# PPL Change Request Process

V0.5

# Disclaimer

Important - this document is confidential and is the property of Placing Platform Limited (PPL). It may not be disclosed to third parties without the express written permission of PPL. Please contact Legal & Compliance for further advice.

| Document Version Control | | | |
|---|---|---|---|
| **Document Owner** | Dan Turner / Andy Woolley | | |
| **Approving Committee** | User and Operations Sub Committee | | |
| **Document Review and Revision History** | | | |
| **Version** | **Reviewer** | **Description of Revision** | **Date of Revision** |
| **V0.1** | **CM** | Updated Process | 10/02/16 |
| **V0.2** | **AW** | Updated document to mirror Change Request Log | 08/03/16 |
| **V0.3** | **AW** | Changes following Design and Change Group members review | 16/03/16 |
| **V0.4** | **AW** | CR Form added as an addendum. | 24/03/16 |
| **V0.5** | **AW** | Comments received from LIIBA | 11/04/16 |
| | | | |
| **Related documents** | Change Request Form<br>Change Request Log<br>Detailed Change Request Process Flow | | |

| Formal Sign Off | | | |
|---|---|---|---|
| **Version** | **Approving Committee/Individual** | **Name and Signing Capacity** | **Approval Date** |
| | | | |
| | | | |
| | | | |
| | | | |
| **Next Review Date** | | | |

## Contents

# 1 Introduction

## 1.1 Purpose

The purpose of this document is to detail the Change Request (CR) management process that will be adopted by the Placing Platform Limited (PPL) Team during both Market Acceptance Testing (MAT) and beyond. This change management process will ensure that each change request will be appropriately defined, referenced, evaluated and approved prior to implementation.

Each request will be tracked from the time of presentation through the following stages:

1. Identification (identify and document the required change)
2. Validation (verify the change is valid and requires consideration/development)
3. Analysis (analyse impact of change, document impact of not implementing the change and the cost benefit case)
4. Approval (decide whether to execute the change, sign off)
5. Action (execute decision [including development] and revision to project plans and documentation if necessary and test)
6. Close (verify that action is complete and close change request)

## 1.2 Assumptions

Market Sub Committees and the Design and Change Group will be in place with agreed roles and responsibilities prior to change requests being received. Where they are not in place the PPL team will act on their behalf engaging the existing SME and Practitioner groups where necessary.

During MAT it may be necessary for the relevant sub committees and groups to meet frequently to ensure change requests are processed as quickly as possible prior to go live. The frequency required will be determined by the number of change requests received.

Relevant groups will be notified of change requests via the PPL team.

## 1.3 Change request process overview

The following diagram (Fig 1. below) shows the process flow that will be adopted and the path that any successful Change Request will take, from initial source through the various stages to final completion.

