



# Implementation & Transition Working Group

Questions from webinar | 7 April 2022

The following table provides ASX's response to relevant questions asked by Implementation & Transition working group members during the webinar held on 7 April 2022. Please email [chessreplacement@asx.com.au](mailto:chessreplacement@asx.com.au) if you have any additional questions or require further clarification.

Topic	Question	Answer
Timeline	<b>Given the delay to Technical Accreditation, will Operational Readiness still commence after Technical Accreditation completes i.e. they will not be run in parallel?</b>	ASX will provide further guidance on future testing streams at upcoming industry working groups. We will use these working groups as the mechanism for formal feedback. It is important we have a fair and transparent process in which all stakeholders have the opportunity to provide feedback on proposed timelines including what if anything can be done in parallel
Timeline	<b>Can the April 2023 Go Live now be ruled out even if a new date isn't yet released to the market?</b>	This has been discussed in many forums since our announcement, and we continue to state there is a strong likelihood of not meeting April 2023 for cutover. We continue to explore all options for delivery to the market including running some work streams in parallel as an example.  Further information will be provided to stakeholders including in the relevant working groups.
Timeline	<b>Is there a timeframe for a decision on whether there will be a delay to go-live and if so, how long?</b>	Our aim is to provide more clarity on dates in future working groups with the next I&T working group scheduled for May. We will need stakeholder feedback on key project milestones including what is the appropriate time in the calendar year to implement a system of this complexity. We will undertake these conversations with stakeholders in the CHES user working groups.

Topic	Question	Answer
<b>Timeline</b>	<b>Is there a problem with the technology causing the delays? What is the additional 3 months for?</b>	<p>The main reason for the delay to v1.3 and the start of accreditation has been the need to perform more in depth testing of the code. We remain confident in the technology and our ability to deliver in a safe and efficient manner in line with market expectations.</p> <p>We recognise substantial testing is paramount to safe delivery and have learnt from prior experience, including the release of the recent IBM report (ASX trade outage) and the need for substantial testing to be undertaken.</p>
<b>Cutover &amp; Migration</b>	<b>Why has ASX delayed publishing the rationale for a single cutover that was originally targeted for the end of Q1? Are you reconsidering the rationale of a Big Bang migration?</b>	<p>The delay is only due to ASX focusing on other key and near-term focus areas. ASX still considers an implementation over a single weekend to be the least risky option having assessed a number of alternatives. We acknowledge the interest of stakeholders to better understand the rationale, including the complexity and risks associated with the alternative options. The information paper which is now targeted to be published by end Q2 2022 will outline the reasons why a single cutover over a two day weekend is preferable.</p> <p>It is also important to note the risk of a single weekend cutover is being mitigated by a number of readiness activities in the lead up to cutover. This includes CHES users cleaning up their HIN bases, ASX technical dress rehearsals, and market dress rehearsals.</p>
<b>Software release 1.3</b>	<b>How will you be dealing with any accreditation related bugs from v1.3?</b>	<p>We will complete substantive testing of v1.3 to ensure it is code complete for accreditation, before deploying into the ITE1. As with any program of this complexity, there is always a risk of introducing bugs when releasing new code. In the event this occurs, ASX will carry out the normal process of working with our vendor to rectify, and have that code base updated. However, it is our intention to avoid accreditation related bugs from v1.3 through extensive testing, reducing the risk of this occurrence.</p>
<b>Software release 1.3</b>	<b>If code drop 1.3 is delivered in late July, how much retesting is expected by vendors and in-house developers before being ready to accredit?</b>	<p>The next software drop, v1.3, is an upgrade of ITE1, resolving defects found and increasing performance.</p> <p>Accreditation can start after software providers have completed development and testing of release v1.3. Each software provider will have different testing requirements which will drive when they can be ready for accreditation. Additionally, their progression against overall timelines and the maturity of their development will also be a consideration. Subsequently, the amount of testing will be unique to each vendor. Therefore, the period of time for software providers to accredit will be subject to their readiness and ASX will engage software providers to drive timelines.</p>

