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ORIGINAL

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Memorandum

RECEIVED

To: Docket Control  
From: Ernest G. Johnson  
Director, Utilities Division

2002 JAN -9 P 2:17

AZ CORP COMMISSION  
DOCUMENT CONTROL

Date: January 8, 2002

Re: Docket No. E-00000C-00-0940

The Process Standardization Working Group (PSWG) has submitted the attached proposed Change Control Process for Approved Standards and Operating Procedures (Change Control Process) as part of a package of proposed Arizona Direct Access Standards for the approval by the Director of the Utilities Division (Director). The proposed Arizona Direct Access Standards were docketed on December 12, 2001. The Change Control Process was completed based on a consensus from the PSWG and set up in order to facilitate the means by which approved Arizona Standards can be revised subject to the Director's approval.

Staff has reviewed the Change Control Process and recommends it for approval. Therefore, Staff requests that Docket Control formally file this letter approving the Change Control Process in Docket E000000C-00-0940.

This cover letter has been sent electronically to the PSWG service list.

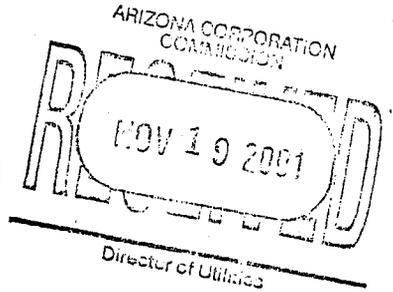
Arizona Corporation Commission

DOCKETED

JAN 09 2002

DOCKETED BY	<i>mde</i>
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***Tucson Electric Power Company***  
4350 East Irvington Road, Post Office Box 711  
Tucson, Arizona 85714



October 31, 2001

Ernest G. Johnson, Director  
Utilities Division  
ARIZONA CORPORATION COMMISSION  
1200 West Washington Street  
Phoenix, AZ 85007

Re: Approval of Change Control Process for Process Standardization Work Group

Dear Mr. Johnson:

The Process Standardization Work Group (PSWG) is presenting this Change Control Process for your approval as an Arizona Direct Access Standard. In June 2001 by consensus the PSWG approved this Change Control Process in order to facilitate the revising of existing Arizona Standards.

Over the last few years it has become obvious that changes would be needed at times to standards already approved by the Utility Director. The PSWG would like to have a standard procedure to insure that everyone can request revisions without allowing one entity to dominate every meeting lobbying for a change that only they want. To accomplish this we want to standardize the change control process.

All market participants have agreed that to insure that we work on all the standards required we will need this standard in place. This standard allows the competitive providers to bring up changes they feel are appropriate to an existing standard and allows all other participants to evaluate that change request. Once the new version has been approved participants will be able to adjust their systems and processes to reflect changes.

If you or your staff require additional support material or explanations please do not hesitate to contact me at 520-745-7177.

Best regards,

A handwritten signature in cursive script that reads "Evelyn R. Dryer".

Evelyn Dryer  
PSWG Chairman

# **ARIZONA CHANGE CONTROL PROCESS**

**FOR**

## **APPROVED STANDARDS & OPERATING PROCEDURES**

**Author: Process Standardization Working Group (PSWG)**  
**Version: 1.0**  
**Modified: May 16, 2001**

# 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 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 that 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

