



Shared Financial System (SFS) Change Request Process

REVISION CONTROL

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I. PURPOSE

This document addresses the process by which requests to modify the University of Wisconsin SFS baseline product including all known bolt-ons and central reporting facilities will be submitted and the governance process that will approve or reject those requests.

The SFS baseline product as of March 2007 consists of the PeopleSoft software for the following modules: Accounts Payable, Accounts Receivable, Asset Management, Billing, General Ledger, Purchasing and all known bolt-ons (e.g. Payroll Interface, nVision, WISDM, etc.). The SFS baseline product will expand with the January 2008 Program Release to include the Travel Expense Module and five modules related to the production roll out of the Grants suite. As additional modules are licensed and implemented they become part of the SFS baseline.

PeopleSoft Query and nVision reports developed by campus users are outside of the scope of the change process. Any reports made available through a central reporting facility (e.g. WISDM) are within the scope of the change process, and as such come under the SFS Change Request Governance Structure.

This document does not address the project prioritization process or workload management.

II. OBJECTIVES

- a. The Shared Financial System will result in improved services for University of Wisconsin campuses, while insuring SFS continues as a stable, supportable system.
- b. Campuses or Strategic Projects with unique needs will have a means to initiate SFS Change Requests subject to the SFS Change Request decision making process which includes consideration of underlying principles, SFS Change Request categories, and SFS Change Request decision criteria.
- c. Change Requests will be systematically managed, tracked, and documented.
- d. Change Requests will be communicated and visible to all impacted parties.

III. PRINCIPLES

- a. The PeopleSoft application software has evolved to meet the majority of the needs of the institutions implementing the software. Whenever feasible, business processes will be changed to coincide with delivered PS functionality.
- b. Campuses and Strategic Projects will collaborate to define the most effective business processes possible and make business process changes on their campuses as appropriate.
- c. Given the costs involved in making and maintaining changes to the delivered PeopleSoft application software in conjunction with the recognition that on occasion there exists the need to adapt or enhance PeopleSoft's delivered functionality to meet the needs of the University of Wisconsin including integrated system requirements, requests for changes to SFS will be considered through the review process outlined in this document (SFS website).
- d. In general, we should do SFS in a common way. The Leadership Team should not approve change requests for a unique solution at a single institution or small subset of institutions, but should either deny the request or, if they believe it should be approved, refer it to the Executive Committee for their review.

IV. SFS CHANGE REQUEST DEFINITIONS

SFS Change Request . A SFS Change Request to SFS includes a change to any Configuration settings, Standard value sets, Major business process changes, Record (table) definitions, Panels, Panel Groups, PeopleCode (edits), Translate values, Views, Security components, and Indexes (defined in the PeopleSoft Tools), Menus or Fields.

Change Requestor/Idea Originator. A SFS Change Request can originate from a campus user, a Strategic Implementation Team (Project Management Office - PMO), or from a SFS Team Member. Campus requests to the current baseline SFS modules, bolt-ons, and reporting facilities that are initiated by a campus user should be brought through the SFS Core Financials PMO office for consideration.

Project Management Office (PMO). Each Shared Financial System Strategic Project is managed by a team commonly referred to as the Project Management Office. Each PMO is responsible for the management of the Strategic Project, as well as, the review and approval (at the project level) of all SFS Change Request and design requests.

V. SFS CHANGE REQUEST CATEGORIES

The SFS Change Request business justification should refer to one (or more) of the following four categories:

1. **State, Federal, and Legal Requirements** – There are State, Federal, and other Legal mandates that cannot be eliminated or changed. The requirement will be cited, subjected to thorough review for alternative interpretations, and challenged if prudent.
2. **University of Wisconsin Business Requirement** - There are policy, compliance, and reporting requirements for each of the campuses which necessitate additional or modified functionality to meet unique University business needs (e.g. best business practices, integration with other State or University system, reporting requirements).
3. **Software Improvement** - This is an enhancement or “nice to have” feature or function.
4. **Technical Improvements** – This is a change required to sustain the system or that will enhance the performance, supportability or functionality of the system.

