ASWG CHANGE MANAGEMENT PROCESS

October 2020

Version 1.5

Process for making changes to aseXML

VERSION CONTROL

Version	Release date	Changes
1.0	21/6/2006	Initial Draft. Darren Field
1.1	8/05/2007	Update to include clarification on the Rapid Change Process in section 2.1.2. Paul Grover
1.2	25/10/2011	Rebranded for AEMO. Pius Kurian
1.3	4/11/2011	Updated table to correct XML acronym. And updates to aseXML website. References. Andrew Screen
1.5	1/10/2020	Description on non-versioned enumeration changes not covered by Rapid change process. Wayne Lee

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1. Introduction

1.1   Purpose

This document is provided as a guideline to the ASWG Change Management Process. The document contains information about the Change Management Process, and instructions on the use and completion of the related Change Request used in the process.

1.2   Background

The axeXML Standard consists of the aseXML Guidelines and the aseXML Schema. Both of these artefacts are managed by the ASWG, and may be changed as required. In general these changes will occur as per the following:

•   asexML Guidelines – when ambiguities or omissions are identified in, or when issues are encountered with, the current standard.

•   aseXML Schema – on a scheduled timeline, to accommodate new or changing business requirements of the aseXML Subscribers or their participants.

One of the objectives of the ASWG, as defined in the Terms of Reference, is to 'ensure clear review and approval procedures for proposed changes to the aseXML Standard'. To achieve this objective the ASWG has defined a Change Management Process, and associated templates and documentation. The Change Process and documentation must be used by all parties who want a change made to the aseXML Standard.

1.3   Related Documents

The following table shows documents related to this Change Process, and the management of aseXML. Copies of all these documents are available on the aseXML contribution site at https://link.aemo.com.au/aswg/SitePages/Home.aspx.

Table 1   Related documents

DOCUMENT	DESCRIPTION
ASWG Terms of Reference (TOR)	Contains the rules by which the ASWG operates
aseXML Guidelines	Contains the rules and recommendations for the creation and management of the aseXML schema
aseXML Schema	XML schema documents used to validate aseXML instance documents against
Schema Release Notes	Produced on each aseXML schema release to provide summary information about the released schema

1.4   Definition and Acronyms

Term	Definition
aseXML	A Standard for Energy XML. A set of schemas and usage guidelines that define how data should be exchanged under FRC in the gas and electricity industries in Australia.
ASWG	aseXML Standards Working Group. Working Group consisting of participants in the various interested markets that is responsible for the management of aseXML
AEMO	Australia Energy Market Company

Term	Definition
XML	eXtensible Markup Language. Standard for creating tagged documents that describe the data that they contain.

2. Change Processes

As defined in the ASWG Terms of Reference, all changes to the aseXML Guidelines and the aseXML Schema must be reviewed and endorsed by the ASWG, and approved by AEMO, before being made available to aseXML Subscribers and Users. The aseXML Change Management Process has been designed to ensure that all changes are made in accordance with the TOR, and that all facets of the change process, and all steps and decisions taken in any individual change, are documented and available for review by all aseXML users.

Different processes have been defined by the ASWG for different ASWG artefacts. They are:

- Schema Change Process, consisting of:
    - o   Normal Change Process
    - o   Rapid Change Process
- Guidelines Change of Process

2.1   aseXML Schema change process

The aseXML Schema is changed to accommodate business requirements as determined by aseXML Subscribers. Changes will generally come from one of the technical working groups facilitated by the various market regulators. Following the completion of the Change Process, the newly approved schema will be made available on the AEMO website at https://www.aemo.com.au/energy-systems/market-it-systems/asexml-standards/asexml-schemas.

