

ARIZONA CHANGE CONTROL PROCESS

FOR

APPROVED STANDARDS & OPERATING PROCEDURES

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Arizona Change Control Process for Approved Standards & Operating Procedures

Introduction

Change Control is vital to implement changes in an efficient, effective, timely, and well-coordinated manner. The following will provide the process by which changes to an approved Arizona State Standard (i.e. forms, EDI standards, and business processes) may be requested, discussed, reviewed, ruled upon and implemented if approved. Arizona State Standards for Direct Access Business Processes are developed by the Process Standardization Working Group (PSWG) and submitted to the Utilities Division Director for final approval. All final documents and approved changes to the final documents are posted to the ACC web site with the last date updated. The change control process will be utilized once the PSWG has developed a standard and submitted that standard to the Utilities Division Director for approval.

Changes or clarification questions by Commission Staff on recommended standards are not part of this process. Staff identified changes are an agenda item discussed at a PSWG meeting following submittal of a recommended standard. Changes identified, discussed and endorsed during a PSWG meeting are also not part of this process.

Market Participants will be notified of proposed and approved changes by the ACC using the PSWG distribution list.

1. Type of Change and Degree of Complexity

1.1 Type of Change:

Changes can impact two areas.

- Technical Change
 - Changes to electronic file formats or forms
- Business Process
 - General changes to modify, delete or add to approved processes

1.2 Degree of Complexity:

Impact to existing processes can vary in difficulty

- Low Complexity -- routine code requests, text clean up, additional examples and information or business rules no longer apply.
- High Complexity -- technical changes, structural change to the transaction, or business process that requires market participant to make significant changes to process flows and systems:
 - Other Market Participants currently using transaction will be affected
 - Need to respond to new or changed regulatory requirement
 - Requires a new version of an approved standard
 - Requires ACC rule change or waiver to existing rule

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Roles and Responsibilities

2.1 REQUESTOR:

- Using the PSWG Change Control Request Form the requestor will provide an outline of the request with business reason(s) that support the request, example(s) of requested change, and option(s) for implementation of request
- Provide copies of and introduce the Change Control Request during the New Issues section of a PSWG meeting.
- Provide the change request information to the PSWG chair if unable to attend a PSWG meeting.
- Be prepared to address group with the following:
 - Describe the change or request
 - Define the pros and cons and the consequences of implementing requested change
 - Identify effects on related transactions, rules, etc.
 - Provide a brief implementation timeline
 - Keep request current - withdraw if no longer needed