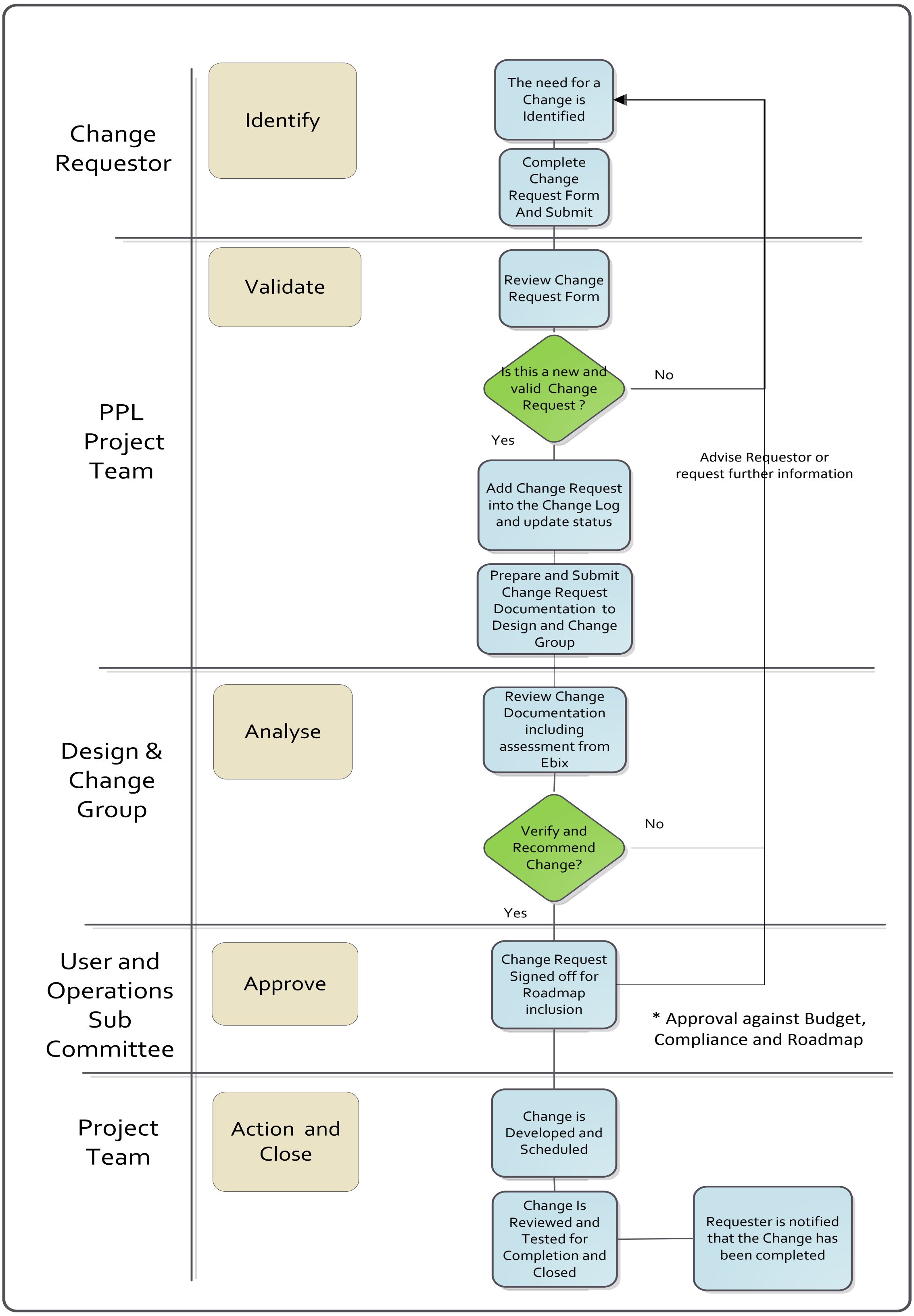


Fig 1. – PPL Change Request Process Flow

# 2 Identification & Validation

## 2.1 Identification and submission of change requests during MAT

During the MAT process the Business Users will be given a set of MAT scripts against which they will be able to record any problems that they find on executing each script together with details of any change that they would like to propose from the perspective of either a system functionality problem fix or a business process usability change.

Any script returned with a CR attached will be triaged, logged by the PPL project team and confirmed for inclusion by the PPL Test Manager. A defect log and a change request log have been created to help facilitate this process. Once a change request has been correctly referenced by the team it will be recorded on the change request log and progressed through the stages previously discussed in this document and shown in fig 1.diagram above.

If a change request is received by any other means the Change Requestor of the request will be asked to complete a Change Request form (attached as Addendum 1.) to ensure the correct information regarding the request is collected. The CR form will assist in identifying the benefit of making the change and/or the business requirement driving the change request and why it is deemed important.

When received by the PPL project team it will be dealt with in the same manner as the change requests received via the MAT test script testing.

## 2.2 Identification and submission of change requests post go live

Following the launch of the Terrorism class, the PPL project team will continue to engage with the Market regarding the on-going development of the system via the PPL Sub-committees and Practitioner groups. This will provide a route for any further change requests to be submitted.

All requests should be submitted using the standard PPL Change Request form to ensure that correct and consistent information is collated.

All requests received will follow the same process as per MAT (described above in 2.1).

