Australian Government
Australian Taxation Office

FILE REF:

SuperStream
Change Management
Framework

Version 1.0

⚠️ UNCLASSIFIED

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1.   VERSION CONTROL

Version	Release Date	Description of Change
0.1	Nov 2016	Initial draft based on previous discussion with ASP (v0.11 draft).
0.2	Feb 2017	Internal review. Feedback incorporated.
1.0	May 2017	Endorsed by SSTC on 10 May2017.

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1. INTRODUCTION

This document provides the necessary information required to effectively manage changes to the SuperStream Data Standards (the Standard) from initial request to implementation.

The scope of this document includes any changes to the Standards and enabling services that will impact the Superannuation network. The Change Management Process described in this document must be used when planning, communicating, and implementing changes that will impact the Standards and/or enabling services, including any supporting artefacts currently used within the Superannuation industry.

The intended audience for this document includes all users of the Standard. The SuperStream Reference Group will undertake the Change Control Board function. Sub committees (e.g. SuperStream Standard Technical Committee) as well as related industry groups (e.g. ASP) will also be involved in the process playing an advisory role.

ATO plays dual roles, as both the owner and a user of the Standard. ATO also provides a number of enabling services and artefacts to facilitate SuperStream transactions.

ATO acknowledges that industry relies on a number of enabling services (e.g. SuperTICK and FVS) to meet SuperStream obligations; therefore ATO's change management process must include in considerations on the broader impact on the industry and ensure the SuperStream network is consulted prior to change.

2. CHANGE MANAGEMENT PROCESS

The change management process establishes an orderly and effective procedure for tracking the submission, coordination, review, evaluation, categorisation, approval and release of all changes to the standards and enabling services.

2.1 CHANGE CONTROL BOARD

The Change Control Board (CCB) that authorises changes should constitute stakeholders representing the industry and related government bodies. The SuperStream Reference Group (SSRG) will undertake the CCB function for SuperStream.

As set out in the SSRG charter, SSRG advise on the proposed content, priorities and timing of changes to the Standard. SSRG meetings are scheduled at a bi-month basis, which can align to the common quarterly release cycles. Out-of-session approval process can be arranged for emergency changes.

Under the Standard, the Commissioner of the ATO is designated with administrative responsibility for the standard[1]. This includes providing administrative support, monitoring and maintaining its intent and making changes as required to its subordinate instruments.

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[1] Any changes to the enabling legislation or regulations supporting the Standard require either Parliamentary or Ministerial approval respectively. The ATO will generally work with Treasury around proposed changes involving regulatory change, but Treasury is the lead agency responsible for assessing these. From time-to-time change may also be initiated by government and therefore may not always follow the principles or processes outlined in this document.

The SuperStream Reference Group (SSRG) is the primary advisory body to the ATO on all SuperStream matters. The SSRG includes members across the industry, and seeks advice from special purpose advisory groups, including the SuperStream Technical Committee (SSTC) and the Gateway Network Government Body (GNGB), therefore will be able to review proposed changes and make informed decisions.

2.2 CHANGE PROCESS

Proposed changes will be assessed and registered. ATO will perform the change coordinator function during the process, including recording CRs, coordinating impact assessment, and seeking advice / approval from relevant stakeholder groups.

