***Algorithmic Trading System***

***Change Request Policy***

Okanagan College

Algorithmic Trading System

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Version 0.1

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[Product Owner Signature(s) Block]

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# **Revision Sheet**

| Revision Number | Date | Brief summary of changes |
| --- | --- | --- |
| Version 0.0 | 10/15/23 | Baseline draft document - JL, DS |
|  |  |  |

## Introduction

### Purpose

This Change Request Policy serves to outline the policies that guide the Change Request Process under the Configuration Management Process.

### Scope

The Change Request Process governs all changes, upgrades, and modifications to the existing development, testing, and production environments. It encompasses, but is not necessarily limited to any of the following changes proposed by a developer, client, or product owner:

* System changes
  + System additions
  + System modifications
* Interface changes
  + Database Systems
  + Web Hosts
  + Servers
  + All other third-party services

The Change Request Policy specifically governs the following parts of the Change Request Process:

* Policies
  + Reasons for refusal
  + Dicussion with requesting party and dev(s) regarding
    - Risk Assesment, Implementation Plan, Scope of work
* Using the Change Request Form (CRF)
* Change execution
  + Change Request Report

### Key Definitions and Acronyms

CR - Change Request

CR Policy - Change Request Policy

CR Process - Change Request Process

CRF - Change Request Form

CRR - Change Request Report

## Change Requests

### Submission of Change Requests

Change Requests may be submitted by Clients, any member of the Development Team, or by the Product Owners via the Change Request Form (CRF). A sample of the CRF is contained in Appendix A. The following processes are deemed acceptable for the submission of CRs

#### Email - Change Request Form (CRF)

To submit a CR via Email, the following process should be observed:

1. Complete the CR Form found in Appendix A.
   1. The CRF must contain enough detail to understand the impacts of the change
   2. The CRF must contain enough detail on the change(s) being requested
2. Attach any required documents that may support the CR (e.g. project plans, test plans, screenshots, use cases, user stories, etc.)
3. Once the form is complete, submit the form to the Product Owners:
   1. Jacob Rawlings - jacobrawlings66@gmail.com
   2. Ben Carrier - b.carrier373@gmail.com

Upon completion of these steps, the received CRF will proceed to the Assessment stage.

### Change Assessment

Change Assessment is the process in which any change request undergoes. The process is lead by the Product Owners and includes but is not limited to:

1. Reviewing the change requested and documentation provided alongside the CRF.
2. Completion of Risk Assessment(s)
3. Assessing applicable policies defined in section 2.3.
4. Meetings with requesting party regarding:
   1. Clarification or revision of the requested change
   2. Discourse regarding concerns involving resources, requirements, etc., that is raised during the assessment of policies defined in section 2.3 or by the completion of a risk assessment.

The change assessment is considered complete once:

* Risk Assessments are completed
* Due diligence has taken place in order to communicate with the requesting party.
* Concerns have been either addressed to a sufficient extent such that the change can be considered for acceptance, or grounds for refusal have been met.

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### Change Refusal

Change Refusal criteria includes, but is not limited to the following:

1. Assessed time estimate will impact the system delivery to a degree such that:
   1. It cannot be completed by the end of the agreed upon work period.
   2. It cannot be completed by the time the creator of the request has specified and no agreement has been reached on a modified delivery date.
2. The requested change challenges the resources of the Development Team, such that:
   1. There are no existing resources that can be directed to the fulfillment of the change.
   2. An agreement on provisioning additional resources to meet the requirements of the change has not been reached.
3. The requested change introduces risks such that:
   1. There exists a security threat that the change either exposes or enables.
   2. There is a significant risk that will impact delivery of the system.
   3. There exists an introduction of liability to any party such that unreasonable changes in policy and/or procedures must be made, or can not be agreed upon. (i.e. introduction of personally identifiable data)
   4. Risk introduced to system components is found to be significant and unjustified.
4. The requested change provides, or has, insufficient justification such that:
   1. The change has no demonstrable value to the client or effected parties
   2. The change has no demonstrable improvement to the user experience or quality of the product.
   3. The change does not sufficiently align with the solution to the business problem.
5. There is insufficient engagement from the requesting party such that:
   1. Said party can not be reached for discussion, clarification, or signing of related documents.
   2. The CR process is not able to be completed in a reasonable time frame.
   3. No amicable compromise can be made, if necessary.
6. The requested change has been refused by this process previously with no additional revision, or changes in circumstance that justify reopening of the request.

## Change Execution

### Creation of Change Request Report

Upon completion of the Change Assessment for any given change request, a Change Request Report (CRR) is created detailing the verdict outlined according to policy and must be signed by the client. An accepted change is not officiated until this document has been signed by the requesting party and the Product Owners. A sample report is included under Appendix B.

The CRR must concisely outline the following sections:

1. Initially Requested Change
2. Revised Requested Change (if applicable)
3. Verdict: Acceptance or Refusal of change
   1. Outlines the specific reasoning or policies for refusal
   2. Signature field for Product Owner and requesting party
4. Implementation Plan
   1. Detailing the steps that will be taken
   2. Affected systems components
   3. Resources acquired or redirected (if applicable)
5. Remediation Plan (if applicable)
   1. Detailing the process to remediate a failure in change.
6. Risk Impact Assessment
   1. Detail risks identified in Change Assessment