## 2.3 Validation

All completed Change Request Forms will be checked by the Business Analysts within the PPL project team. It may be necessary for the PPL BAs at this point to contact the Requestor of the request to clarify the details to ensure it has been correctly understood and recorded.

If the request has already been made the new Requestor will be made aware of the current status of the CR already raised. The PPL BA will capture the number of times the same request is received in order to advise the relevant Market Groups.

Each Change Request will be validated against existing system functionality specifications, the Market Best Practice Guide and Legal/Compliance/Regulatory guidelines as applicable, to ensure that it can proceed to the next stage. This may also include discussions with the Ebix BA team to establish an idea of the extent of any change. Any considerations will be noted against the Change Request by the PPL BA before it is moved on in the process.

## 2.4 Documentation

Change requests will be documented on the change log (see example attached as addendum) and published on the PPL website to allow Market visibility of the changes requested.

The Change Request form template will also be available via the PPL website.

A listing of all change requests raised will be produced by the PPL BAs and distributed to the Design and Change Group and where necessary the PPL Finance and Compliance Sub Committee.

# 3 Verification & Analysis

## 3.1 Verification

Using the information provided in the Change Request form, the Design and Change Group (DCG) will assess each CR presented and formulate a response to the proposed change. Each CR will be evaluated and verified to ensure that;

i) the change is necessary;
ii) the benefit of making the change can be realised

The change request may be rejected at this stage by the Design and Change Group. If the CR is rejected, it will have a reason for rejection added to it and this will be conveyed back to the Requestor of the change as well as being recorded on the CR log by the PPL Project Team.

## 3.2 Impact Analysis

All CRs that pass the above verification phase will be passed into and impact analysis phase by the DCG. This typically means identifying the impact of the change on the overall system, other users and project roadmap schedule.

A number of factors may be taken into account by the Design and Change Group when analysing the request. These may include but are not limited to;

- Number of change requests presented and priorities
- Feasibility and benefits of the change
- Complexity of the change options requested
- Risk in implementing the change
- Risk in not implementing the change
- Impact – time, resources, days effort / development days
- Impact on existing road map or scheduled releases
- Notice of the change required by the existing users
- Extent of any ‘work-around’ that needs to be implemented
- ACORD and TMail considerations

Sometimes there are multiple options for incorporating the change. For example, one approach could be to trade-off the change for a lower-priority requirement and not impact the schedule or scope. Another approach could involve delays to the schedule and an increased budget, but keep the original scope intact.

The change request may still be rejected at this stage by the Design and Change Group.

### 3.3 Development assessment - Ebix

During the impact analysis phase change requests will be sent to Ebix for assessment of development days required to complete the request. Ebix will use a small to extra-large scale to indicate the number of days effort involved. This development effort will be advised back to the Design & Change Group and the PPL BAs who will update the Change Request Log status.

- Small = <5 days
- Medium = 5 to 10 days
- Large = >10 but <30 days
- Extra-Large = >30 days

An additional 50% will then be added to the days to cover testing and additional Business Analysis.

All documentation and Quality assessments to be supplied as defined within the ‘Delivery Framework’ document.

### 3.4 Decisions & Documentation

It is expected that in its capacity the Design and Change Group will be able to come to a decision/recommendation on whether to proceed with a change request or not.

As part of their recommendation the DCG will suggest a roadmap delivery slot. This will be added to the CR log by the PPL BA team.

If the change involves an amendment to Market Practice, the DCG will also be responsible for compiling the wording changes for the PPL Market Practice Guide.

## 4 Approval

### 4.1 Sign-off

The Design and Change Group will forward the change request forms, and any supporting documentation, together with their recommendations to the User and Operations Sub-Committee for review and final approval.

The User and Operations Sub-Committee will review the recommendations and determine the feasibility of each by examining factors, such as:

- Risk in implementing the change
- Risk in not implementing the change
- Impact on the project in implementing the change such as time, resources, finance and quality

In order to make a complete informed decision at this stage ‘Cash-flow’ management reports will also be required from the PPL Finance & Compliance Sub-Committee detailing all expected expenditure in each period including IT spend, Company payments, Training costs etc.

