

ASEXML STANDARDS WORKING GROUP (“ASWG”) – TERMS OF REFERENCE

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1. Legal Basis of ASWG

AEMO is the owner of the aseXML Standard, developing it in consultation with the AEM. AseXML Subscribers have obtained a License from AEMO to use the aseXML Standard.

The Licence provides, among other things, that:

- the aseXML Subscribers can use the aseXML Standard, but cannot change it without the approval of AEMO; and
- the ASWG will be the single technically focussed working group responsible for managing the aseXML Standard and advising AEMO

The ASWG will operate under the terms of reference in this document.

This document does not apply to the GMC aseXML Derivative, which will be managed by GMC in direct consultation with AEMO.

2. Definitions

In this document, these meanings apply, unless a contrary intention appears:

“Approval Decision” means a decision by AEMO to accept or reject a Change Proposal or a new version of the aseXML Schema.

“aseXML Guidelines” means the guidelines contained in *Guidelines for the Development of A Standard for Energy Transactions in XML*.

“aseXML Schema” means the format used to define and validate the XML content of exchanged business transactions in the Australian Energy Markets.

“aseXML Standard” means a standard used by the Australian Energy Markets to communicate business transactions between each other electronically. It consists of the aseXML Guidelines and aseXML Schema.

“aseXML Subscriber” means a person authorized to use the aseXML Standard under a Licence.

“ASWG” means the aseXML Standards Working Group that is responsible for reviewing and making recommendations to AEMO about changes to the aseXML Standard.

“Australian Energy Markets (AEM)” means the Australian electricity and gas markets

“AEM Operator” means a member of an AEM who is responsible for controlling or regulating that AEM

“Chair” means the person holding the position of chair of the AWSG for the time being.

“Change Process” means the process contained in **paragraph 8**.

“Change Proposal” means a proposal to change the aseXML Standard in a format developed by the ASWG.

“**Change Timetable**” means a timetable that contains the key dates necessary for AEMO to publish a new version of the aseXML Schema.

“**Corresponding Members**” mean members who are in the ASWG mailing list and correspond with the ASWG.

“**GMC**” means the Gas Market Company Limited (A.C.N 095 400 258), which is the operator of the NSW & ACT Gas Retail Market.

“**GMC aseXML Derivative**” means a derivative of the aseXML Standard used only by the GMC.

“**Industry Participant**” means a participant in an Australian Energy Market operated by an aseXML Subscriber.

“**Licence**” means an agreement between AEMO and an aseXML Subscriber to use the aseXML Standard.

“**Member**” means an aseXML Subscriber or Industry Participant.

“**Market Distributors**” means Industry Participants in an AEM who are responsible for operating an energy distribution system.

“**Market Host Retailers**” means Industry Participants in an AEM who purchase energy from a Market Distributor, and who are designated as such for a supply point by the relevant aseXML Subscriber.

“**Market 2nd Tier Retailers**” means Industry Participants in an AEM who purchase energy from a Market Distributor, and who are not designated as Market Host Retailer for a supply point by the relevant aseXML Subscriber.

“**Meter Data Agents**” means Industry Participants in an AEM who are responsible for obtaining and delivering energy data.

“**AEMO**” means the Australian Energy Market Operator (A.C.N. 072 010 327).

“**Representative**” means a person nominated in accordance with **paragraph 6**.

“**Submission**” means a notice in writing, signed by the party that sets out the reasons for the party’s dissatisfaction and how they would like it to be resolved.

3. Objectives of the ASWG

The objectives of the ASWG are to:

- a) manage the ongoing development of the aseXML Standard, including making recommendations to AEMO on new versions of the aseXML Schema;
- b) adopt a multilateral approach to the development of the aseXML Standard with equal regard to the interests of each Australian Energy Market;

- c) promote convergence, at a technical level, in the use of the aseXML Standard across the Australian Energy Markets; and
- d) ensure clear review and approval procedures for proposed changes to the aseXML Standard.

4. Governance Structure

Diagram 1 shows the governance structure for the management of the aseXML Standard.

