Emergency CAB – RFC Voting Procedure

Scope: CSCU	Revision Date: 5/5/2015

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1. Introduction

The purpose of Change Management at the Connecticut State Colleges and Universities (ConnSCU) Board of Regents (BOR) System Office is 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.

The system that manages the Change Management process is FootPrints. We have used the FootPrints Change Management module to customize a workspace, called BOR Change Management that is designed to track, manage, control, and automate the change process.

This document contains the RFC Voting Procedure for the Emergency Change Advisory Board (CAB) members who will be responsible for reviewing and voting on every Request for Change (RFC) that is brought forward, within the voting period. Details on the Change Management (CM) process can be found on the CM website.

2. Emergency RFC

This is a request for a change that occurs when immediate action is required to resolve a major incident, unplanned outage or security concern. It is normally implemented in less than twenty-four hours. The approval process is handled by the Emergency CAB. The Internal and External CABs will be notified of this change and will be provided regular status updates. Approval by the Emergency CAB can occur verbally, but must also be documented in the Change Management System once the change has been implemented. *Note: See Appendix C for the Emergency RFC Workflow.*

3. Emergency CAB Responsibilities

The Emergency CAB is represented by the BOR CIO or their designee carrying a single vote. The Emergency CAB may have multiple designees, in the form of one primary and a backup. Any of the Emergency CAB's representatives (primary or backups) can cast the vote; however, it's the **first** vote cast that is recorded as the Emergency CAB's vote. The BOR CIO will need to decide how their vote is cast (primary or backup).

The Emergency CAB votes to provide the authority, to the Submitter, to implement the changes as proposed in the RFC. A unanimous "Approve" vote provides the authority to the Submitter to implement the change as detailed in the RFC. A single "Disapprove" vote will cause the RFC to be rejected. An Emergency RFC may have to be submitted after the change has occurred (ex. An off hours event that required an immediate change). However, an RFC should be submitted as soon as possible so that there is a record in place. Here are the voting details:

- An "Approve" vote represents that the change can move forward as documented.
- A "Disapprove" vote represents that the change cannot move forward as documented.
- The "Defer" vote should not be used.
- Voting functions will be performed by email.
- The Emergency CAB should use an "Approve" vote when immediate action is required to resolve a major incident, unplanned outage or security concern. It is normally implemented in less than twenty-four hours.
- Voting is based on the acceptable risk and impact of the change.

4. The Voting Process

As an Emergency CAB representative, you will receive an email each time an RFC is submitted for a vote. All Emergency CAB representatives (primary and backups) will receive these emails. Here is the overview of the process:

1. A Request for Change (RFC) is drafted within the BOR Change Management workspace.
2. An email is sent to the Emergency CAB representatives with the RFC details and a voting link.
3. The Emergency CAB representatives review the RFC and vote.

4. Once voting is complete, the results of the vote are emailed to each the Emergency CAB representatives and the Internal CAB. NOTE: If the change impacts services offered to a single or multiple ConnSCU institutions, then the results are sent to the External CAB as well.

4.1. Voting Has Started

The first email in the voting process is the "Voting has Started" email. This email contains the following information:

1. The voting link: "Click here to submit your vote."
2. The deadline for the vote. You need to cast your vote prior to the expiration of the time allotted. The timeframe varies depending on the RFC type (i.e. Normal, Expedited, and Emergency). For Emergency it will be 24 hours or less.
3. Details of the RFC.
4. The link to the RFC in the BOR Change Management workspace (see CAB User Guide).

Note: Until the Emergency CAB vote is cast, your Emergency CAB representatives will receive periodic reminder emails that the vote is pending. The following are the timelines to cast a vote:
- *Emergency RFC Vote: 4 HOURS*

Sample Emergency RFC Voting Email:

VOTING HAS STARTED FOR REVIEW BY THE EMERGENCY CAB
Click here to submit your vote

For record keeping, please enter your name in the comments field.

CONNECTICUT STATE
COLLEGES & UNIVERSITIES
BOARD OF REGENTS FOR HIGHER EDUCATION

The Deadline for this vote is 0d 4h 0m.
The current phase for this vote is Emergency 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 Number: 34
RFC Name: Test RFC for Documentation

Type of Change	Emergency
Implementation Date	05/01/2015 3:04 PM
Institutions Affected	All CCC's;BOR System Office;
Description of Change	Test Description
Objectives & Benefits	Test Objectives
Implementation Plan	Test Plan
Expected Impact	Medium - Minor impact lasting 1 to 4 hours.
Describe Impact	Test Impact
Backout Risk	Impossible - There is no route to reverse the change.
Describe Backout Plan	Test Backout