VI. SFS CHANGE REQUEST DECISION CRITERIA

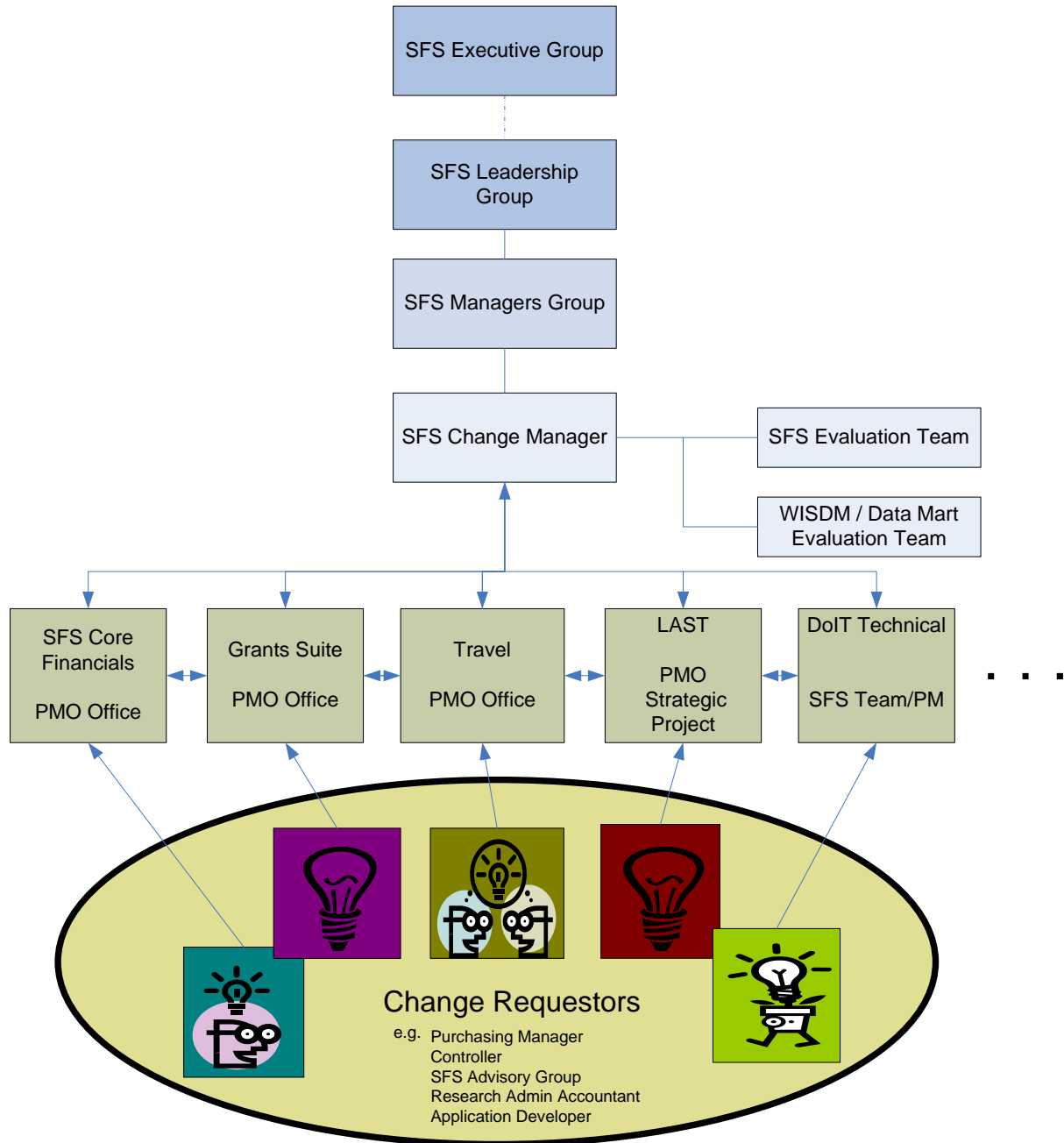
Use of ‘delivered PeopleSoft functionality’ (i.e. “Vanilla”) is implicit unless compelling justification can be made. Each proposed SFS Change Request to delivered PeopleSoft functionality, specifically, as well as to the SFS environment overall will be considered based on the following decision criteria (**See Appendix A**):