An overview of the process is illustrated by the chart and table below.
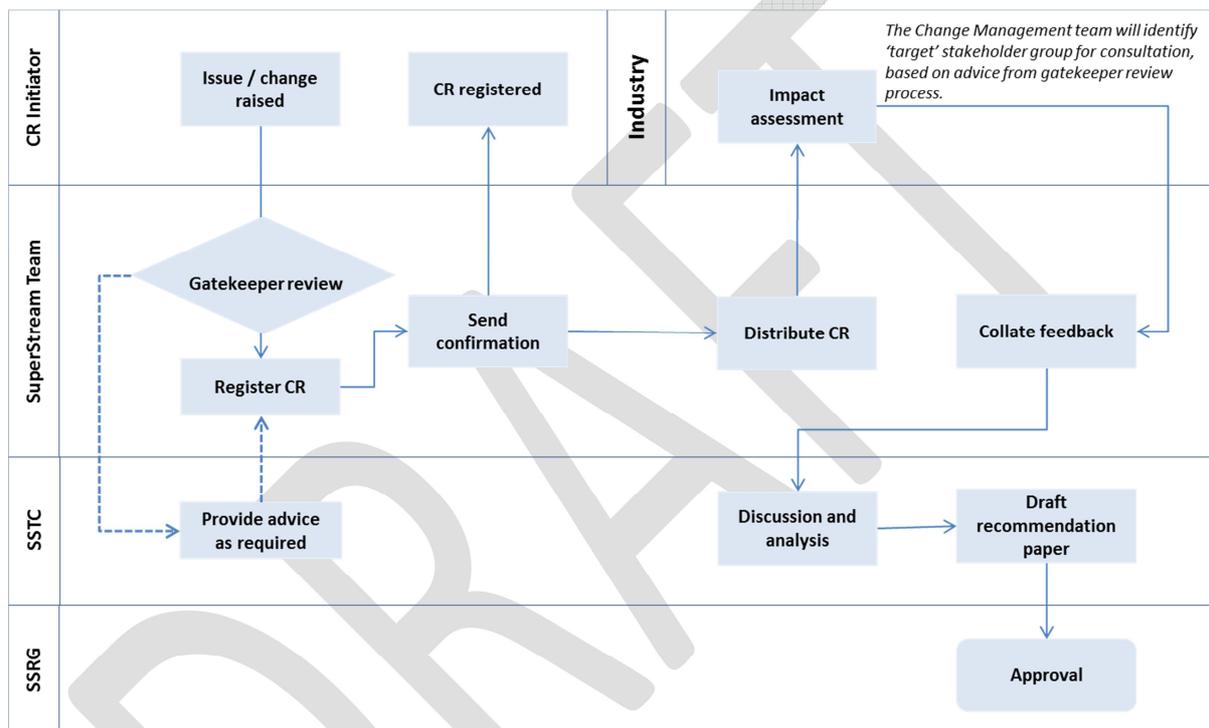
No.	Step	Description	Responsibility
1	Initiate a change	Where applicable, complete the CR form and sent to the ATO SuperStream team. See Appendix for CR template.	Change submitter
2	Gatekeeper review	Submitted CRs are reviewed to: • ensure that they are feasible and within the scope of SuperStream. • determine whether additional information is required. • determine the right stakeholder group for impact assessment Proposed changes may be captured as opportunities if not currently feasible / practical but will provide benefits in the future.	ATO / SSTC /
3	Log CR Status	CR is registered into the CR Log. The CR's status is updated throughout the CR process as needed.	ATO
4	Evaluate CR /	CR is distributed for impact assessment	All

	Impact Assessment		
5	Advise and seek approval	SSTC analyses feedback and draft recommendation paper to SSRG for final decision.	SSTC
6	Authorise	SSRG to approve or reject CR.	SSRG
7	Implement	If approved, make the necessary adjustments to carry out the requested change and communicate CR status to the submitter and other stakeholders.	All
8	Post Implementation Review	Once implemented, the ATO SuperStream team would co-ordinate a post implementation review to ensure key learnings are documented and incorporated in future practice.	ATO

2.2.1   Submitting a Change Request

Changes can be submitted using a change request (CR) template to the ATO. Submitted change will be reviewed, and the submitter will be notified with CR number once registered.

The CR submitter should provide key information including contact details of the CR submitter, a brief description of change required, and clear business case that support the change. It is expected the CR submitter to provide a summary of benefits the change intends to bring, as well as other relevant information to assist stakeholders to undertake cost benefit analysis.

2.2.2   Gate Keeper Review of Change Request

Submitted CR will be assessed to ensure it is within the scope of SuperStream and provides enough information for stakeholder to assess the full impact of the change and conduct cost-benefit analysis.

This also determines the feasibility of submitted change, and may request the submitter to provide further information depending on the complexity and scope of change.

A CR will be evaluated during the review process using the following priority criteria.

Priority	Description
High	Critical Change required for next release - without this change there would be an impact on processing. (i.e. compliance changes to be implemented)
Medium	Change supports necessary system/business operations. Required eventually but could wait until a later release if necessary (i.e. there is a work around)
Low	A functional or quality enhancement.

Note: A change request may be captured as an opportunity in the opportunity register, if it is determined that the change cannot be implemented, for example, due to uncertainty of technology.

