

**IMO Systems Change Management Procedures
for Market Participants**

Version 1.0
25 January 2007

1 Approvals

The undersigned have approved the release of Version 1.0 of the IMO's *IT Change Management Procedures for Market Participants*

Title	Signature	Date
Chief Executive Officer		
Manager, Market Operations		
Manager, Market Administration		
Manager, System Capacity		

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3 Change History

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3.1 About this Document

This document describes the IMO IT Change Management process as it relates to Market Participants.

3.2 What help is available to assist in using the Change Management Process?

The IMO Change Manager is available to explain the process in detail and can be contacted on 9254 4307.

4 Change Management

Change Management Standards are essential for the controlled and auditable implementation of changes to IMO Systems. This document outlines Market Participant involvement within the IMO's Change Management process.

These procedures will be adhered to for all changes to IMO systems that have an impact on Market Participants.

4.1 Objectives and Principles

The objectives of the Change Management Process for Market Participants with respect to the IMO Systems environment are to:

- enforce an evaluation of a proposed change (other than changes resulting from Market Rule Changes) in terms of its benefit, its cost, and risk to the systems, and the implications of the change to both IMO and Participants;
- to enable all parties to assess the impact and risk to market operations at any time via a clear snapshot of current and planned change activities;
- provide a defect-free introduction of changes;
- Ensure Participants are notified of changes to, and development of, IMO IT Systems with sufficient lead time to develop their own systems

The principles of Change Management are:

- All changes to the IMO IT Systems environment must be authorised by the IMO Management
- The Change Manager coordinates the movement of the change from initiation through assessment and approval to implementation.

4.2 Definition of Change

In terms of these IT Change Management Procedures a change is defined as the addition of any item to, the deletion of any item from, or the alteration of any component of the IMO's Market Systems that will impact Market Participants

For the purposes of these procedures changes are defined in terms of four categories namely:

- A change that arises from approved Market Rule changes.
- A change which relates to the development of a new program or which alters the functional characteristics of an existing program, within the scope of the current Market Rules.
- A change which is to fix a fault with the operation of an existing program. This type of change is required to make the program conform to the most relevant, approved functional and design specifications.
- Changes which are of an operational/housekeeping status, typically implemented during normal day-to-day market operations, and these types of changes are managed differently to other changes.

4.3 Market Participant Impact

The term Market Participant Impact is used to specifically indicate the impact the change request has on the Wholesale Electricity Market participants. Where relevant, a statement about market impact should be included in the change description.

5 Participant Involvement

The IMO is committed to the involvement of participants in changes to, and in the future development of the WEM IT systems. Participant involvement will develop as the market matures. These initial procedures aim to keep participants informed of changes and coordinate the release of changes with the aim of having minimal disruption to the market.

There are two distinct processes' that will be followed, depending on how the changes are initiated. Changes that are a result of Bug Fixes and changes that are initiated by either participants or the IMO and involve a fundamental change to the way an IMO system operates. The later can be further categorised into changes that do, and changes that don't, arise from approved Market Rule changes.

5.1 System Changes

The process will flow as follows:

- Either the IMO or Participants will raise issues and propose changes directly; or changes will be implemented as a result of Market Rule changes. Submissions other than those arising from Rule changes might be referred to the relevant User Group or the submitters might be asked to demonstrate support from a wider proportion of Participants.
- IMO Change Working Group will analyse the change request and if the request is approved, it will be placed in a nominated release. Release Plans will be developed and project managed by IMO and will be published.
- Where a change is approved, all Market Participants will be advised.

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- IMO will issue change notices to advise Participants of upcoming changes when scheduling allows.

5.2 Bug Fixes

Bug fixes will follow the following procedure with the exception of emergency releases. Where an emergency change must be made to an IMO system, Market Participants will be provided with a WEM Change Notice Market Advisory with as much notification as possible, but will not be consulted on a release schedule.

Otherwise, the process will flow as follows:

- The IMO identifies an error in an existing system and requests a fix from the system developer.
- The developer will release the change to the IMO and the IMO will analyse the release to determine Market Participant impact.
- Where Market Participants will be impacted, the IMO will advise Participants and propose a market release date.
- Participants will provide feedback on the release date

6 Change Management Process

There are three major steps within the Change Management Process:

- **Change Initiation:** - involved with initiating and logging the change request.
- **Change Assessment and Authorisation:** - involved with assessing the business and technical issues from both an IMO and Participant point of view which will be done by either the IMO Working Group or the Imo itself. Authorising changes to proceed.
- **Change Implementation:** - involved with the planning, scheduling and implementing of changes to IMO's Managed Product List.