- Strategic Alignment
- Regulations, Legislation, and Mandates
- Functionality Impact
- Technical Design Impact (Development & Infrastructure)
- Security Impact

- Production Support Impact
- Funding (e.g costs savings)
- Upgrade Impact
- PS Support
- Time Constraints
- Alternative Solutions
- Other

VII. HIGH LEVEL DIAGRAM - SFS CHANGE REQUEST PROCESS

Note. PMO Offices may change over time.



VIII. SFS GOVERNANCE STRUCTURE AND CHANGE REQUEST ROLES AND RESPONSIBILITIES

SFS Governance Structure

The Shared Financial System (SFS) of the University of Wisconsin System is operated by the UW System Administration's Office of Financial Administration in partnership with the UW-Madison's Division of Information Technology (DOIT). Responsibility for daily operations and for project planning rests with these two offices functioning together as the **SFS Managers Group**.

The SFS Managers Group represents a subset of the **SFS Leadership Team** which includes additional campus, DOIT and UW System Administration staff representing the major stakeholder communities. The SFS Managers Group and Leadership Team are counseled by **an SFS Advisory Committee** made up of one representative from each UW System institution.

The **SFS Executive Committee** is the oversight body that decides major unresolved issues escalated by the Leadership Team and that represents resource needs to the UW System's **Common Systems Review Group**. The four permanent members of the SFS Executive Committee also serve as members of the executive oversight group for the other major common administrative systems and as members of the Common Systems Review Group. Ultimate executive sponsorship responsibility for SFS, along with all the UW System's common administrative systems, rests with the UW System's **Executive Senior Vice President**.

Change Request Roles and Responsibilities

SFS Change Requestor (PMO)

The SFS Change Requestor initiates the change process (the requestor may be a PMO office). All changes submitted to a Project Management Office (PMO) must follow the processes and procedures dictated for that Strategic Project and outlined in the respective PMO guidelines. For example, it may be the protocol of the Grants, LAST, Expense (EX), Supply Chain, or SFS PMO to present SFS Change Requests approved by the PMO to their oversight committee for review and approval prior to submitting the request to the SFS Managers Group.

Responsibilities include the completion of an SFS Change Request Form (**Appendix B**):

- Identify the business, service or technical need for the change.
- If possible and information is available, provide:
- Develop the business justification.
- Provide detailed requirements.
- Discuss processing alternatives.
- Propose a recommendation.
- Submit SFS Change Requests for approval.
- Attend SFS Managers Group meetings as required.

SFS Change Manager

The Change Manager, the Director of Financial Operations – UWSA, manages the SFS Change Request Process for all SFS Change Requests submitted for review. The Change Manager decides

on a case-by-case basis whether a SFS Change Request warrants the advisory consultation of the SFS Managers Group based on established criteria (**See Appendix A**). If the SFS Change Request is simple, routine, or clearly unacceptable, the Change Manager may use discretion to approve or deny the request without additional consultation in order to expedite decision making. The Change Manager is also responsible for maintaining change tracking information. Change tracking responsibilities may be delegated.

Responsibilities include:

- Coordinate the movement of SFS Change Requests through the SFS Change Request Process.
- Manage the change approval process in conjunction with the SFS Managers Group.
- Convene the SFS Managers Group meetings as required.
- Ensure minutes of SFS Managers Group meetings reflect current status of all open SFS Change Requests. Provide a summarized response to appropriate Project Management Offices (Requestors).
- Advise appropriate parties of the status of the change.
- Verify closure of change.