2.2.3   Change Management Log

Change submitter will be provided a confirmation including the CR number for tracking once the CR passes gatekeeper review. It will be captured in the change log

and each CR will be evaluated and assigned one of the following status types:

Status	Description
Open	Entered/Open but not yet approved
Consultation	With industry for consultation/feedback
In Review	Feedback is being reviewed by CCB
Approved	Change has been approved and final documentation is circulated to industry
Certification/Testing	Certification/Testing period of change (if required)
Induction	Change is implemented by a managed induction process.
Implementation	Change has been implemented across industry
Closed	CR work is complete, has passed all tests, and Implemented.
Rejected	CR has not been endorsed

Stakeholder feedback during impact assessment will also be captured in the change management log. The CR Log will be maintained by the ATO and made available to all stakeholders. Subscription function will be available for interested parties to notify updates or new posts, for example an email alert.

2.2.4 Communication and Consultation with Industry

An integral part of the change process is to understand impact on stakeholders that have to implement the change and conduct cost-benefit analysis.

Selecting stakeholder groups

Proposed change will be visible for all stakeholders. Based on advice from SSTC (and/or other forums as necessary) the ATO will identify a 'target' group and contact the stakeholders for impact assessment (IA).

Established groups like SSTC, GNGB, ABISA and ASFA will be notified of proposed change and can provide feedback.

Timeframe for impact assessment

The timing of the consultation period depends on to the priority of the change.

A high priority change would require a set period for consultation/feedback and review to ensure it can meet an emergency release if required.

Medium and low priority changes to be factored into the CCB Board meetings which would be arranged around the ATO/industry communicated release schedules.

Feedback will be consolidated and industry consultation will be conducted to define impacts and reasonable timeframe for implementation.

Release Cycles

Large organisations, including the ATO, are restricted to a limited number of development releases in a calendar year. The number and the cycles vary, but anecdotally we would expect that a quarterly window is quite regular.

A release calendar for key stakeholders major release dates should be maintained to ensure changes are communicated well in advance and best align with release cycles. This calendar will assist in considering the implementation timeframe for the CR.

2.3 SUPERSTREAM GUIDANCE NOTES

Guidance notes (GN) and Binding Implementation Practices (BIP) notes have been developed to address questions or issues identified of the Standard, and/or provide best practices guidance since the introduction of SuperStream.

Guidance notes intend to provide clarification and /or corrections and are considered as modifications and clarifications to the Standard. Binding Implementation Practices are policies that apply to the gateway network and clarify activities that are not defined within the Standard.

Effective date / implementation timeframe should be included in each guidance note and BIP note. They may be incorporated into the Standard during agreed changed window. Dates will be determined based on feedback from affected parties and cost-benefit analysis as described in previous sections.

Guidance note should clearly reference which artefacts or transaction it refers to, including the version.

Guidance notes and BIPs will be recorded in a register, including its number, current status, agreed timeframe, and whether it should be incorporated in the next major release.

It is expected that the creation of both Guidance Notes and Binding Implementation Practices will slow down (and eventually cease) as the implementation of the Standard mature.

2.4 TESTING / COMPLIANCE

Testing is an integral part of the process and the timing for it needs to be factored into the implementation plan of any change. Testing requires verification of the correct operation of the software involved in a change at the integration test, interoperability test (between gateways) and end-to-end peer-testing levels and requires considerable co-ordination between the parties involved.

An industry wide test bed being considered, that has GNs and BIPs applied, would enable both senders and receivers (and their intermediaries) to independently test their own implementations in a uniformed environment to ensure everyone has the same interpretation.

3. VERSIONING

3.1 VERSIONING STRATEGY

The SuperStream versioning strategy should follow a defined standard such as:

- OASIS standards and recommendations:
  http://docs.oasis-open.org/specGuidelines/namingGuidelines/metadata.html
- Semantic Versioning:
  http://semver.org/

Implemented changes will need to be classified as Minor, Major or Patch versions. According to Semantic Versioning 2.0.0:

- MAJOR version should be used when you make incompatible changes, e.g. API changes.
- MINOR version when you add functionality in a backwards-compatible manner

  Minor versions should always be backwards compatible, i.e. existing users can use the new version with no change. The introduction of a new (optional) field that may not be used by existing users would be a minor release, for example, using a Withholding Payer Number (WPN) in the ABN fields where an employer is not entitled to an ABN.

- PATCH version when you make backwards-compatible bug fixes.

