



Software Provider Readiness Working Group

Questions from working group members | 27 July 2022

The following table provides ASX's response to relevant questions asked by Software Provider Readiness working group members during the session held on 27 July 2022. Please email [chessreplacement@asx.com.au](mailto:chessreplacement@asx.com.au) if you have any additional questions or require further clarification.

Question	Answer
<b>Is v1.3 only relative to ITE1? When will v1.3 go into the ITE2 environment?</b>	Yes, that is correct the current update is for the deployment of v1.3 into ITE1 only. Further updates on when it will be deployed into ITE2 will come in a further update. All developers on today's call have access to ITE1 and sufficient access to v1.3 to move forward in the project.
<b>How many bugs have been identified by testing so far?</b>	I believe we have identified ~20 open defects that are split across multiple functional areas. The CHESS UI for example, which we would not consider material for initial accreditation, has some open defects. There will be a full list published on Monday with the release; we would classify them as minor and nothing that will prohibit messaging accreditation. V1.3 is the functional complete release candidate for initial message accreditation.
<b>Will there be any news bugs raised in 1.4?</b>	There has to be an end to when ASX correct defects before go-live, ideally v1.4 will be our final release candidate, any remaining defects might be taken into production that is no different to any other software release. If there were, they would be fully documented and likely to be minor in nature.
<b>Was there an ITE1 reset and has that defect been resolved?</b>	Yes, there was an unscheduled reset at the end of June caused by a scheduled settlement instruction on an archived security, that defect has been resolved and is in the upcoming (v1.3) release. For clarity, we would not reset in production but to return the environment for testing quickly we took the decision to reset.
<b>We have not received updated test kits?</b>	Please email <a href="mailto:cts@asx.com.au">cts@asx.com.au</a> if you have not received updated test kits as the original contact on the form was notified.
<b>In order to test the backpressure post v1.3 is there an arrangement that needs to be done with ASX or a detailed configuration on how the backpressure test can be done by participants.</b>	Yes, there will be, however we are not in a position to support that yet. We have made a number of changes to get to a model here back pressure should be minimised. Once we get to a point where we offer that you will be notified.

Question	Answer
<p><b>With regards to the 20 defects at what stage will they be added to the confluence pages?</b></p> <p><b>What is the % that are functional vs UI? Are they new or outstanding?</b></p>	<p>These will be added to the technical documentation portal on Monday 1 August. They are predominantly new defects. The key reason is that they have been identified after v1.3 candidate was cut. The CHESS UI defects do not stop anyone from developing however a part of the 1.3 release will include a full list.</p>
<p><b>If a participant has been onboarded and made relevant changes for v1.3 will that participant not be able to test unless all participants have been onboarded?</b></p>	<p>Participants can test once we are comfortable the environment is stabilised and everyone is up and running. From a ledger API perspective if we have a majority saying they are not ready test or to switch between two data centres we may chose not to proceed. However, the connectivity outages to help connectivity testing between ALC and SDC is a small outage on the Wednesday and Fridays.</p> <p>CTS team will provide notification during September indicating that the failover is now active.</p>
<p><b>For the failover do we have an error code?</b></p>	<p>The documentation on Monday has all of the error codes and the recommended approach on how to implement those error codes.</p>
<p><b>Based on the pass/fail accreditation process for Software providers how will this impact ITE2 processing?</b></p>	<p>We have never had as a dependency that software needs to be accredited before being used in ITE2. We have only ever mandated that it be accredited before operational readiness, MDRs and go-live. We are revisiting that as a part of the review and replan. There is no mandatory requirement that software be accredited before ITE2. All organisations have mature software, where a vendor is handing over to a client you would expect them to note known issues or defects.</p>
<p><b>Will the final accreditation repeat the messaging accreditation undertaken in the initial accreditation?</b></p>	<p>Yes, it will be a repeat outside of any feedback or any functional changes between initial and final accreditation.</p>
<p><b>Is technical accreditation to be completed within 5 business days?</b></p>	<p>Yes that is still the plan, through the pilot clients in September that will confirm the approach is workable, we believe it is. In this forum we have discussed if an organisation needs longer we can discuss this based on an individual basis.</p>
<p><b>How does a software provider participate as a pilot client?</b></p>	<p>We will ask this question in an accreditation readiness survey that will be provided shortly we will open this up on an equitable basis. There may be a few speed bumps as we test the process so we would expect those organisations to re-accredit.</p>