Change Tracking responsibilities include:

- Maintain change log with the status of SFS Change Requests from inception through closure.
- Verify the SFS Change Requests are correctly completed.
- Ensure all signoffs are obtained in accordance with the change request procedure.
- Notify appropriate parties of SFS Change Request status.
- Create Change Request Reports as necessary.

SFS Managers Group

The SFS Managers Group provides a forum to review SFS Change Requests on a regular basis based on established criteria (**See Appendix A**). The SFS Managers Group is comprised of regular members representing the technical and functional communities. Once the respective Project Management Office (PMO) approves the request it is presented to the SFS Managers Group through the Change Manager.

Responsibilities include:

- Assess the business risk and impact of the change based on established criteria.
- Ensure that the technical feasibility, risk and effect of the change have been adequately assessed.
- Assess the benefit of the change in relation to cost.
- Assess and prioritize SFS Change Requests.
- Approve or reject the SFS Change Request.

Independent Evaluation Teams

An evaluation group composed of functional and technical PeopleSoft savvy people at the request of the Change Manager or SFS Managers Group will review the impact of the requested change on the overall system. They will review the proposed changes against an established list of criteria (**See Appendix A**) and document any issues identified. The issues will be forwarded along with the SFS Change Request through the change process.

Responsibilities include assessing technical criteria, security concerns and other system-wide functional issues such as:

- Oracle/PeopleSoft support ramifications
- Future impact on patches and upgrades
- Security implications
- UW supportability of the proposed change
- Complexity of the proposed change
- Impact on other PeopleSoft delivered functionality
- Impact on related interfaces and custom developed financial systems apps

SFS Leadership Team

Responsibilities include:

- Provide guidance and advice to the SFS Project Manager
- Review any new functionality or changes to business processes requested by the Advisory Committee and provide guidance for the analysis of the associated recommendations
- Review and approve any significant changes to the functionality of SFS
- Approve or reject change requests escalated as part of the appeal process
(**Appendix A,C**)

SFS Executive Team

Responsibilities include:

- Approve major business process changes related to financial administration
- Review issues that may have a broad implication across the related modules (e.g., Commitment Control, Grants, Projects)
- Review and approve the annual budget
- Make decisions on unresolved issues escalated by the SFS Leadership Team
- Approve or reject change requests escalated as part of the appeal process
(**Appendix A,C**)

SFS Advisory Team

Responsibilities include:

- Advise the SFS Leadership Team and the SFS Executive Committee with input and recommendations for the ongoing effectiveness of the SFS System including but not limited to best business practices, identification and prioritization of proposed functionality changes, and service level expectations
- Review status reports on ongoing operations and projects and advise of impact to campuses or on other initiatives underway

- Work collaboratively with advisory committees for other closely related common systems (e.g., UWS Service Center, Student Administration System) to promote improvements across systems and identify the impact of any change within one system to another system to resolve competing priorities and requests

See **Appendix C** for detailed SFS Change Request process flow diagrams explaining the SFS Change Request Initiation Process, SFS Change Request Assessment Process, and SFS Change Request Appeal Process (Escalated Approval Process).

IX. SFS CHANGE REQUEST STATUS

A requested change will pass through several statuses during its life. These statuses, and the criteria for moving from one status to another, are depicted in the state-transition diagram in Figure 1 and described in the Possible Statuses table.

Possible Statuses

Status	Meaning
In Review	One of the Strategic Project Management Offices has submitted a change to the SFS Manager Group and is currently being reviewed.
Approved	The SFS Manager Group agrees it is valuable to implement the requested change. The request will be moved to the project priority list.
Not Approved	The SFS Manager Group decided not to implement the requested change. A reason for not approving the SFS Change Request must be provided.
Deferred	One of the Strategic Project Management Offices or the SFS Manager Group has decided to defer requested change. A reason for this action will be provided.
Withdrawn	One of the Strategic Project Management Offices has withdrawn the SFS Change Request. A reason for withdrawing the SFS Change Request must be provided.

