



Software Provider Readiness Working Group

Questions from working group members | 18 May 2022

The following table provides ASX's response to relevant questions asked by Software Provider Readiness working group members during the session held on 18 May 2022. Please email chessreplacement@asx.com.au if you have any additional questions or require further clarification.

Topic	Question	Answer
Issues & defects	With regards to subsequent issues and defects, is there any thinking around the deployment mechanism for those and if there will be another release or not?	<p>To date ASX have been focused on functional development and our priority has been on our vendor completing the core build before looking at some of the production aspects of the system, such as upgrades.</p> <p>Patch releases will continue to be a feature for promoting fixes to any defects or issues up until we get the remaining delivery of application software from our partner. We will then start looking at upgrades in our test environments, and to allow upgrades to be sufficiently tested before go-live.</p> <p>ASX has already communicated there will be another release, 1.4.</p>
Accreditation	Is there an end date for accreditation?	<p>Accreditation will formally open at the end of August. There is no end date in line with further consultation with the market. Accreditation strategy is moving to a two stage process to provide (i) a readiness checkpoint on software provider functional development to v1.3, and (ii) confidence for C&S facility users on progress to readiness activities:</p> <ul style="list-style-type: none">• first stage will involve initial accreditation on v1.3 commencing from end of August '22 and needs to be completed by end of this year• second stage will involve a final accreditation closer to go live - this is to ensure all upgrades, issues and defects have not had any unintended consequences <p>It was also subsequently noted at the Implementation & Transition webinar on 23 May.</p>
Data Refresh	In relation to the corporate actions data refresh, will the test kits be updated?	<p>The corporate actions that are being seeded are already in the test kit provided.</p>

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Data Refresh	<p>There is a suggestion that there is an upgrade path which would remove the need for data resets. Are we planning on testing this prior to cutover?</p> <p>Is 1.3 the opportunity to test it?</p>	<p>The reason we have not implemented upgrades to date is that the cost of upgrading requires a higher level of testing vs deploying a release on a fresh environment. We are aware of requests for upgrades but to provide the market with software earlier it is more efficient to deploy and test without the additional test effort involved in testing upgrades.</p> <p>We can confirm upgrades will be tested in the ITE1 environment and ASX will move to that model in due course.</p>
Data Refresh	<p>Are refreshes always associated with a code change or a release from ASX or can refreshes occur going forward even though all defects have been fixed?</p>	<p>The end of May refresh has no code change, so yes we can have a refreshes without code changes either for environment maintenance or changing the data sets in that environment.</p> <p>The ITE1 data sets are quite complicated but equally they are providing a high level of functional test capabilities specifically around corporate actions where we have had the most requests to increase the frequency. There has been a trade-off to building those data sets to be highly functional versus how we manage it from a maintenance perspective.</p>
Data Refresh	<p>Is there a possibility of refreshes in ITE2?</p>	<p>Yes it's possible, but it is not the intention to have refreshes in ITE2 because as we move into a bigger ecosystem there is much more complexity in doing transactional clear downs. Therefore, ITE2 is intended to be long running without any scheduled resets in it.</p> <p>Refreshes will also not be required for the purpose of seeding corporate action events in ITE2. However, you should still plan and expect refreshes.</p>
ITE1 Failover & Testing	<p>If customers hit a problem with connectivity outside of CHES operating hours, should we retry and will this cause problems for our logs?</p>	<p>This topic was discussed in the session but was taken away for ASX to provide further details on what the correct design pattern should be where a connectivity issue is experienced outside of operating hours.</p>

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Ledger API	<p>For Ledger API failover testing, should we expect the error that is being returned is something generic and we should failover (versus a retry)?</p> <p>Currently if there are certain outages outside of operating hours we get a generic unavailable error code. Are generic error codes in scope for v1.3?</p>	<p>That is correct; the key point is the error codes you would be testing in June would be different to the 1.3 release. This approach was about putting in place the structure and checking you have the logic within your application to switch over between Ledger API end points and that logic may need to be refined on final documentation on what those new error codes are.</p> <p>We can capture the error codes for both, however it may make more sense to implement the Ledger testing when v1.3 is released given the changes – ASX will provide a further update on this.</p>
Stakeholder Engagement	<p>In regards to the delayed consultation, can you advise the format it will take? Will it be in groups or will there be a written component?</p>	<p>Clarity was provided on the stakeholder engagement activities on the project milestone and timeline discussion in the Implementation & Transition webinar held on 23 May.</p>