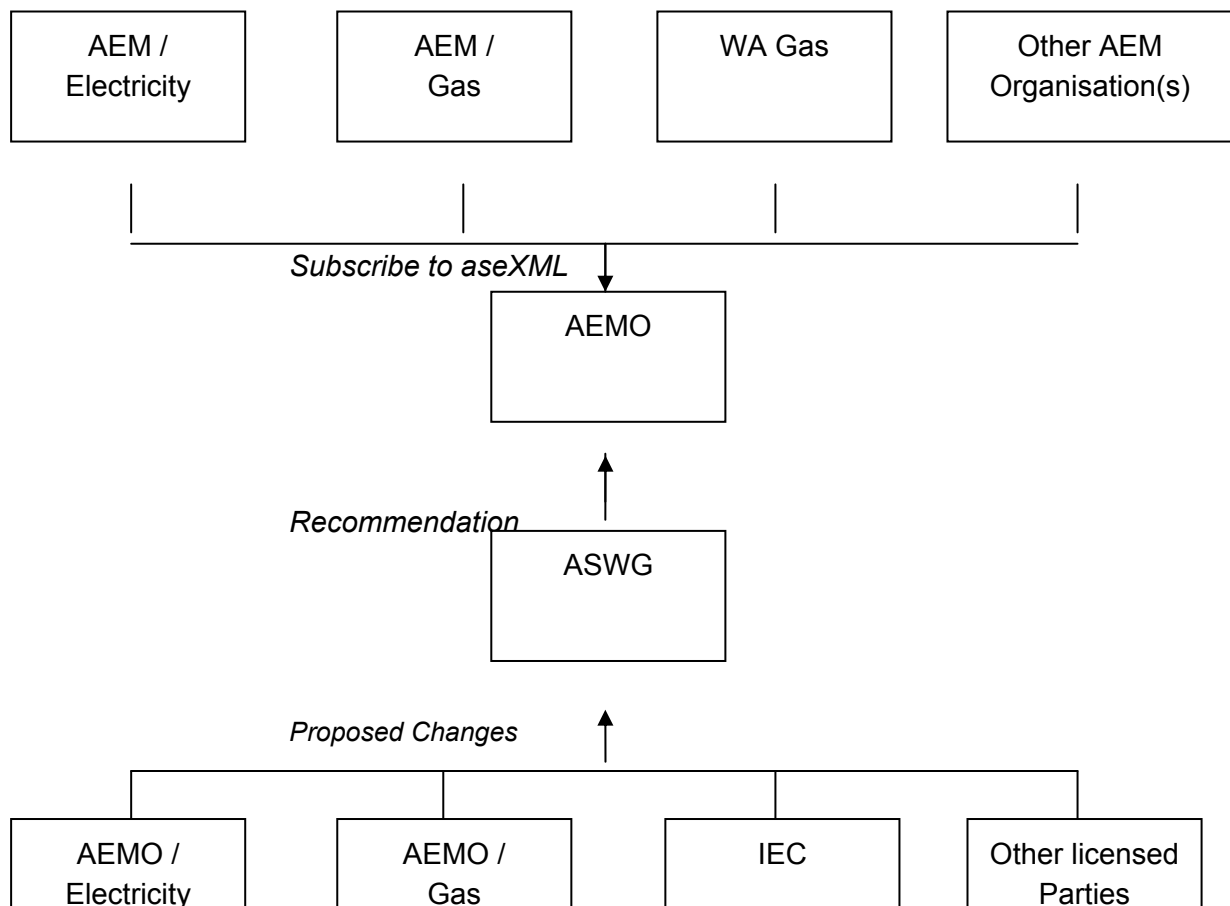


DIAGRAM 1: ASEXML GOVERNANCE STRUCTURE

Changes to the aseXML Standard can be proposed by aseXML Subscribers and technical working groups associated with aseXML Subscribers.

The ASWG will consider options in accordance with the Change Process and make a recommendation to AEMO.

If the ASWG is unable to agree on a recommendation, the issue will be forwarded to AEMO for resolution.

5. Membership

5.1 Representatives

If Members want to participate in the decision-making of the ASWG, they must appoint Representatives to the ASWG, in accordance with this **paragraph 5.1**.

Representatives must be technically proficient with XML and conversant with the aseXML Standard.

Industry Participants

Industry Participants may appoint up to four (4) Representatives with no more than one (1) Representative from the following AEM sectors:

- a) Market Distributors;
- b) Market Host Retailers;
- c) Market 2nd Tier Retailers; and
- d) Meter Data Agents.

Representatives who are appointed by Industry Participants are expected to:

- a) consult widely with other organisations operating in the industry sector they represent; and
- b) act and vote in the best interests of their entire industry sector, not just their own organisation.

AseXML Subscribers (other than AEMO)

Each aseXML Subscriber, other than AEMO, may appoint one (1) Representative to the ASWG.

AEMO

AEMO must appoint one (1) Representative to the ASWG.

5.2 Secondary Representatives

Each ASWG representative also has a secondary representative. These secondary representatives take the place of the primary representative when that person is unable to attend a meeting. The secondary representative will be a person nominated by the primary representative and will be authorized to make decisions in the absence of the Primary representative.

The Chair will maintain a list of the secondary representatives who are nominated.

The Primary representative may nominate a different person to represent them at a specific meeting, but this must be done by providing notice of this intent to the Chair prior to the meeting.

Likewise, these secondary representatives must be technically proficient with XML and conversant with the aseXML Standard.

Industry Participants

Each secondary representative is also an Industry Participant and representation of a relevant market sector as outlined in 5.1.

Secondary Representatives vote in the absence of the Primary Representative.

Secondary Representatives do not constitute an additional voting right per market sector.

5.3 Communication with the ASWG

Members that want to communicate with the ASWG should do so through their Representative in the first instance.

The ASWG, however, encourages any interested persons to:

- a) attend ASWG meetings as observers; and
- b) to participate in the ASWG as Corresponding Members.

The involvement of observers and Corresponding Members is an important mechanism for ensuring specialist input and expertise is available for specific issues.