APPENDIX A: SFS CHANGE REQUEST CRITERIA

Category	Facets of category to consider
Strategic Alignment	<ul style="list-style-type: none"> • Consistent with University Strategy • Consistent with Financial Systems Strategy • Consistent with Technology Strategy
Regulations, Legislation, and Mandates	<ul style="list-style-type: none"> • Regulatory requirement • Legislative requirement • Administrative mandate
Functionality Impact	<ul style="list-style-type: none"> • Within a SFS module/component • Effects multiple SFS modules • Effects multiple Enterprise wide systems (SFS, Payroll, Student Admin) • Effects other applications that serve select subgroups • Impact is global or business unit specific
Technical Design Impact (Development & Infrastructure)	<ul style="list-style-type: none"> • Technical design is consistent with current and future directions • Performance impact • Hardware requirements • Tools Support • Knowledge base exists to implement and support • Additional staffing required • Additional training required
Security Impact	<ul style="list-style-type: none"> • Requires new or higher level of security
Production Support Impact	<ul style="list-style-type: none"> • Scheduling impact • Batch processing window impact • Functional Support impact • Technical (development, security, dba) Support impact
Funding	<ul style="list-style-type: none"> • Cost estimates consider both functional and technical time • Costs estimates consider both implementation and on-going Support • Cost estimates include new or expanded infrastructure costs • Funding for implementation is available

	<ul style="list-style-type: none"> • Funding is identified and available to support this change in production • Clear cost savings to the University
Upgrade Impact	<ul style="list-style-type: none"> • Bundles, fixes, patches and upgrades require testing and SFS Change Request • Responsibility for testing and deciding on functionality changes is agreed to • Design will have minimal impact on upgrades
PS Support	<ul style="list-style-type: none"> • Assess the impact on PeopleSoft support
Time Constraints	<ul style="list-style-type: none"> • Length of time the change will be used is consistent with effort and impact on system
Alternative Solutions	<ul style="list-style-type: none"> • Is there a manual work around? • What is the standard PS or existing bolt-on remedy? • Is there a business process change that could resolve the issue • Is there an alternate functional/ technical approach?
Other	



APPENDIX B: SFS CHANGE REQUEST FORM

General Information

Tracking No.		Short Description									
Mod Request Applies To (check all that apply)	Shared Financial System Environment										
	GL		AP		PO		AR BI		AM		TRAVEL
	GRANTS				WISDM						
	PAYROLL INTERFACE				OTHER						
Request Initiated By (check one)	Campus			Campus Contact:							
	UWSA SFS			SFS Contact:							
	Grants			Grants Contact:							
	Travel			Travel Contact:							
	LAST			LAST Contact:							
	DoIT			DoIT Contact:							
Date of Request					Preferred Delivery Date						
Request status	In Review		Approved		Not Approved			Deferred		Withdrawn	

Business Justification:

Select a **SFS Change Request Category** as part of the business justification (**See Section V – Change Request Process Document**). Provide a description of the request. Identify who will benefit and how. Include any quantitative data that would clarify the scope and impact of the requested change. Include estimates supporting financial savings that would be realized with this change.

Detailed Requirements:

Provide a detailed description of the new functionality requirements. State the requirements in terms of expected functionality. If the change applies to an existing module(s), interface(s) or bolt-on(s), identify it. If known and applicable, specify security and menu requirements.

