessment, prioritization and scheduling of changes. The ADS CAB helps ensure that changes are managed in a rational and predictable manner by enforcing change management policies and procedures.

ADS CHANGE ADVISORY BOARD PURPOSE AND GOALS[1]

Manage changes under the ADS CAB purview in a controlled manner, including standard, normal, and emergency changes related to enterprise service delivery processes, applications and infrastructure. Changes in-scope include those effecting:

> Infrastructure including the state network, servers, storage, data centers, security, end user support, enterprise applications, and user account management. Hardware, software, documentation, processes, service catalog, web sites, and other configuration items under these domains are included.

Enable fast and reliable delivery of change and mitigation of the risk of negatively impacting the stability or integrity of the changed environment.

The ADS CAB (and those application focused sub-CABs) provides a structured framework for achieving the following IT related goals:

- Manage IT-related business risk
- Deliver IT services in line with business requirements
- Security of information, processing infrastructure and applications;

Process Goals:

- Authorized changes are made in a timely manner and with minimal errors.
- Impact assessments reveal the effect of the change on all affected components.
- All emergency changes are reviewed and authorized after the change.
- Key stakeholders are kept informed of appropriate aspects of the change;
    - o Stakeholders include ADS IT staff, change requestors, agency customers, vendors, sub-CABs, ADS and Agency leadership.
- Inform and escalate relevant policy issues and operating procedures to ADS Leadership for review and approval

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[1] COBIT 5 Process Reference Guide

CHANGE REQUEST TYPES

There are three types of recognized changes. They are Standard, Normal, and Emergency. The following table outlines the definition and associated requirements.

Standard:

> A pre-approved Change that is low Risk, relatively common and follows a Procedure or Work Instruction. For example, password reset or provision of standard equipment to a new employee. RFCs are not required to implement a Standard Change, and they are logged and tracked using a different mechanism, such as an Incident or Service Request.

Normal:

> A normal change refers to changes that must follow the complete change management process. Normal changes are often categorized according to risk and impact to the organization/business.

> A normal change will proceed through all steps of the change management process and those that are categorized as medium or high risk on business-critical applications and will be reviewed by the Change Advisory Board (CAB).

Emergency:

> A Change that must be introduced as soon as possible. For example, to resolve a Major Incident or implement a Security patch. The Change Management Process will normally have a specific Procedure for handling Emergency Changes.

ADS CAB SCOPE

The ADS CAB will evaluate all requests for change to determine the impact on business processes and IT services, and assess whether it will adversely affect the operational environment and introduce unacceptable risks. The CAB will also ensure that changes are logged, prioritized, categorized, assessed, authorized, planned and scheduled. Changes in-scope include configuration items effecting:

> network, security, servers, data centers, end user support, enterprise applications, and user account management. Hardware, software, documentation, processes, service catalog, web sites, and other configuration items under these domains are included.

Changes out of scope of the ADS CAB authority include Agency-specific changes. The ADS CAB shall be made aware of Agency-specific changes through the change management input process via use of a common management tool across ADS. If an Agency-specific change has enterprise implications, those change requests are reviewed and approved by the ADS CAB.

ADS CAB ACTIVITIES

The ADS CAB will:

1. Use formal change requests to enable business process owners and IT to request changes to infrastructure, systems or applications. Make sure that all such changes arise only through the change request management process.
2. Maintain a database of all change requests regardless of disposition.
3. Categorize all requested changes (e.g., ADS business process, infrastructure, operating systems, networks, application systems, purchased/packaged application software) and relate affected configuration items.
4. Prioritize all requested changes based on the business and technical requirements, resources required, and the legal, regulatory and contractual reasons for the requested change
5. Plan and evaluate all requests in a structured fashion. Include an impact analysis on business process, infrastructure, systems and applications, business continuity plans (BCPs) and service providers to ensure that all affected components have been identified. Assess the likelihood of adversely affecting the operational environment and the risk of implementing the change. Consider security, legal, contractual and compliance implications of the requested change. Consider also inter-dependencies among changes. Involve business process owners in the assessment process, as appropriate.
6. Formally approve, through the CAB voting process, each change by business process owners, service managers and IT technical stakeholders, as appropriate. Changes that are low-risk and relatively frequent should be pre-approved as standard changes.
7. Plan and schedule all approved changes.
8. Consider the impact of contracted service providers (e.g., of outsourced business processing, infrastructure, application development and shared services) on the change management process, including integration of organizational change management processes with change management processes of service providers and the impact on contractual terms and SLAs.
9. Consider applicable procurements activities, as advised by the Procurement Advisory Team, to anticipate changes to enterprise applications, security, and services. The Procurement Advisory Team chair, or delegate, will keep the ADS CAB apprised of applicable procurement activities.