After a formal review the User and Operations Sub-Committee may:

- Reject the change
- Request more information related to the change
- Approve the change as recommended and confirm Release/Roadmap slot
- Approve the change subject to specified conditions

# 5 Action

## 5.1 Scheduling

All signed-off change requests will be forwarded to the PPL team to update the status on the Change Request Log and to insert the scheduling information relating to each change into the relevant System Releases on the roll-out plans (see separate 'PPL Roll-Out Strategy' document).

## 5.2 Development

The signed-off requests and any accompanying documentation will be forwarded to Ebix for development and testing. Once developed, Ebix will unit test the changes and prepare a release note and any updated specifications prior to a release of the changes to the PPL team within the PPL UAT environment.

## 5.3 Testing

The PPL Test Manager will undertake regression testing prior to releasing the change to the end user to ensure the changes have been implemented correctly. The PPL team will engage with the relevant end users to ensure full MAT of the changes take place.

If the testing fails for any reason the PPL Test manager will liaise with Ebix to rectify.

All actions will be reflected within the Change Control Log.

## 5.4 Release

The PPL Test Manager will review the change request and ensure the change is to be deployed in the agreed scheduled release/roadmap slot to the live environment.

If the change is not available for deployment into the agreed scheduled release/roadmap slot, the PPL Test Manager will advise the User and Operations Sub Committee of the fact and suggest an amended release schedule for agreement. The User and Operations Sub Committee may need to refer the item back to the Design and Change Group for them to re-prioritise.

# 6 Close

## 6.1 Communication

Notice of changes due to be released to the PPL system will be given to Market Companies using the system by the PPL Market Engagement team in advance of the release. The extent of the communication will depend on the impact of the change to be implemented.

## 6.2 Training

Depending on the extent of change it may be necessary to include training notes in the communication of end users.

## 6.3 Documentation

The Change Request Log will be updated by the PPL team to show that the Change Requests have been closed and any additional documentation that may require updating will be amended. This includes but is not restricted to :

- User guides and associated training materials
- Market Best Practice Guide
- Process Maps
- Frequently Asked Questions

# Change Request Form

Please complete the following details on this page and email it to the PPL Team at PPLMAT@LondonMarketGroup.co.uk

| Change Requestor Details | |
|---|---|
| Date Raised | |
| Change Requestor Name / Company | |
| Contact Email | |
| Contact Tel Number | |
| Requestor User Role (e.g. Broker/Uwrt/Operations etc.) | |

| Change Request Details | |
|---|---|
| Change Summary | |
| Change Detailed Description (please attach screen-shots if applicable) | |
| Functional Area (e.g Quotes/Firm Orders/Alerts etc.) | |

Please circle your usability score without this change in place

| Usability Ratings and Definitions: | |
|---|---|
| 1 | Usability is unacceptable |
| 2 | Usability is acceptable, but requires workaround |
| 3 | Usability is acceptable, but requires future system enhancement |
| 4 | Usability meets business requirements |

**For PPL Team Use Only:**

# Change Request Form

| | |
|---|---|
| Change Request ID or Duplicate of ID | |
| Date added to CR Log / By Whom | |
| New or Duplicate? | |
| D&C Group Approved or Declined | |

| Design and Change Group Comment |
|---|
| |

| Change Request Roadmap Allocation / Closure Status | |
|---|---|
| D&C Priority | |
| D&C Roadmap Slot | |
| User and Ops Sub-Committee Approval Date | |
| System Release Version / Release Date | |
| Requestor Advised Date | |
| Closure Date | |