Topic	Question	Answer
<b>Operational Readiness</b>	<b>Operational readiness scenarios were to be complete at end of March. Has this been delayed to end of April?</b>	The majority of the operational readiness scenarios were published at the end of March. We've published approximately 750 scenarios across 8 CHES user types. The fourth and last tranche of scenarios will be published at the end of April '22. These remaining scenarios include batch settlement and AMO exceptions.
<b>Messaging</b>	<b>When do you expect the changes to the SET_105 messages to be released?</b>	There are no changes planned to the SETT_105 message.
<b>CHES User Testing</b>	<b>What is happening with items that are not yet available? e.g. Batch Cancellation functionality</b>	These processes will need to be triggered by ASX Operations and will affect the entire market. There is no plan to trigger these as part of ITE1 testing. Further details will be provided on subsequent test cycles where this functionality will be invoked by ASX Operations.
<b>CHES User testing</b>	<b>When will CHES users be able to functionally test in ITE2?</b>	ITE2 will open with a dedicated onboarding period before CHES user testing commences. At this stage, ASX has not provided a date for when CHES user testing will commence and will be subject to further engagement with stakeholders.
<b>ITE refreshes</b>	<b>ITE is described as a long-running environment that reflects enterprise solution. Why then is there a need to refresh data rather than follow a production like progression of data that doesn't require a tear-down/rebuild?</b>	ITE may be refreshed either as part of system upgrades or scheduled maintenance. Prior to production there are efficiencies in refreshing environments versus upgrades that allow ASX to deploy software to the market in a more timely manner than testing upgrades. All organisations are asked to ensure they can refresh their environments when ASX refresh ITE and where desirable have scripts to create any base test data clients may wish to use for testing.

Topic	Question	Answer
Performance & Failover testing	<b>Does Performance/Failover testing need to be redone if there are defects found during Message Accreditation testing?</b>	No, performance or fail-over testing will not need to be redone if there are defects found during accreditation testing.
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ITE connecting testing	<b>For participants using a software vendor, can connectivity testing be carried out in ITE1 as opposed to ITE2?</b>	ITE1 is specifically set up in order to facilitate the development and testing of software providers. The purpose of ITE2 is different and has been set up in order to support CHES users. The most efficient way to progress to CHES user testing, including connectivity testing, is allowing software providers to complete their development in ITE1 before opening ITE2. CHES users will need to separately test network connectivity to ITE2.
Accreditation	<b>Is ITE2 activity conditional on software being accredited for those customers using vendor software?</b>	There is no dependency on using accredited software to begin CHES user testing activities in ITE2.
ITE2 Onboarding	<b>When will the CSAM tool be made available? Is it still April?</b>	The CSAM (Customer Service Access Management) portal will be available from 27 <sup>th</sup> April for the start of CHES user on-boarding into ITE2.
ITE2	<b>Why is ASX delaying CHES user testing in ITE2 from April until 1.3 since it is not compulsory that this testing is done on accredited software?</b>	<p>Taking learnings from ITE1 opening, ASX is opening ITE2 with a dedicated period for CHES user onboarding only. This will allow project resources the ability to focus on the connectivity and access activities, which may be bespoke and complex, without the additional requirement to support the initial stages of CHES user testing.</p> <p>The ASX team will also be supporting the v1.3 for software providers in ITE1 in preparation for accreditation in parallel. While it is not necessary to have accredited software to begin CHES user testing, progressing software providers' development and testing is a priority for the program's overall success.</p>

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ITE-M	<b>When will ITE-M be available?</b>	<p>ITE-M is an optional test stream which has been made available in response to industry feedback. It provides CHES users the opportunity to test workflows that start in the current CHES system, and complete in the CHES replacement system. To support this testing ASX advised we would introduce a CHES business as usual test environment for the source data and then an industry test environment for the migrated data, ITE-M.</p> <p>ASX will provide further guidance on future testing streams including ITE-M in due course.</p>
Stakeholder Engagement	<b>Can you share your thinking on the engagement you will be undertaking? Is that more bilateral 1:1 meetings or will it be a more formal consultation?</b>	<p>The formal channels for engagement will be through our existing industry working group meetings. We will also ask for written feedback following the working group meetings, allowing stakeholder time to digest information presented. Bilateral meetings will continue however we encourage stakeholders to use the working groups for formal feedback to allow for transparency and fairness.</p>
Stakeholder Engagement	<b>Will ASX issue a formal consultation on a new go-live date?</b>	<p>We plan to use the industry working groups to consult with stakeholders and ASX will likely present the proposed milestones to each of the cohorts within these sessions. We will also provide an opportunity for stakeholders to submit written feedback following the sessions. All stakeholders will be given an opportunity to participate in the working group meetings which are likely to commence in May. We will also continue bilateral customer meetings. ASX does not propose to issue a public consultation paper.</p>
Reporting	<b>What sort of reporting will be made available to CHES users for software developers passing accreditation, to assist in arranging optional bilateral testing activities with another CHES user in ITE2?</b>	<p>ASX will provide guidance for when optional bilateral testing between CHES users can commence. ASX is also giving consideration on what reporting will be made available to software providers and CHES users on ITE1 and ITE2 testing activities and progress.</p>