2.2 PSWG CHAIR:

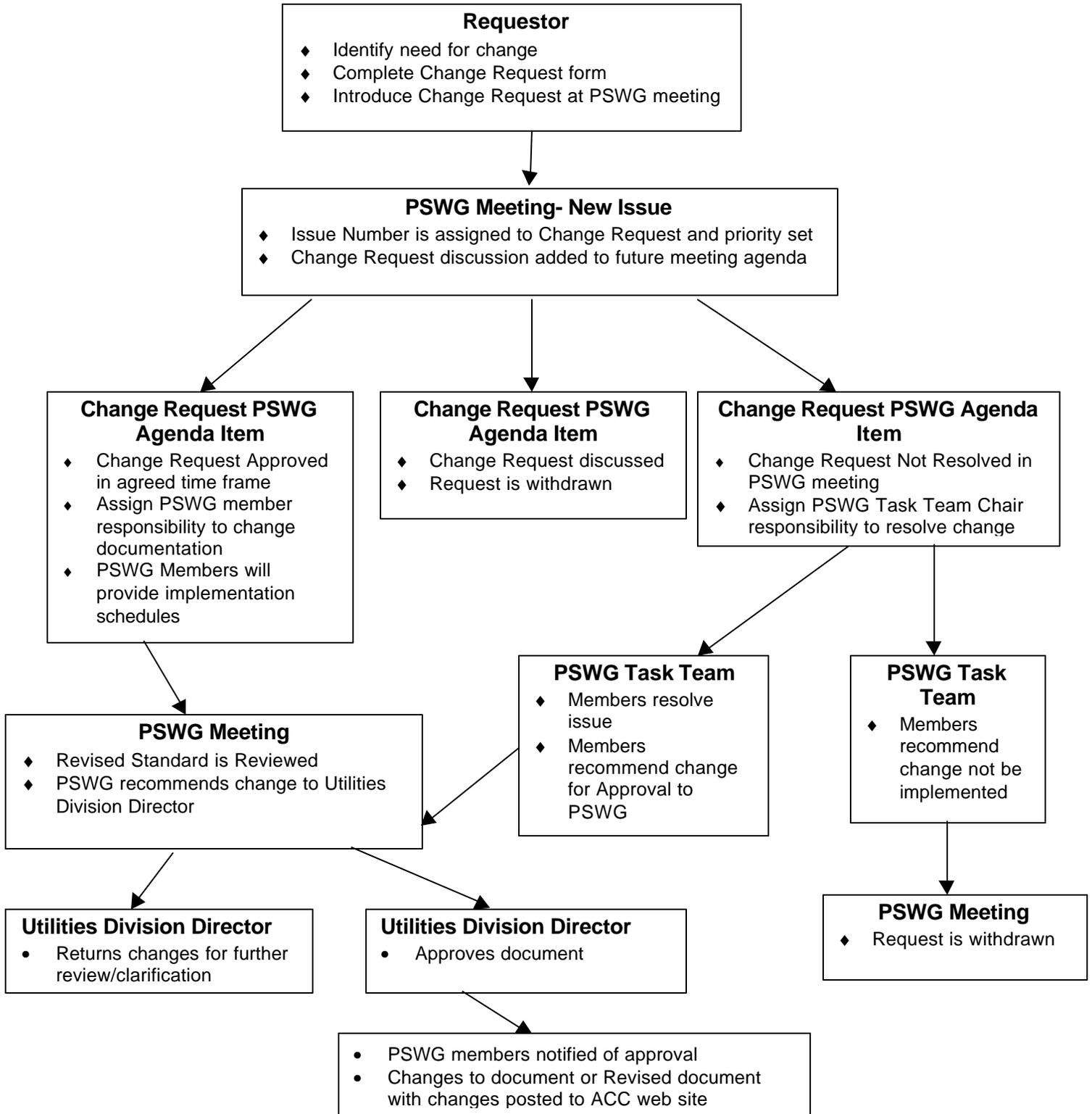
- Present Change Control Requests for requestors who are unable to attend a PSWG meeting.
- Share input on Change Requests received from absent members
- Arrange and notice a special meeting if the PSWG has no regular scheduled meetings.

2.3. PSWG MEMBERS:

- Assign a priority to Change Requests
 - High – Implemented within 10 days of Utilities Division Director approval, or as otherwise directed by PSWG.
 - Medium – Implemented within 30 days of Utilities Division Director approval. Next release, or as otherwise directed by PSWG.
 - Low – Implemented no earlier than 90 days of Utilities Division Director approval. Future Release, or as otherwise directed by PSWG
- Agree to a date for agenda item to discuss Change Request
- Provide input or feedback on Change Requests by:
 - Attending scheduled meetings and actively participating
 - E-mailing input to the PSWG chair prior to PSWG meeting if unable to attend
 - Arriving at a consensus during PSWG meeting
 - Meeting timelines for action items related to the request
 - Implementing approved changes as agreed
- Stay abreast of topics being discussed

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FLOW OF CHANGE REQUEST



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Change Request Form

Requestor's Name:	Company Name:	Phone # :
Date of Request:	Business Process / Transaction(s) / form(s) impacted:	e-mail Address:
Degree of Complexity: <input type="checkbox"/> Low <input type="checkbox"/> High	# of Attachments (supporting documentation)	PSWG Issue #:
Type of Change: <input type="checkbox"/> Technical <input type="checkbox"/> Business Process	Requested Implementation Date:	PSWG Priority <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low

Brief Description (This will be copied into the Issues List):

Detailed Explanation (Exactly what change is requested? Which Standards impacted? Why—the business reason as well as the technical reason? Other Standards Potentially Impacted Examples of options for change request implementation):

This Change Request Form can be found on the ACC web site at
<http://www.cc.state.az.us/>

Please provide copies of this form at the PSWG meeting.

Your request will be formally introduced, assigned an issue number, and prioritized at a PSWG meeting.