# Change Request Log Example

PPL

**PPL Phase 1 Change Request Log As At: 24/03/2016**

| Test Phase | Item Type | Ticket ID | Summary | Description | Raised By | Date Raised | Functional Area | Assigned To | Date Last Assigned | Priority | Status | Dev Effort | Roadmap Slot (Month/Year) | D&C Roadmap Slot Comment | Comments | Duplicate requests also Raised By |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| System Test | Change Request | 1 | Addition of functionality to allow broker to pre populate quote sheet - Rejected. Change request changed to gaining agreement to generic sheet and the dev required to do this. | Underwriters have requested that there is functionality to allow the brokers to pre-populate the quote sheet with various details in order to make the quote process more efficient | Broker (Lyall Horner - Marsh) | 19/01/2016 | Process / Practice | Design & Change Group | 09/03/2016 | 2 - Medium | Open | Medium | Not on road Map | Not for go live - M | Ops Sub comm U/W did not want this taken forward due to potential E&O issues. Underwiters present also did not support this idea. However, the idea of a generic sheet is sound. Andy to take forward. Work around using MRC/Quote sheet in pack works. Once generic sheet reached EBIX will quote again basis this including the scroll issue and additional options. | Broker (Gary Millard - RFIB) - 18/03/16 - Suggested a Broker completed variations form<br><br>Underwriter (Henry Nelson - Liberty) 22/03/16 - Issues around formatting<br><br>Underwriter (BRIT) 18/03/16 - Issues re formatting, commas etc |
| Design and Change Group | Change Request | 1B | Commas and formatting to be added to boxes. | Very confusing adding numbers into the quote sheet as they do not appear with commas for thousands. | | 24/03/2016 | System / General | Design & Change Group | | 1 - High | open | Small | Not on road map | | | |
| System Test | Change Request | 2 | The screens do not dynamically update | The screens within PPL do not dynamically update. For example, if a broker sends a RFQ, the U/W can sit indefinitiely waiting for the Alert to appear in the dashboard, but it will not until the user refreshes the screen. Similarly within the Quote (All) screen, where the status of a quote remains at draft after the new version has been submitted (where it should be Quotation Requested) the status will remain as the old one indefinitely until screen refreshed. | PPL | 08/03/2016 | System / General | Design & Change Group | 09/03/2016 | 2 - Medium | Open | Medium | Already on road map | | Part of HTML 5 upgrade. | |
| System Test | Change Request | 3 | Firm Order Accepted notification Alert received instead of expected Line is Now Bound | A 'Line is now bound' alert is shown after Subjectivities have been agreed by both the Broker and the Underwriter but a Firm Order accepted without subjectivities is just shown in an alert as being 'Accepted' although its status is also Bound. This change is to bring consistency between the alerts i.e. showing both as Firm Order Bound. | PPL | 08/03/2016 | Email / Alerts / Search | Design & Change Group | 09/03/2016 | 2 - Medium | Open | Medium | | Alerts are on road map already. Put this request within the existing request. | Put within existing road map request. | |
| System Test | Change Request | 4 | U/W is unable to see any subjectivity text once it has been accepted by the broker. | U/W adds a subjectivity to a firm order and sends it the broker for acceptance. Once the broker accepts the subjectivity, the U/W is not able view the subjectivity text on the placement. | PPL | 08/03/2016 | Process / Practice | Design & Change Group | 09/03/2016 | 1 - High | Open | Medium | | Not on road map | Potential for go live basis EBIX estimation. Will be reviewed in Subjectivity project. | |
| System Test | Change Request | 5 | U/W receives as many identical alerts for a Firm Order as has sections on it. | Broker creates a firm order that has two sections on it. When the relevant U/W receives the alerts, they get two identical ones for the Firm Order - presumably one for each section? | PPL | 08/03/2016 | Firm Order | Design & Change Group | 09/03/2016 | 2 - Medium | Open | Medium | | Alerts are on road map already. Put this request within the existing request. | Put within existing road map request. | |
| System Test | Change Request | 6 | Negotiate Subjectivities - Broker / U/W user guides do not cover the Negotiate Subjectivities functionality | When the broker selects to Negotiate on a subjectivity, the process effectively comes to a dead-end. There is no on-screen help as to what to do next, and the user guides do not cover this functionality. | PPL | 08/03/2016 | Documentation | Design & Change Group | 09/03/2016 | 1 - High | Open | Small | | Not on road map | Help text on screen plus update user guide to sign post what to do in these situations. No need to change functionality. Will be reviewed in Subjectivity project. | |