

## Appendix A: Change Management Matrix

Flow Versioning and Communication Conventions				
EN Item	Schema	FCD	DET	Data Services
<b>How version numbers are denoted</b>	<ul style="list-style-type: none"> <li>• <b>Filename:</b> Name_v[Major].[Minor](_draft[Draft]).xsd</li> <li>• <b>Namespace:</b> http://www.exchangenetwork.net/schema/Flow/Subcategory/[Major]</li> <li>• <b>File location in repository:</b> Flow/Subcategory/[Major]/[Minor]</li> <li>• <b>Built in Schema Version Attribute:</b> [Major].[Minor]</li> <li>• User defined schemaVersion element in Schema and instance files (see summary of DRC requirements in Section 4.1.1 of the Change Management Rules and Procedures document, or refer to the DRCs)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>FCD Title Page and filename:</b> Name_v[Major].[Minor][Rev](_draft[Draft]).doc</li> <li>• Version history tables in FCD</li> <li>• <b>File location in repository:</b> • Currently implemented FCD for the flow goes in: Flow/Subcategory/[Major]</li> <li>• Each old FCD available in: Flow/Subcategory/[Major]/[Minor]</li> </ul>	<ul style="list-style-type: none"> <li>• <b>DET Title Page and filename:</b> Name_v[Major].[Minor][Rev](_draft[Draft]).doc</li> <li>• Version history tables in FCD</li> <li>• <b>File location in repository:</b> • DET for currently implemented schema goes in: Flow/Subcategory/[Major]</li> <li>• Each old DET available in: Flow/Subcategory/[Major]/[Minor]</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Data Service Name:</b> FlowName.GetXByY_v[Major].[Minor]</li> </ul>
<b>What is a major change</b>	<ul style="list-style-type: none"> <li>• When any part of the flow undergoes a major version upgrade</li> <li>• Adding new required elements</li> <li>• Making existing optional elements required</li> <li>• Adding new restrictions to existing elements</li> <li>• Significant business changes</li> <li>• Changing the order of elements</li> </ul>	<ul style="list-style-type: none"> <li>• When any part of the flow undergoes a major version upgrade</li> <li>• When an existing Data Service is deprecated, or business rules around use of a service are modified in a non-compatible manner such that existing flow implementations based on the previous FCD could fail</li> </ul>	<ul style="list-style-type: none"> <li>• When any part of the flow undergoes a major version upgrade</li> <li>• Change in data-level business rules that could make transactions based on the previous DET fail</li> </ul>	<ul style="list-style-type: none"> <li>• When any part of the flow undergoes a major version upgrade</li> </ul>
<b>What is a minor change</b>	<ul style="list-style-type: none"> <li>• Adding new, optional elements</li> <li>• Existing required elements may be made optional</li> <li>• Restrictions may be loosened, such as eliminating a facet restriction or pattern from an existing element</li> </ul>	<ul style="list-style-type: none"> <li>• When any part of the flow undergoes a minor version upgrade</li> <li>• Adding a new Data Service, or minor upgrade to existing Data Service</li> <li>• Compatible business rule changes that do not affect existing flow implementations</li> </ul>	<ul style="list-style-type: none"> <li>• Minor revision of the schema</li> <li>• Compatible change in data-level business rules that do not affect existing flow implementations</li> </ul>	<ul style="list-style-type: none"> <li>• Minor version change in version of schema used by Data Service</li> </ul>
<b>What is a draft change</b>	<ul style="list-style-type: none"> <li>• For drafts of minor version changes, any draft should be compatible with previous final versions of the schema with the same major version number.</li> <li>• A schema can only be in Draft prior to publication of a final version (i.e., schema file without the word 'draft' in its filename). Once the schema is final, any changes must be done with a major or minor version upgrade.</li> </ul>	<ul style="list-style-type: none"> <li>• All changes made prior to publishing document on the EN website</li> </ul>	<ul style="list-style-type: none"> <li>• All changes made prior to publishing document on the EN website</li> </ul>	N/A
<b>What is a revision</b>	<ul style="list-style-type: none"> <li>• No Revisions to schema are allowed once the schema has been published in final form. Any change to final schema must be done with a major or minor version upgrade.</li> </ul>	<ul style="list-style-type: none"> <li>• Any change to a Data Service or business rule that does not require a change to the schema</li> <li>• Clarification / typo correction</li> </ul>	<ul style="list-style-type: none"> <li>• Any change to a Data Service or business rule that does not require a change to the schema</li> <li>• Clarification / typo correction</li> </ul>	N/A
<b>Who can make changes</b>	<ul style="list-style-type: none"> <li>• Flow Owner and designated representatives can make changes</li> </ul>	<ul style="list-style-type: none"> <li>• Flow Owner and designated representatives can make changes</li> </ul>	<ul style="list-style-type: none"> <li>• Flow Owner and designated representatives can make changes</li> </ul>	<ul style="list-style-type: none"> <li>• Flow Owner and designated representatives can make changes to an existing Data Service</li> </ul>