  A patch release does not modify an already existing element (where appropriate a release of the previous patch maybe applicable). It is either backwards compatible with the current version or relates to an issue that does not stop processing a message. There has not been more than 10 patch releases since the last minor patch.

  For SuperStream the requirement for a patch version is usually addressed by a guidance note, which will then be incorporated into the next minor or major release.

3.2 PROFILES / VERSIONING PRINCIPLES

As there are multiple artefacts involved, each with their own versioning, a versioning process must be established for all artefacts (including guidelines and best practices), with correlations to other artefacts explicitly articulated, for example, a clear correlation between the MIG, taxonomy, Schematron and production services.

Profiles could be created so that participants are aware which version of each of the artefacts is supported. For example:

- Profile 1 – MIG v1.2, Schematron v1.2, Taxonomy vXX, ebMS vXX etc.
- Profile 2 – MIG v2, Schematron v2, Taxonomy vXXX, ebMS vXXX etc.

When a new MIG or guidance note is released it should reference which Taxonomy and other artefacts it links to.

All payloads (i.e. business documents) in a given ebMS message must be of the same version to allow version identification at the ebMS level. However this does conflict with the "payload agnostic" doctrine of the ebMS protocol/standard so may require some further discussion – the use of Profiles could assist this issue as there could be a profile that allows for multiple payload versions

Version/Profile ID must be present in the ebMS header (possibly the payload header) and not the message body. This allows for quick debugging of interoperability issues.

A key factor in support of multiple versions will be the identification of version capability for interacting parties. For example, a sender (as the originator of the XBRL), should be able to identify the version that they are able receive responses in, although it should be reasonably expected that they are able to receive in the version that they are sending in.

There are a number of artefacts enabling users to view the version that is supported by a participant in the network.

Fund Validation Service (FVS)

FVS includes offers a look up service from the Fund Details Register (FDR) that allows users to view the version that is supported by the desired receiver.

Fund Validation Service versioning should be on major, minor & patch releases. The expectation is that if fund x has a version number of 2.1.3 it assumes they can also interpret 2.1.2, 2.1.1 and 2.1.0. There would be an expectation of being able to handle N-1 thus should be able to interpret all versions of 2.x.x.

Alias Register

The register is a public register that lists SMSF messaging service providers, e.g. gateways or other service providers, who can provide SMSF with an electronic service address (alias).

Recommended support of versioning

- Gateways should support the latest version/profile, version n, as well as version n-1 and n-2.

- Funds, SMSF service providers should support at a minimum the latest version/profile, version n, and last version n-1, but should not be expected to support more than three versions at any one time.

- Close down of older versions – would need to be agreed for a point in time specified by the ATO on consultation with the industry.

3.3 OTHER PRINCIPLES

- Gateways must on-forward the message to the destination in the same version as they receive.

- Message senders must check prior to sending which version the receiver supports. Message receiver / funds must send response messages in the same version to the incoming message.

- When a new version is developed and ready for implementation, gateways should to be the first adopters to allow users to migrate to new version. A big bang implementation of the new version is suggested for gateways, post certification testing.

- Multiple versions lead to continued and expanding regression testing

4. CHANGE SCENARIOS

4.1 SCENARIO 1

Major change – Incorporating government contributions and amendment (Payment Variation Advice) into the Standard

Step	Description
Initiating the change	This is part of the SuperStream program business case. The Government (ATO / APRA / Treasury) plays the change initiator role.
	It is expected that most major changes are initiated by a reform, law change, government initiative or technology trend / shift, and the change is usually implemented as a project.
	May or may not need to log a CR, but change scope and timing will be clearly documented and published.
Gatekeeper review	Not required. Feasibility will be discussed at workshops during early consultation.
Record in change register	Change scope and timing is documented.
	For large-scale changes it may be documented as project business change.
Identifying target stakeholder	ATO identified a target group of stakeholders who will be impacted based on current interactions with the industry.
Impact Assessment / Consultation	Communication of change covered all stakeholders but ATO also identified relevant subsets for targeted discussions, e.g. Co-design and technical working group and gateway groups. .
Advise and seek approval	ATO drafted recommendation paper based on industry feedback, and sought endorsement from SSRG. This included change scope and timing.
Authorise	SSRG approval
Implement	Large-scale change is usually managed via projects.
	ATO formed project teams and worked with industry through the journey. E.g. Contributions implementation Working Group.
Post Implementation Review	Once implemented, ATO will organise post implementation review to ensure key learnings are documented and incorporated in future practice.

