



Software Provider Readiness Working Group

Questions from working group members | 9 February 2022

The following table provides ASX's response to relevant questions asked by Software Provider Readiness working group members during the session held on 9 February 2022. Please email chessreplacement@asx.com.au if you have any additional questions or require further clarification.

Topic	Question	Answer
ITE update	In relation to the ITE1 (v1.3) release, what is the timing and what might be in there?	The key item in the v1.3 release will be the changes to the ledger API error codes and ASX are currently reviewing the implementation of those. The next release also includes an upgrade of the underlying VMware ledger. The release (v1.3) is likely to be in 8+ weeks i.e. it is not an imminent release. Once the release plan for the ledger API changes is confirmed, ASX will look to provide that date in the March SPR WG.
ITE update	Are you looking to deliver the critical functional issues and the rest of the known issues in the next ITE (v1.3) release?	Yes, that is correct. We are aiming for all client facing functionality and defects to be included in release 1.3. We appreciate the market is keen for the 1.3 date and we will share this as soon as it is confirmed.
ITE update	On AMQP certificates it was mentioned that we are expected to validate properties including the organisation as well as the standard certificate validation, we have implemented code for that but the values for those properties that we are being asked to verify are not the ones mentioned?	There has been a correction to this information and the latest details for verification can be found here .

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ITE update	Regarding the disconnection behaviour in the Ledger API where there is no activity does that mean that this disconnect mechanism will be implemented when we do not have any activity with the ledger?	At the moment the issue is with an internal network component however we have identified where it is causing the disconnect and we have incrementally increased it to the point that we are now getting continuous ledger connections. Once we move to the next level you should not see this issue moving forward, however we are reviewing as a part of best practice if a connection is inactive for a number of hours it may be prudent to have something to keep it alive. There is more detail to come; any organisation with ledger API should at minimum be seeing 4hrs of continuous connectivity with no activity. If there is activity within that window then that will extend beyond.
ITE update	If we detect bugs from now on in, do we think they will be examined in 1.3 or will there be 1.4?	We are targeting 1.3 as the final release client release, but cannot confirm there won't be an additional release or patch if something additional is identified.
ITE update	We have discussed the subset of environments ITE-M and BAU? Is that still happening and when can we access the data attached to those environments?	ITE-M is still in scope but the timing for opening ITE-M is currently under review. ITE-M testing is an optional test phase and is not required for technical accreditation and therefore likely to open after tech accreditation has completed.
ITE update	Are the MDR dates scheduled the only dates in which we can test migration and thus simulate what would happen on the go live weekend?	You will have the ability in the ITE-M environment to implement your own test strategy for migrating from current CHES to new CHES prior to MDR but the specific weekend dates are not yet published. ITE-M testing is primarily targeting vendors and C&S participants developing in house.
ITE update	In regard to the closing of CDE it was mentioned that 40% of the community have not migrated to ITE1 yet. When CDE is decommissioned will that cause issues with vendors not yet in ITE1?	Of those that are not connected, the majority are very close to connecting, all software providers have connectivity or at least 1 certificate in place. If an organisation has not managed to get into ITE1 by end February we will try to support that software provider but CDE is end of life, it no longer runs on the same code base or infrastructure as ITE1 and ITE1 has improved support tooling to allow ASX to support you.

Topic	Question	Answer
ITE1 update – Assisted testing	Can we send multiple requests to CTS so that we can be in the queue so that we always have something from ASX?	Yes you can include a few requests and log tickets. We prefer they are provided when you are ready rather than bulking them up. Please also allow them some time for any bulk requests to be processed.
Update on Accreditation Messaging Accreditation Scenarios	When is it realistic that the accreditation scenarios will be locked down so the customer won't have to revisit work once commenced?	<p>It is unlikely that they will be revisited outside of any must have changes, i.e. correction to a scenario; we also have put in place a robust change management process now they are finalised.</p> <p>In this current release we did make a change to the BSSI scenarios and there was two components to that: (1) the scenario was free of payment versus against payment which is the less common scenario and (2) providing optionality on the supplementary reference matching for BSSI, which is a new feature for CHES.</p> <p>We believe the January updates to be the final version outside of any corrections.</p>
Update on Accreditation Messaging Accreditation Scenarios	We have gone through the test kits and observed some discrepancies for example with the self-serve tool and issues with the guaranteed foreign indicator which is available in CHES UI but not self-serve tool. Is it mandatory to always go through test tool only or is it flexible based on preference and we can CHES UI and self-serve tool?	<p>Yes, you can use CHES UI as part of the accreditation process to simulate counterparty workflow. It has been specified that all self-service tools and CHES UI can be used based on personal preference.</p> <p>We will review the scenario RIHT02 and RIHT03 and compare and revert back.</p>
Update on Accreditation Messaging Accreditation Scenarios	In case we find any discrepancies in steps provided and we need clarification do we contact the CTS team?	Yes, please log a ticket with CTS and we can review and track.

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Technical Accreditation	In terms of technical accreditation process, we are required to book in a time to complete that?	Yes, we are not asking software providers to return forms at this point. On the technical documentation portal there is a checklist form where you specify your organisation and your preferred accreditation week along with any exemption requests based on your business requirements. We will review exemptions requests as part of a later working group.
Technical Accreditation	When do you want organisations to provide the accreditation forms?	We are not yet accepting forms yet. A few organisations have provided an early line of sight of their exemption requests. We will provide an official timeline next month.
Technical Accreditation	For anyone who has to do technical accreditation and wants to go into ITE2 do you have to pass accreditation prior to entering ITE2?	No, it is not a precursor. Either your internal organisation or anyone you provide software to can enter ITE2 to get them onboarded and what we have seen from ITE1 it can be a long lead time. The key technical accreditation dependency is operational readiness. A client must enter operational readiness with accredited software; it is not mandated for ITE2 entry.
Technical Accreditation	Do we need to complete forms for the purpose of accreditation and we nominate the window or is it provided by ASX?	Yes you must complete the form to execute accreditation and you can choose your preference over a 5 day window.
Technical Accreditation	In regards to Technical Accreditation which is made up of connectivity and message accreditation is that done in 2 parts or both in the same period?	It is all now one consolidated test. The connectivity is mostly implicit, proving that you can connect and your certificates are active.
Technical Accreditation	In regard to accreditation to testing, if we apply accreditation scenarios and leverage testing tools and CHES UI do we need to apply in advance when we nominate our testing window?	Yes, they go hand in hand. However CHES UI is not part of accreditation that is a part of operational readiness. As a part of your accreditation you can ask for an exemption for a specific tool.