SUB-CABS

There may be applications, systems, and Agencies that warrant their own change advisory boards to ensure the proper subject matter experts address change requests. The ADS CAB shall approve the creation of sub-CABS as needed. In these cases, change requests shall leverage the same change management process and tool but requests are routed to the sub-CAB for review. The following sub-CABs currently operate under change management process of the ADS Change Advisory Committee:

- Office365 (includes *all* O365 applications and utilities including SharePoint)
- Mainframe
- Landesk

Others may be added here as needed.

Currently the ERP CAB operates under a separate change management process and tool than the ADS CAB.

Responsibility of Sub-CAB:

- Each Sub-CAB shall have a Chair/Change Manager
- Identify voting members
- Adopt ADS CAB Charter
  - Identify scope of the sub-cab and include in an addendum
- Use a common change management tool
- Change Requests from Business/stakeholders are routed to the sub-CAB for review and approval
- Sub-CAB Change Manager will ensure requests are processed and keep requests up to date
- Sub-CAB Change Manager will be responsible for communication to the ADS CAB including:
  - Any changes that have enterprise implications;
  - Escalations – Sub-CAB has issue with a change and it needs to be escalated to ADS CAB for review

RESPONSIBILITIES

ITIL Role / Sub-Process	Change Manager –	Change Advisory Board (CAB) Chair –	CAB Members –	Emergency Change Advisory Board (ECAB)	IT Technicians
Change Management Support	A/R	R	R	-	-
Assessment of Change Proposals	A/R	R	R	-	C/I
Schedule CAB Meetings	A	R			
Lead CAB Meetings	A	R			
Change Process Compliance Monitoring	A	R	R		I
Request for Change (RFC) Logging and Pre-Evaluation	A	R	-	-	-
Assessment and Implementation of Emergency Changes	AR		-	R	C/I
Change Scheduling and Build Authorization	AR		R	-	C/I
Change Deployment Authorization	AR		R	-	C/I
Minor Change Deployment	AR		R	-	R
Post Implementation Review and Change Closure	AR		R	-	C
Update configuration and user documentation affected	A		R		R

RACI – Responsible, Accountable, Consulted, Informed

CAB Membership Expectations and Voting: CAB members shall attend each Change Advisory Board meeting in which a change is being reviewed. Depending on the change

request type, voting may occur ahead of the meeting or during the meeting after discussion. If they are unable to attend the meeting, approval can be granted via the change management tool or authority for approval can be delegated to a designee. Following voting, all changes must be approved by the change manager to be considered ready for release. The change manager approves, disapproves, or requests further action on all change requests after the final vote tally. All signees of this Charter are ADS CAB voting members.

ADS CAB Measurements

In support of the mission, the ADS CAB has three primary goals (Critical Success Factors). Performance against these goals will be documented at each CAB meeting.

GOALS (Critical Success Factor)	Metrics
• All Shared Services changes are managed through the ADS CAB (or delegated sub-CAB) process • Authorized changes are made in a timely manner with minimal errors • Impact assessments reveal the effect of the change on all affected components • All emergency changes are reviewed and authorized after the change • Key stakeholders are kept informed of all aspects of the change • CAB meeting participation and voting participation is consistent	• Number of changes from ADS Agency IT delegates increases • Overall number of change requests increases • Meeting participation and voting participation by all CAB members remains 85% or higher

CHANGE IMPACT/RISK CATEGORY MATRIX

Change Impact	**High impact** **Low probability** **Risk category: 2**	**High impact** **High probability** **Risk category: 1**
	Low impact Low probability Risk category: 4	Low impact High probability Risk category: 3

STANDARD CAB MEETING AGENDA (PROPOSED)

The purpose of the meeting is to evaluate changes to the IT environment in a cooperative manner to eliminate potential disruption of service to customers. Standard meeting agenda follows:

1. **Old Business** (Review last changes implemented and discuss any pertinent issues or problems encountered)

    a. Post-release reviews of all changes made during last period;

    b. Review failed changes from incident management, problem management or change management;

    c. Review unauthorized changes to understand underlying issues and take corrective action;

    d. Document lessons learned from failed or backed out changes;

    e. Review deferred items from the previous meeting(s);

    f. Review and document change metrics; and

    g. Close RFCs as appropriate.