4.2 SCENARIO 2

Minor change – issue management e.g. Superannuation Member Client ID spelling error. Issue is addressed via a guidance note. The schedule documents will updated in the next available change window to rectify the issue.

Step	Description
Initiating the change	At the SSTC a representative reported that the MIG contained a spelling mistake for a parameter value 'SuperannuationMemberClientIdentifier'.
Gatekeeper review	SSTC discussion. It was agreed that the spelling should be corrected.
Record in change register	This issue was recorded.
Identifying target stakeholder	This issue was at the fund side when returning an outcome response for a member registration request. Some funds corrected spelling during implementation, while other fund may have copied and pasted the incorrect spelling. Some entities who received the outcome response also detected the typo.
Impact Assessment / Consultation	Minor impact for both sending and receiving party. Funds prefer to align change with own release cycle and SSTC agreed this issue should be rectified within 6 months. A guidance note was issued.
Advise and seek approval	SSRG is updated with the issue via regular SSTC updates / reports. As this is a minor change with minimal impact, formal SSRG approval was not required. Issues that are technical, relatively small in scale, or needs clarification are addressed by guidance note and approved by SSTC.
Authorise	Guidance note reviewed and approved by SSTC. Update is reported to SSRG for noting.
Implement	Fund to correct the spelling by the agreed date. The MIG was updated in the next change window (Contributions v2) and Guidance note will be superseded.
Post Implementation Review	NA. If further issues are raised they will be managed via the same process as above.

4.3   SCENARIO 3

Response Messaging Framework user guide and its inclusion into Contributions v2 implementation.

Step	Description
Initiating the change	Industry recognising the need to make error messaging process automated to drive efficiency improvements.
Gatekeeper review	NA, since the change is agreed and initiated via wide discussion.
Record in change register	This was discussed at SSTC and other relevant forums, and was recorded as an opportunity (to improve).
Identifying target stakeholder	Both funds and employers (including intermediaries and service providers) may be impacted as sending and receiving parties.
Impact Assessment / Consultation	Recognising the wide impact, a pilot was established, aiming to validate the high value response messaging scenarios (primarily refunds). The pilot later concluded and confirmed the need for industry to adopt the Response Messaging Framework in order to realise the full benefits of error messaging.
Advise and seek approval	SSRG is updated with the issue via regular SSTC updates / reports. Guidance note summarising the changes required is reviewed and approved by SSTC.
Authorise	The guidance note is reported to SSRG for noting.
Implement	Sending and receiving solutions to make the required changes by the agreed date. The MIG was updated in the next change window (Contributions v2) and Guidance note was superseded.
Post Implementation Review	NA. If further issues are raised they will be managed via the same process as above.

5.   APPENDIX A: CR TEMPLATE

Note: We may not require a formal template but the below indicates basic information required from the Change Initiator.

*Mandatory field

SuperStream Change Request	
CR No.	Will be assigned by the change management team
Title*	A brief description of the change request
Date*	The date the CR was created
CR Contact*	Name of the person completing the CR Form and who can answer questions regarding the suggested change
Phone	Phone number of the submitter
E-Mail*	Email of the submitter Note: A valid email address is required to receive a confirmation once the CR is registered.
Description*	Brief description of the desired change. Should include the following: Business rationale (benefit or change, or impact if no change) Timing – when is the change required Impact of change
Version	The version that the suggested change is for
Priority	☐High ☐Medium ☐Low
Impacted artefact	☐Schedule 2 – Terms and Definitions ☐ Schedule 3 – Payment Methods ☐ Schedule 4a – Contributions MIG ☐ Schedule 4b – Rollover MIG ☐ Schedule 5 – Message Orchestration and Profiles ☐ Schedule 6 – Error Code Management ☐ Taxonomy ☐ WIG – Web services Implementation Guide – For enabling services ☐ MEP – Message Exchange Pattern ☐ Conformance Suite ☐ Test plans ☐ Test cases ☐ Schematron ☐ Schema ☐ Other – please specify:

Impacted group / sector* (may choose multiple)	☐ APRA fund ☐ SMSF ☐ Fund administrator ☐ Employer / Employer Solution Provider ☐ Payroll Service Provider ☐ Clearing House ☐ Gateway ☐ Other – please specify below _____
Attachment (if any)	
Other Notes	