## Flow Versioning and Communication Conventions (cont.)

EN Item	Schema	FCD	DET	Data Services
<b>Who has to be notified</b>	<ul style="list-style-type: none"> <li>• <b>Pre-</b> and <b>post-</b> change communication with IPT and all flow partners required for <b>any</b> change</li> <li>• <b>Pre-</b>change communication with the entire EN community via Network Alert for <b>major</b> changes, as appropriate</li> <li>• <b>Post-</b>change communication with the entire EN community via the EN website and repository required for <b>major</b> or <b>minor</b> changes, with complete and consistent documentation (see Flow Documentation Checklist)</li> </ul>	[same communication requirements as Schema]	[same communication requirements as Schema]	[same communication requirements as Schema]
<b>Who approves change</b>	NTG through the Schema Conformance Report Review process	Flow Owner	Flow Owner	Flow Owner
<b>Dependent resources that must also be changed</b>	<p><b>[Major or Minor]</b> - DET, Schema Change Control Spreadsheet, Data Service Names, Flow Version History Tables in FCD, Schema Conformance Report, plus any other Schema documentation (such as a Schema User's Guide, if one exists)</p> <p><b>[Draft]</b> - None</p>	<p><b>[Minor]</b> - Flow Version History Tables in FCD</p> <p><b>[Major]</b> - Flow Version History Tables in FCD, plus Schema and its dependents</p> <p><b>[Rev]</b> - None</p> <p><b>[Draft]</b> - None</p>	<p><b>[Minor]</b> - Flow Version History Tables in FCD</p> <p><b>[Major]</b> - Flow Version History Tables in FCD, plus Schema and its dependents</p> <p><b>[Rev]</b> - None</p> <p><b>[Draft]</b> - None</p>	<p><b>[Major or Minor]</b> - Flow Version History Tables in FCD, plus Schema and its dependents</p>

## EN Standards & Infrastructure Versioning and Communication Conventions

EN Item	Node Functional Specification and Protocol	EN Guidance Documents	Shared EN Services (e.g., NAAS)	Shared Schema Components (SSCs)
<b>How version numbers are denoted</b>	<ul style="list-style-type: none"> <li>• Version information contained in documentation (same as other EN Guidance Documents) and EN WSDL file.</li> </ul>	<ul style="list-style-type: none"> <li>• Document Title Page and filename: Name_v[Major].[Minor][Rev](_draft _Draft).doc</li> <li>• Version history must be recorded in a change history table.</li> </ul>	<ul style="list-style-type: none"> <li>• Version numbers are noted in supporting documentation (like EN Guidance Documents) and, if applicable, Data Service names, schema, and other flow documentation.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Filename:</b> SC_componentName_v[Major].[Minor](_draft _Draft).xsd</li> <li>• <b>File Location in repository:</b> Files in SC/</li> <li>• <b>Built in schemaVersion Attribute:</b> &lt;schemaVersion=[Major].[Minor]&gt;</li> </ul>
<b>What is a major change</b>	<ul style="list-style-type: none"> <li>• A major change is a change to the node specification or protocol, when implemented, is mutually exclusive with the existing EN configuration. If the new node implementation requirements are incompatible with previous specifications, it is a major change.</li> </ul>	<ul style="list-style-type: none"> <li>• A major change is an update that introduces significant new expectations of EN partners, or significantly alters existing guidance.</li> </ul>	[same guidelines as the Node Functional Specification and Protocol]	[same as other schema]
<b>What is a minor change</b>	<ul style="list-style-type: none"> <li>• A minor change to the node specification or protocol is a compatible enhancement or upgrade that does not require changes to the existing node implementation.</li> </ul>	<ul style="list-style-type: none"> <li>• A minor change is a limited update of the document that adds new detail or refines existing guidance without reversing old guidance or substantially changing expectations of EN partners.</li> </ul>	[same guidelines as the Node Functional Specification and Protocol]	[same as other schema]
<b>What is a draft change</b>	<ul style="list-style-type: none"> <li>• All changes made prior to publishing final document on the EN website.</li> </ul>	<ul style="list-style-type: none"> <li>• All changes made prior to publishing final document on the EN website</li> </ul>	<ul style="list-style-type: none"> <li>• All changes made prior to publishing final document on the EN website and making the new service available on the EN.</li> </ul>	[same as other schema]