# Arizona Change Control Process for Approved Standards & Operating Procedures

## 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:

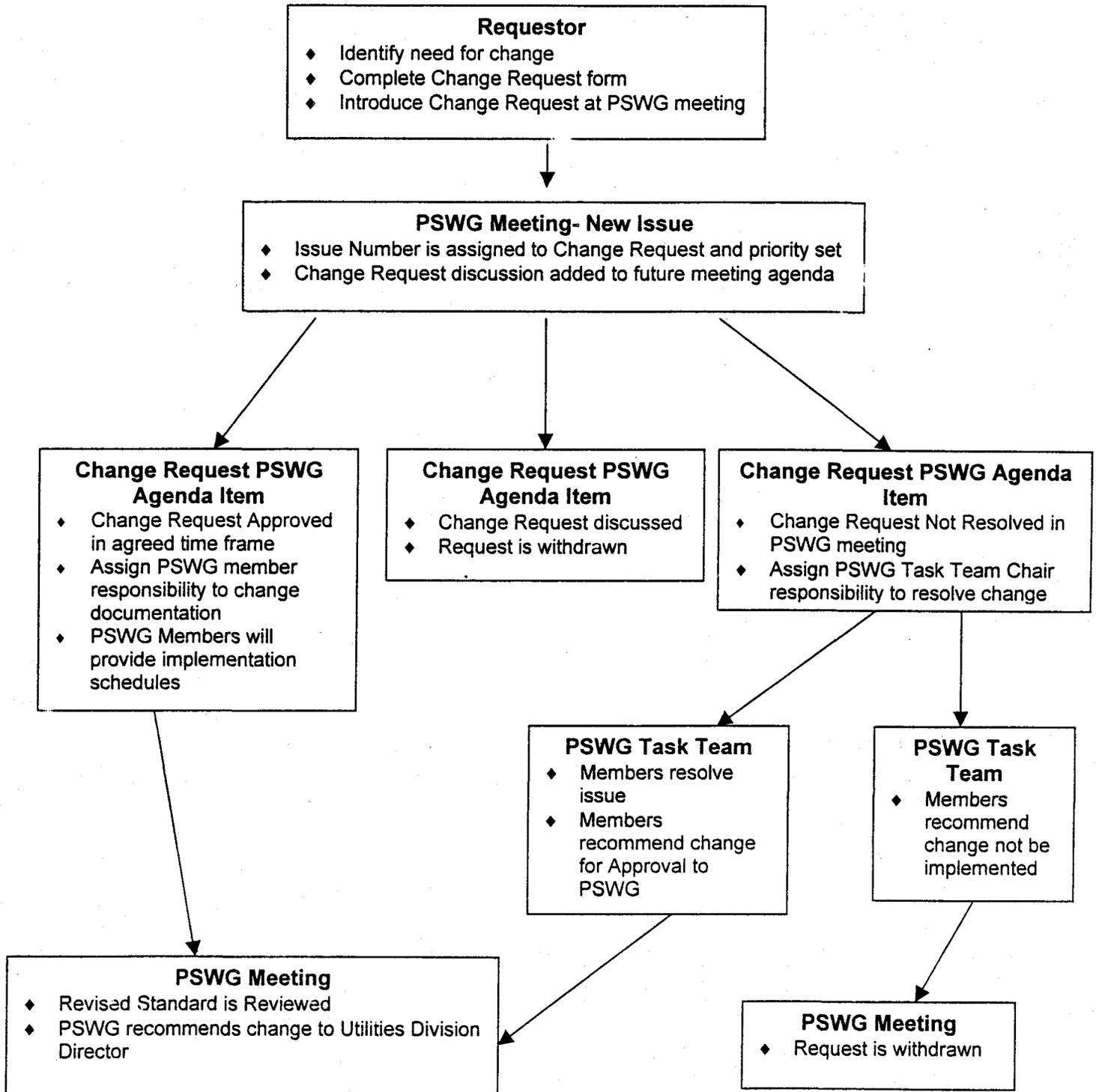
- Present Change Control Requests for requestors who are unable to attend a PSWG meeting.
- Share input on Change Requests received from absent members
- Arrange and notice a special meeting if the PSWG has no regular scheduled meetings.

### 2.3. PSWG MEMBERS:

- Assign a priority to Change Requests
  - High – Implemented within 10 days of ACC approval, or as otherwise directed by PSWG.
  - Medium – Implemented within 30 days of ACC approval. Next release, or as otherwise directed by PSWG.
  - Low – Implemented no earlier than 90 days of ACC 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

# Arizona Change Control Process for Approved Standards & Operating Procedures

## FLOW OF CHANGE REQUEST



# Arizona Change Control Process for Approved Standards & Operating Procedures

## 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: Low    High	# of Attachments (supporting documentation)	PSWG Issue #:
Type of Change: Technical    Business Process	Requested Implementation Date:	PSWG Priority High    Medium    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

***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.

## Issue and Change Request

<b>Originator Name</b>		<b>Date Submitted</b>	
<b>Initiating Company</b>		<b>Contact Phone</b>	
<b>E-mail Address</b>		<b>FAX</b>	
<b>Description of the Issue or Change Requested.</b> Please provide as much detail as possible to define the issue or request for a change.			
<b>Specify the recommended outcome.</b> Include related changes or impacts to other processes or procedures.			
<b>Specify the Work Group(s) best suited to work the issue:</b>			<b><u>Date Needed by</u></b>
Please FAX or e-mail to Evelyn Dryer e-mail <a href="mailto:edryer@tucsonelectric.com">edryer@tucsonelectric.com</a> FAX 520-745-7177			
<b>For Internal Use Only</b>			
<b>Referred to:</b>		<b>Date</b>	<b>Issue #</b>