Processing Alternatives

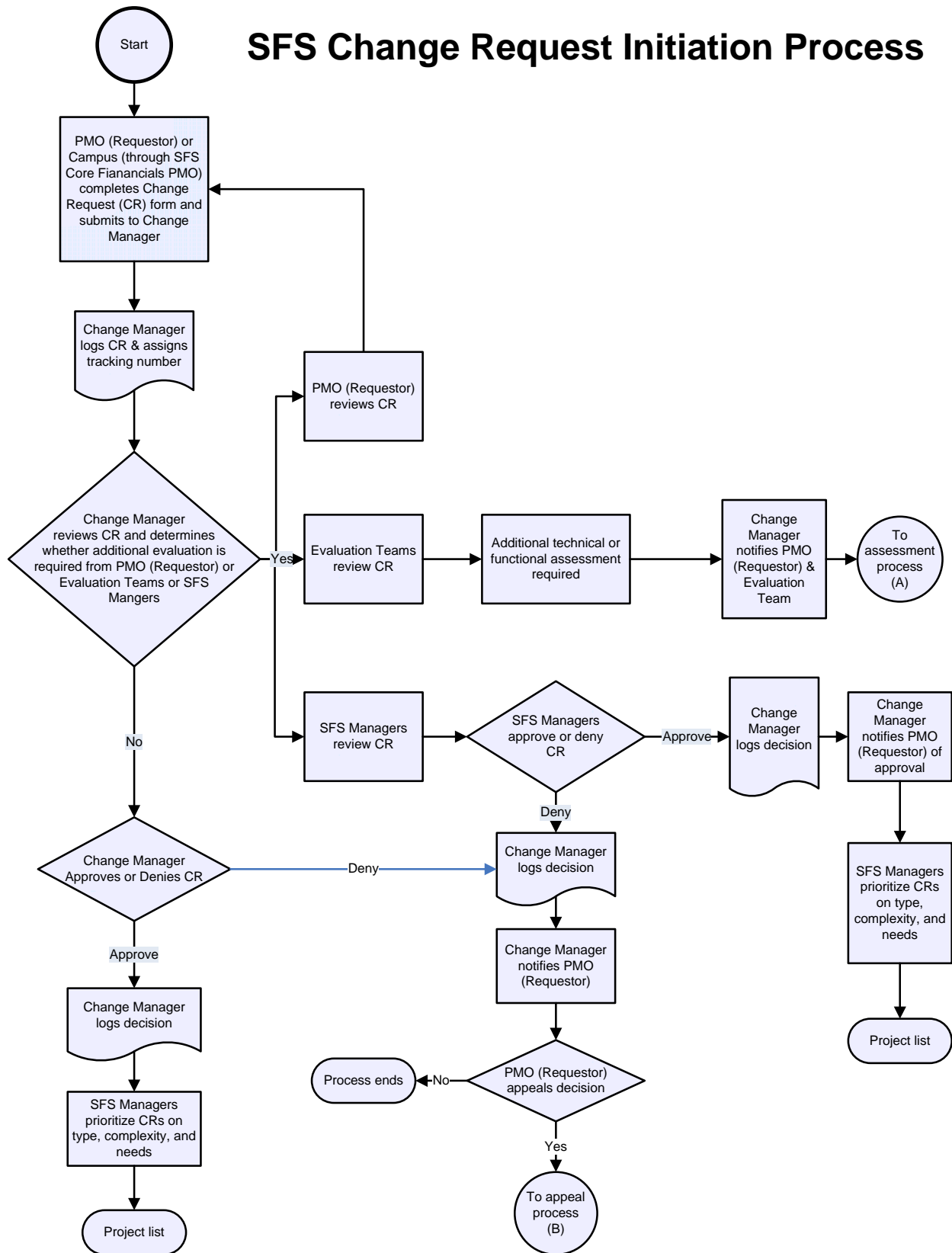
Provide alternatives for consideration that may satisfy the business requirements. These should include business process changes as well as system changes. Can a manual process or a combination of manual and automated processes satisfy the SFS Change Request requirements?