5.4 Chair

The Chair may be nominated by any Representative.

The Chair may be:

- a) a Representative; or
- b) an independent person;

who has consented to being the Chair.

If only one person is nominated, that person will be the Chair.

If more than one person is nominated, the Chair will be decided by a vote with a simple majority.

The Chair will remain Chair until they resign or another person is nominated or elected.

If the position of Chair is vacant, the AEMO Representative will be the Chair.

6. Meetings

6.1 Frequency of Meetings

The AWSG will meet at least monthly, or more often as determined by the Chair.

Representatives who are unable to attend a meeting should notify the Chair before the meeting.

6.2 Quorum

For a meeting to be properly constituted, more than 50% of Representatives must attend.

6.3 Meeting agenda and materials

The Chair must publish a meeting agenda and other relevant materials before each meeting.

In particular, information regarding items to be voted at the next meeting, along with related papers, must be distributed to Representatives at least two (2) working days before the meeting and must allow adequate time for consideration of the issue.

6.4 Distribution of meeting papers

The ASWG will make all meeting agendas, minutes, Change Proposals and working documents available to Members.

7. Change Process

7.1 New version of aseXML Schema

New versions of the aseXML Schema will be published as per the Change Timetable defined in **paragraph 7.2**.

7.2 Change Timetable

The ASWG will prepare a Change Timetable for the year that will be published on the aseXML website.

The Change Timetable must include:

- a) the last date for a Change Proposal to be submitted to the Chair;
- b) the date AEMO needs to publish a pre-release of the new aseXML Schema;
- c) the last date for Members to provide AEMO with comments on the pre-release of the new aseXML Schema; and
- d) the date AEMO will finalize the new aseXML Schema.

7.3 Change Proposal

Members must submit a Change Proposal to the Chair.

If a Member wants the change included in the next version of the aseXML Schema, they must submit the Change Proposal in accordance with the Change Timetable.

7.4 Identified Business Requirement

If a Change Proposal involves a change to the aseXML Schema that is necessary to meet an identified business requirement, the ASWG cannot reject the change without recommending another way to meet that identified business requirement.

If a Change Proposal:

- a) involves a change to the aseXML Guidelines; or
- b) a change to the aseXML Schema that does not relate to an identified business requirement;

the ASWG may accept or reject the Change Proposal without considering any alternatives.

7.5 Voting

All Change Proposals must be voted on by the Representatives.

Each Representative has one vote. The Chair will not vote unless the Chair is also a Representative.

Any member unable to attend a meeting in person may request the Chair to act as their voting proxy by submitting a request in writing before the relevant meeting.

Where a vote is taken, the results will be based on the votes of those Representatives at the particular meeting and those who have requested a proxy.

Members must ensure they are represented at all meetings where matters of interest to them are being considered.

If it is necessary for the ASWG to vote outside of a meeting, the Chair must notify all Representatives that the votes will be cast by an alternative voting system, and the date and time by which all votes must be cast. The results will be based on the votes of all Representatives who respond by the relevant date or time.

7.6 Report to AEMO

The results of the vote and applicable material will be forwarded to AEMO for review and approval.

If the vote is not unanimous, all views will be provided to AEMO.

If a Change Proposal was accepted by at least 75% of Representatives who voted, it will be presented to AEMO as a recommendation.

7.7 Schema Review

AEMO will endeavor to publish all relevant documents and a pre-release aseXML Schema on the aseXML website within 3 business days of receiving voting results from the ASWG.

aseXML Subscribers and Members will have at least 15 business days from the original publication date to comment on the pre-release aseXML Schema or other schema documentation.

If AEMO receives comments from Members, it will pass those comments to the Chair and the steps in **paragraphs 7.5 to 7.7** will be repeated.

aseXML Subscribers may also make submissions for consultation to AEMO if a Change Proposal did not receive a unanimous vote from the ASWG representatives. If such a submission is received, AEMO must consult with all AEM Operators who are aseXML Subscribers to address any matters raised by aseXML Subscribers in their submissions prior to making an Approval Decision.

7.8 AEMO's Approval

Following the review and redevelopment period AEMO will make an Approval Decision.

AEMO may consult with aseXML Subscribers or other parties as necessary before making an Approval Decision.

AEMO must not make an Approval Decision against an ASWG recommendation, without first consulting with the ASWG.

7.9 Release of Approval Decision

AEMO will publish its Approval Decision and the approved aseXML Schema on the aseXML website.

8. Issue Resolution

If a Member is dissatisfied with any aspect of the aseXML Standard management process they may make a submission to AEMO.

On receipt of a submission, AEMO will consult with all affected parties to give them an opportunity to respond to the Submission.

However, AEMO, as owner of the aseXML Standard will make the final decision and that decision will be binding on all parties.

9. Administrative Support and Funding

AEMO will provide administrative support for ASWG meetings. The ASWG has no authority to incur any costs or expenses.

Participation in the ASWG either as a Member or otherwise is at each aseXML Subscriber or Industry Participant's expense.