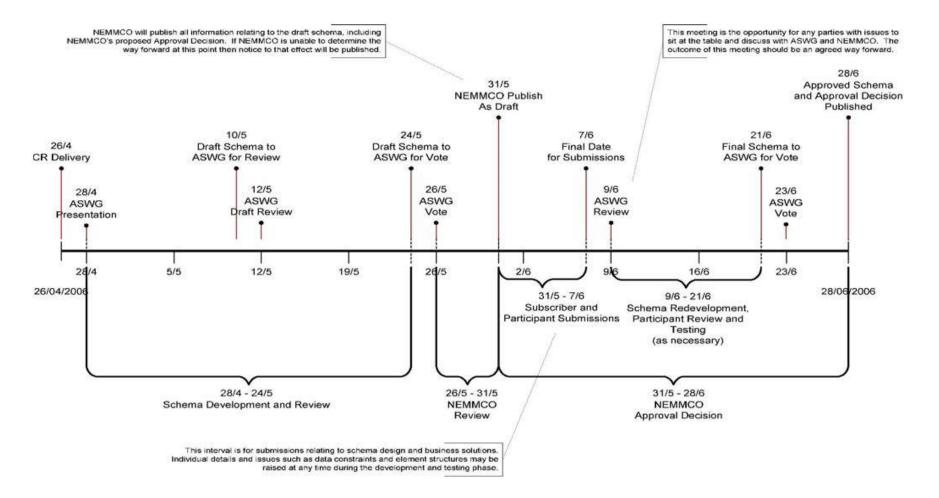There are two processes in use depending on the proposed change:

- Normal Change Process
- Rapid Change Process

The Normal Change Process must be followed for all changes, unless the proposed change is to add new enumerations to the types contained in the Enumerations.xsd file. In this instance the Rapid Change Process is to be followed. The two processes are defined below.

2.1.1   Normal change process

The Normal Change Process is managed by completing an aseXML Schema Change Request document and progressing it through the steps shown in the below Figure 2-1 ASWG Change Process.

Figure 1 Indicative change timeframe

NEMMCO will publish all information relating to the draft schema, including NEMMCO's proposed Approval Decision. If NEMMCO is unable to determine the way forward at this point then notice to that effect will be published.

This meeting is the opportunity for any parties with issues to sit at the table and discuss with ASWG and NEMMCO. The outcome of this meeting should be an agreed way forward.

31/5
NEMMCO Publish
As Draft

28/6
Approved Schema
and Approval Decision
Published

26/4
CR Delivery

10/5
Draft Schema to
ASWG for Review

24/5
Draft Schema to
ASWG for Vote

7/6
Final Date
for Submissions

21/6
Final Schema to
ASWG for Vote

28/4
ASWG
Presentation

12/5
ASWG
Draft Review

26/5
ASWG
Vote

9/6
ASWG
Review

23/6
ASWG
Vote

28/4   5/5   12/5   19/5   26/5   2/6   9/6   16/6   23/6

26/04/2006   28/06/2006

31/5 - 7/6
Subscriber and
Participant Submissions

9/6 – 21/6
Schema Redevelopment,
Participant Review and
Testing
(as necessary)

28/4 - 24/5
Schema Development and Review

26/5 - 31/5
NEMMCO
Review

31/5 - 28/6
NEMMCO
Approval Decision

This interval is for submissions relating to schema design and business solutions. Individual details and issues such as data constraints and element structures may be raised at any time during the development and testing phase.

The indicative timeframes in the figure show that the process is designed to be completed in an eight week cycle, but complex, or controversial, changes may see the cycle extended in an individual instance.

Where the change requests for a given cycle exclusively affects non versioned enumeration file lists that are not otherwise covered under the Rapid Change Process (which is mainly for address attributes) the cycle time may be reduced to five to six weeks. Artefact change, review and testing turnaround would take less time to complete. As a general indication, a cycle for changing a non-versioned enumeration file would constitute:

- one week to review proposed change to then vote on consultation version.

- two weeks consultation period and approval to test finalised version.

- one week to test.

- one week to approve and publish.

Schema Change Request Document

The Schema Change Request Document is used to manage an aseXML Schema Change Request. The document initiated by a requestor and progressed through stages to final approval. The ASWG Chair keeps a register of all Change Requests, and the register is available to all aseXML users.

A Schema Change Request template is available on the AEMO website at www.aemo.com.au.

The Schema Change Request document is in a number of sections and is progressively completed as phases of the change process are carried out. Different groups and individuals are responsible for completing different phases of the process.

Change Proposal

The Change Proposal section is completed by the Change Requestor, and is used to provide the ASWG, and Industry Participants, with the background and context in which the change request has been generated, so that the best solution can be identified.

This section contains the requestor's perspective of the change, and provides a general description of the business impacts of the proposed change. Within this section the requestor can also identify any additional documents that can assist the ASWG in the Change Process.

Completion of this section is the minimum requirement for a Change Request to be presented to the ASWG (see milestone 'CR Delivery' in Figure 2-1). If this is the case, the ASWG will review the proposed changes and advise the requestor of the correct baseline artefacts to be used in the Approval Proposal.