6.1 Change Initiation

Change requests may be initiated by approved Market Rule Changes, Participants, IMO Service Providers or the IMO and processed according to the following:

- **Rule Changes** will be progress to development and implementation automatically. The analysis on the need for the change, release dates and market impact have already been determined as part of the Rule Change process.
- **Participants** register a change request through the IMO Operations Desk which results in a Project Issue Report (PIR) being issued. All PIRs are to be reviewed. If the PIR is rejected the person requesting the change is to be notified.
- **IMO Service Providers** (eg System Management, DTF, Software Vendors, etc). Changes recommended by the Service Providers to IMO systems must be supported by documentation from the Service Providers recommending the change.
- **IMO** initiated change requests are formally registered as a PIR via the IMO's issue management tool.

6.2 Change Assessment and Authorisation

All proposals for system changes will be evaluated by the IMO.

Where the change has arisen due to a system error/bug fix, the IMO will manage the assessment and development process itself. Participants will be advised of the change when the IMO has received a corrected version of the software from the developer. These changes must be approved by IMO Management.

Where the change has been initiated by Participants, or the IMO, and involves a fundamental change to the IMO system operation, the change will be evaluated by the IMO Change Management Working Group. These changes must all be approved by the IMO Management.

Changes not arising through the Rule change process will be subject to a full cost benefit analysis. This cost benefit analysis will, in most cases, require the IMO to obtain quotes from its software vendors. At this early stage of market evolution, changes will be limited to those that, in the first instance, have majority support from participants and exhibit clear efficiency gains and improvements to system effectiveness.

6.3 Release Implementation

Changes to IMO Market Systems will come in the form of a release where a single release may consist of multiple system changes. The process of implementing releases to IMO Market Systems consists of the following steps:

6.3.1 Change Notification

One of the more critical elements of the Change Management Process is keeping all affected parties advised of the status of the change. The Change Manager will be responsible for these notifications. In particular, at release implementation the Change Manager will, as appropriate, arrange for:

- Notifications to be sent where appropriate to IMO Management and Participants through a WEM Change Notice;
- e-mail or facsimile copy to be sent to System Management;
- Copies of relevant specifications to be sent to participants.

Notifications will consist of

- a description of the change
- an assessment of impact on Participant systems
- a proposed release date for implementation.

6.3.2 Feedback from Participants

Participants will have a period of five working days from notification to provide feedback to the IMO regarding the release and proposed implementation date. Where a participant believes they will not be able to adjust their systems to comply with a change or will not be able to implement all of the changes in a release by the proposed date, they must advise the IMO in writing, citing the reasons they cannot comply with the change notice.

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The IMO will review the feedback from Participants and determine if a change is required by the release date. The IMO will provide as much assistance as possible to Participants to enable them to comply with change notices and timeframes. If the IMO feels that a participant's reasons for not implementing a change are unjustified, the Change will proceed as expected so as not to disadvantage all other participants.

6.4 Operations Desk

The Market Operations Desk is the initial contact point for most change requests, both from internal and external parties. Requests logged via the Operations Desk will be recorded in the IMO's issue management tool as a Project Issue Report and allocated to a change developer for assessment.

7 Change Management Working Group

The Change management working Group consists of IMO and Market Participant representatives.

7.1 Role

The Change Management Working Group's focus will cover three general areas:

- Reviewing proposed changes to the IMO's IT Systems, other than system changes resulting from approved Market Rule Changes. This includes evaluation of cost effectiveness and impact on Market Participant systems;
- The scheduling of system releases that cover all system changes in a manner that best meets participant and IMO requirements and, where applicable, the requirements of the Rule change; and
- The on-going improvement and refining of this change control procedure.

7.2 Membership

Membership of the Working Group consists of the Market Manager Operations, IMO Change Manager, IMO Change Implementer and representatives from Market Participants and System Management.

In order to keep the working group manageable, a place will be made available for only one representative from each market participant.

7.3 Administration

The Change Manager:

- Convenes the Committee meeting
- Sets the agenda
- Manages the minutes of the meetings.
- Issues notices to Working Group members

7.4 Agenda for Committee Meetings

- 1. Issues arising from the previous meeting**

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- 2. Review of changes since the last meeting**
- 3. Change reports**
- 4. Any other issues**

8 Change Management Workflow