## EN Standards & Infrastructure Versioning and Communication Conventions (cont.)

EN Item	Node Functional Specification and Protocol	EN Guidance Documents	Shared EN Services (e.g., NAAS)	Shared Schema Components (SSCs)
<b>What is a revision</b>	<ul style="list-style-type: none"> <li>• A revision is an clarification or correction to the node specification and protocol documentation. Once a version of the Specification or Protocol has been released, any change to the meaning or intent of the documentation must be done with a major or minor version upgrade.</li> </ul>	<ul style="list-style-type: none"> <li>• Revisions to guidance documents are corrections of grammar, punctuation, etc.; or clarification(s) that do not alter the guidance contained in the document.</li> </ul>	[same guidelines as the Node Functional Specification and Protocol]	[same as other schema]
<b>Who can make changes</b>	<ul style="list-style-type: none"> <li>• EN Governance commissions all revisions to Node Specification and Protocol</li> </ul>	<ul style="list-style-type: none"> <li>• Changes to guidance documents must be commissioned by EN governance and workgroups</li> </ul>	NTG/NOB	NTG/NOB
<b>Who has to be notified</b>	<ul style="list-style-type: none"> <li>• The entire EN community should be notified of changes to the Node Specification and Protocol.</li> <li>• All network partners must be given at least 6 months advance notice for major changes to node specification and protocol.</li> </ul>	<ul style="list-style-type: none"> <li>• When a change to a guidance document is approved, a Network Alert or decision memo will be issued by NOB. The new document must be posted on the EN website.</li> <li>• For major changes (especially those that are incompatible with previous guidance) expectations regarding user implementation and transition must accompany the notification of document approval.</li> </ul>	<ul style="list-style-type: none"> <li>• The entire EN community should be notified of changes to shared EN services.</li> <li>• All network partners must be given at least 6 months advance notice for major changes to share EN services.</li> </ul>	<ul style="list-style-type: none"> <li>• A network alert will be sent out when SSC are upgraded. Any expectations for adoption will be issued by a NOB decision memorandum.</li> </ul>
<b>Who approves change</b>	<ul style="list-style-type: none"> <li>• Revisions and Minor version upgrades to the node specification and protocol must be approved by the NOB and fully vetted by the technical community to ensure their compatibility.</li> <li>• Major changes to the Node Specification and Protocol must be approved by the ENLC.</li> </ul>	<ul style="list-style-type: none"> <li>• Guidance document changes must be approved by the group that commissioned them and the NOB or ENLC</li> </ul>	NOB	NOB
<b>Dependent resources that must also be changed</b>	<ul style="list-style-type: none"> <li>• Changes to the Node Specification and Protocol may require changes to a range of network resources. All dependencies must be identified prior to publishing new version of Node Specification or Protocol.</li> </ul>	<ul style="list-style-type: none"> <li>• If a guidance document revision impacts other guidance documents the workgroup that commissioned the original guidance document must undertake revision of the impacted document(s) within 6 months.</li> <li>• If a guidance document depends on development of additional documents, product(s), or resources it will be released as "interim guidance" pending the release of the resources on which it depends.</li> </ul>	<ul style="list-style-type: none"> <li>• All supporting documentation and EN guidance</li> </ul>	<ul style="list-style-type: none"> <li>• Shared Schema Components Usage Guide and Technical Reference</li> </ul>