Approval proposal

The Approval Proposal section is completed by the Change requestor, with assistance from ASWG members if necessary, and is used to identify and define the individual schema changes required to incorporate the changes described in the Change Proposal. The section also contains a developers assessment of the impact of the change to schema, to assist users in assessing the difficulty and cost of implementing the new schema into their systems.

If developers have created and tested any sample xml files these are also identified in this section.

This section may be completed before the Change Request is presented to the ASWG if the developer has sufficient knowledge of the schema (see milestone 'CR Delivery' in Figure 2-1) but this is not required. The section must be completed before the draft schema can be published (see milestone 'Draft Schema to ASWG for Volt' in Figure 2-1.

Proposal assessment

The Proposal Assessment section is completed by a designated ASWG member, and is a review of the proposed change for adherence to the aseXML Guidelines, and confirmation that the proposed schema is well formed and valid. Any sample xml files are also confirmed as valid to the proposed schema.

This section must be completed prior to the release of the final schema (see milestone 'Final Schema to ASWG for Vote' in Figure 2-1).

Issue register

Any issues and points for discussion are documents in this section, along with their resolution. This section can be updated at any point in the Change Process.

Resolution

This section records the results of votes taken by the ASWG for the proposed change. Depending on the voting results there are different completion steps required of both the ASWG and AEMO.

This section, along with the Schema Release Notes document, must be completed and published along with the final schema.

Schema release notes

Schema Release Notes are prepared for each schema release. The Release Notes provide a summary of all changes that have been included in a release, and are designed to assist aseXML users in determining the impact to their systems of applying the new schema. The Release Notes also provide a record of ASWG votes and AEMO approval of the schema release.

The Schema Release Notes are completed by a nominated ASWG member and presented to the ASWG for approval at the same time as the final schema is presented for approval.
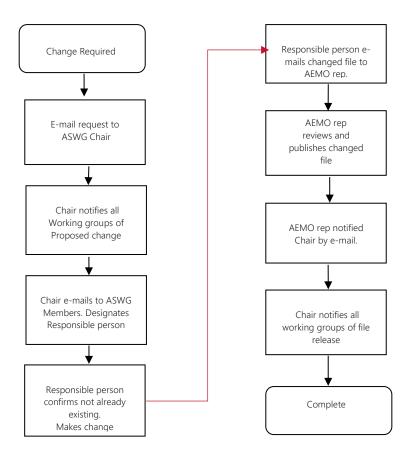
A Schema Release Notes template is available on the aseXML website on www.aseXML.com.

2.1.2 Rapid change process

In order to support rapid additions to enumerations defined for specific types, a schema file has been created that contains only these type definitions. The file has been designed to allow change with minimal impact to users, by not carrying any version identifiers or other constraints. The Rapid Change Process has been designed to enable this file to be updated outside of the normal schema change cycle, so that participants are not unduly impacted should an additional enumeration be necessary.

The Rapid Change process may only be used for additions to enumerations. Any enumeration modifications, or deletions, must follow the Normal Change Process. The process can be initiated by the chair/facilitator of one of the designated industry working groups, or delegate, and uses emails as the primary form of communication and recording.

Figure 2   Rapid change process flow

2.2   aseXML guidelines change process

The aseXML Guidelines document defines the rules to be used when developing changes to the aseXML Schema. These rules are expected to develop over time as:

- XML technology is further developed

- Members of the ASWG become more experienced in the usage of XML and aseXML in particular

- Usage of aseXML is expanded to more industry users and different uses.

To this end the aseXML Guidelines document is considered a dynamic document and a Change process has been put in place to manage the development of the document A Guidelines Change Proposal template has

been created and must be completed for submission to the ASWG for all changes. The Change Process is as follows:

- Request of completes Guidelines Change Proposal

- Requestor submits Change Proposal to ASWG

- ASWG considers Change Proposal and votes on adoption

- Once approved, a Guidelines Change will be incorporated into the aseXML Guidelines.

Note: This may occur immediately but may wait until sufficient changes have been approved to justify releasing a new document version.

The new version of the Guidelines is published on the aseXML website at https://link.aemo.com.au/aswg/SitePages/Home.aspx and on the AEMO website

Guidelines change do not follow a specific schedule, but are developed as required.