Recommendations

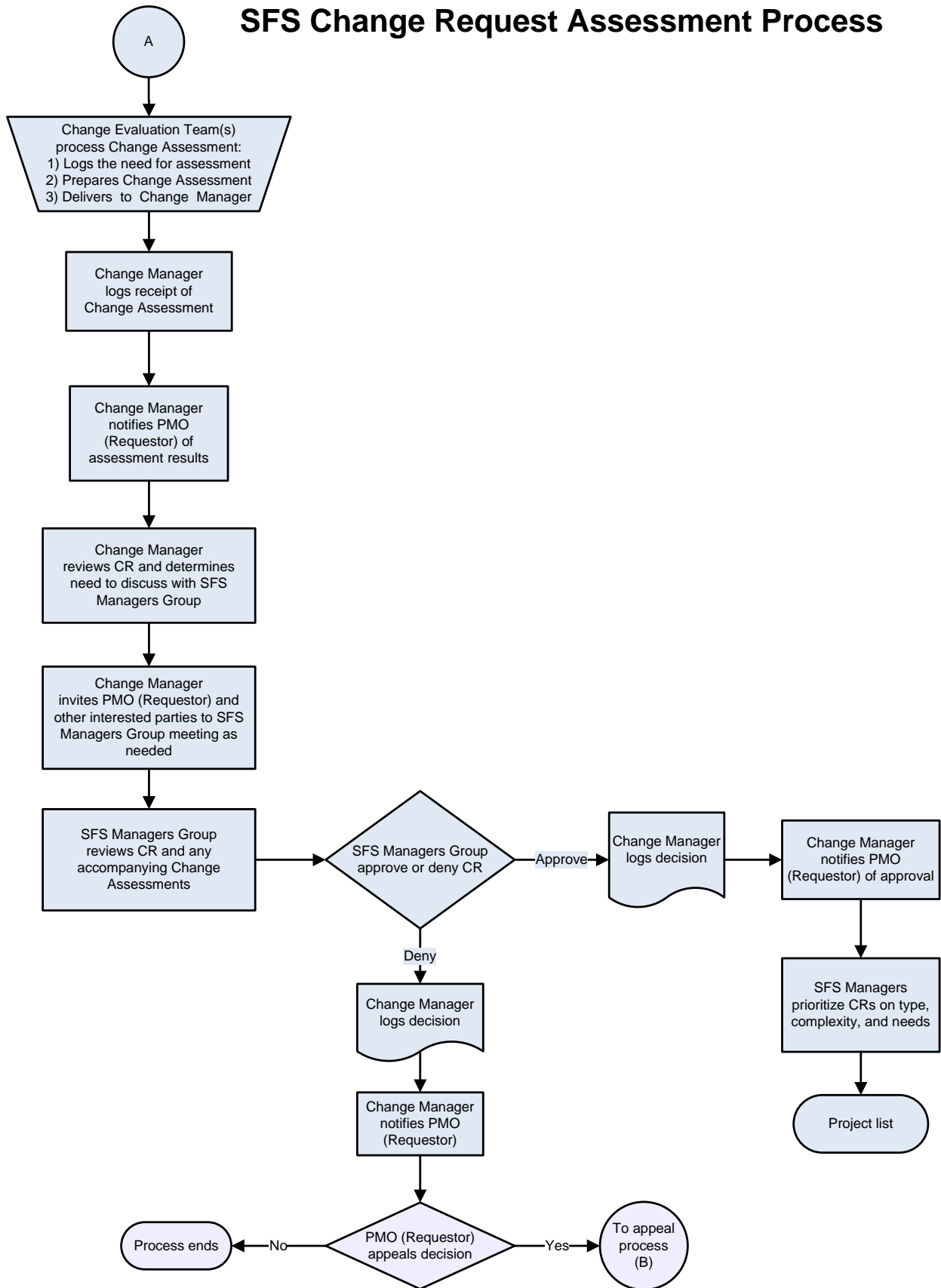
Identify the preferred alternative. Include a comparison between the alternatives and a rationale for the recommendation.

**Note: When completed forward to the Dwan Schuck – Director of Financial Operations
SFS Change Manager Via Email: dschuck@uwsa.edu Questions: Phone 262-5632**

APPENDIX C: SFS CHANGE REQUEST PROCESS FLOW DIAGRAMS – DETAILED



SFS Change Request Assessment Process



SFS Change Request Appeal Process