2. **New Business**

    a. Review and finalize RFCs pending CAB recommendation organized by release date, impact and priority;

    b. Review outstanding changes and changes in progress;

    c. Identify conflicts and resolve, or create action items for resolution;

    d. Establish the impact of the requested change in terms of system(s)/resources affected; cost, and schedule.

    e. Determine method for notifying those affected if change is approved;

    f. Schedule changes and update change schedule – establish maintenance window;

    g. Review communications planned as a result of the meeting (notifications, rejections, approvals, concerns and issues);

    h. Approve requests for standard (common, repeatable) changes that only require manager approval.

    i. Review and request resolution from other change managers if the change overlaps and/or conflicts with another requested change;

    j. Ensure rollback plans are reviewed and approved by appropriate manager(s);

    k. Ensure support is defined and appropriate IT staff are available in the event of a rollback of the change or a related problem;

    l. Discuss advance notice of RFC's expected for review at the next CAB;

m. Document Change Management wins/accomplishments for the period under discussion, e.g., a review of business benefits accrued by way of change management processes;

n. Document any amendments or proposed amendments to the change process.

3. **Post-Release (including Emergency Changes) Review**

a. CAB Chair, or delegate, prepares the CAB meeting minutes and updated schedule of changes; Change requests are documented in the change management tool. Meeting minutes and other business is captured as meeting notes on the ADS CAB Group site.

b. CAB Chair ensures the CAB agenda, schedule of changes, and other relevant documents are retained and distributed to all members of the CAB and/or their designees.

c. CAB reviews any emergency changes that transpired since the last CAB meeting; and

d. Appropriate manager submits CAB decisions for each CAB-reviewed RFC to the ticketing system.

COMMUNICATION PLAN

Stakeholder/Target Audience	Person / Role Responsible	Subject / Objective	Delivery Method	External "User" Communication Methods
Change Requestor	CAB Chair	Communicate CAB decision and schedule if change approved.	Landesk/Email/Phone	Global Email
Affected Agency Customers (Business Users, Partners)	CAB Chair & Agency IT designee	Communicate CAB decision and schedule if change approved. Provide training resources if applicable/available.	Email/Phone/Standardized Template	Global Email
Agency Leadership	Agency IT Director / Shared Services Director	Communicate CAB decision and schedule if change approved. Provide training	Email, Phone, Leadership Team meetings, PAC meeting	

		resources if applicable.		
Vendor	CAB Chair	Communicate CAB decision and schedule if change approved.	Email/Phone	
ADS	CAB Chair	Communicate CAB decision and schedule if change approved.	Email/Phone	
Sub-CABs	CAB Chair	Communicate CAB decision and schedule if change approved	Email/Landesk/Phone	Global Email
ADS Leadership	CAB Chair	Communicate issues, policy, or procedures to ADS Leadership	Email, Phone, Leadership Team meetings	

CHARTER REVIEW

This Charter will be reviewed annually by ADS CAB members and IT Leadership at the beginning of each state Fiscal Year. The CAB Chair or ADS Leadership may call a review of the Charter at any point in the year provided 30 day notice is provided to CAB members.

SIGNATURES OF APPROVAL AND AGREEMENT DATE

Role	Name and Title	Signature	Date
CAB Chair/Manager/ECAB	Angela Leclerc, Deputy Director, Shared Services		
CAB Member/ECAB	Frank Costantino, ADS Shared Services Network & ERP		
CAB Member/ECAB	Shawn Potter – ADS Shared Services Desktop & Service Desk		
CAB Member	Darwin Thompson, ADS – AOA/DPS IT Lead		
CAB Member	Mike Steves, ADS Security		
CAB Member	Paul Haigh, ADS Enterprise Cloud Services		
CAB Member	Morgan Ecklund, ADS AOE IT		
CAB Member	Rick Scott, ADS AOT IT		
CAB Member	Lucas Herring, ADS AHS IT		
CAB Member	Drew Emory, ADS DPS IT		
CAB Member	Sarah Wells, ADS AGR IT		
CAB Member	Charlie Zimmermann, ADS ACCD IT		
CAB Member	Karen Canas, ADS DOL IT		
CAB Member	Tara Pecor, ADS ANR IT		