For full details you can follow this RFC link
Access to the Change Management Workspace is required.
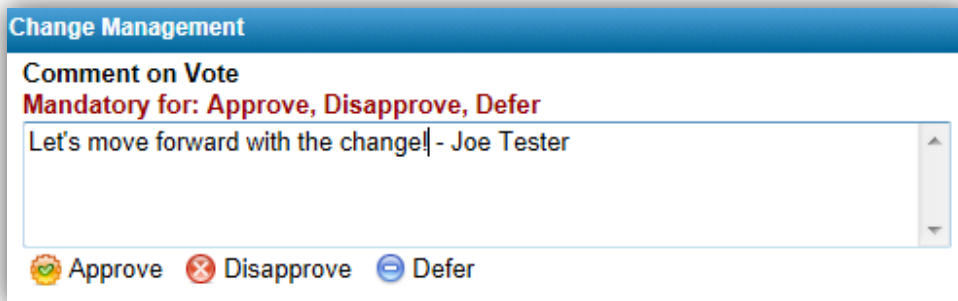
4.2. Submit Your Vote

The Emergency CAB has only one vote. Any of the Emergency CAB's representatives can cast the vote for the Emergency CAB. However it's the **first** vote cast that is recorded as the Emergency CAB's vote. The BOR CIO will need to decide how their vote is cast.

After you have reviewed the information in the RFC and are ready to make a decision, you must click on the link in the email that says "*Click here to submit your vote*". This will launch the actual voting ballot:

Change Management

Comment on Vote
Mandatory for: Approve, Disapprove, Defer

Approve   Disapprove   Defer

Rules for voting

1. Submit only an "Approve" or a "Disapprove" vote. The "Defer" vote should not be used.
2. You must submit a comment with the vote.

Change Management

Comment on Vote
Mandatory for: Approve, Disapprove, Defer

Let's move forward with the change! - Joe Tester

Approve   Disapprove   Defer

3. The Emergency CAB has only **one** vote. This is an example of a message that appears for a successful vote:

Your vote for approval for [Issue: 34, Process: 1, Phase: 1] was counted.

4.3. Results of the Vote

The results of the vote are sent via email immediately after the vote has been cast. There are three possible results:

1. Approved: the RFC went through the Emergency CAB vote and was approved.
2. Rejected: The RFC went through the Emergency CAB and was not approved.
3. Expired: The voting criteria were not met because the voting deadline has been reached and there was insufficient voter participation.

This is an example of an Approval Email:

> **THIS RFC HAS BEEN APPROVED BY THE EMERGENCY CAB.**
>
> This RFC required immediate action and was APPROVED by the Emergency CAB. This message serves as the notification to the Internal and External CABs of this change.
>
> **Request for Change (RFC) Details**
>
> **RFC Number:** 34
> **RFC Name:** Test RFC for Documentation
>
> | Type of Change | Emergency |
> |---|---|
> | Description of Change | Test Description |
>
> For full details you can follow this RFC link
> Access to the Change Management Workspace is required.

5. After the Vote

Depending on the results of all required CAB voting, the Submitter will proceed with implementing the change, revising the RFC for resubmission, or withdrawing the RFC. Here is an overview of the lifecycles of the RFC after the voting is completed.

5.1. Approved Status Lifecycle

This status is used to indicate that the RFC went through the required CAB voting process and was approved for implementation. Approval has been given to proceed with the implementation plan and date as detailed in the RFC. From this status, it may go on to an *IMPLEMENTED*, *BACKED OUT*, or *WITHDRAWN* status.

Implemented
This status is used to indicate that an RFC has gone through the approval process and has been implemented.

Backed Out
This status is used to indicate that an RFC has gone through the approval process and was attempted to be implemented or was implemented but needed to be backed out as per the back-out plan. This could be due to some unforeseen consequences or impediment.

Withdrawn
This status is used when an RFC needs to be withdrawn.

5.2.   Rejected Status Lifecycle

This status is used to indicate that the RFC went through the required CAB voting and was not approved (i.e. received at least one Disapprove vote). From this status, it may go onto *WITHDRAWN* or *DRAFT* status.

<u>Withdrawn</u>

This status is used when an RFC needs to be withdrawn.

<u>Draft</u>

This status is also used when initially documenting an RFC. There is no voting associated with this status. An RFC can stay in this status for as long as necessary.

5.3.   Expired Status Lifecycle

This status is used to indicate that the voting criteria were not met because the voting deadline has been reached with insufficient voter participation. From this status, it may go onto *WITHDRAWN* or *DRAFT* status.

<u>Withdrawn</u>

This status is used when an RFC needs to be withdrawn.

<u>Draft</u>

This status is also used when initially documenting an RFC. There is no voting associated with this status. An RFC can stay in this status for as long as necessary.