# Assurance Approach

For the

V13.60.00 Minor Market Release (MMR)

Prepared by: Version 1 Retail Market Electricity Assurance Team | 22 February 2023



Company Classification: Confidential

# Contents

Document Version Control

| Date | Version | Changed By | Reason for Change |
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| 06/02/2023 | V0.1 | R McLaughlin & J McKnight | Initial draft |
| 09/02/2023 | V0.2 | R McLaughlin | Updates following P Moan review |
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Circulation List

| Name | Reason | Organisation/Title |
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| Oonagh Delaney<br>Patrick Moran<br>Suzanne Hudson | Review | RMDS |
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Reference Documents

| Title | Description | Link |
|---|---|---|
| **Market Change Request 1227 – 3 Phase Meter MCC01 Exchanges** | The introduction of a new RM Code for the 3 Phase Whole Current Meters | ESB Networks – the RMDS website link |
| **Market Change Request 1226 – Meter Exchanges** | To provide the capability required to exchange MCC03 cohort 1 meters with a single smart meter | ESB Networks – the RMDS website link |
| **Market Change Request 1225 – Meter Exchanges** | To support the exchange of the current MCC02 meters with Smart Meters | ESB Networks – the RMDS website link |
| **Market Change Request 1222 – CTF Algorithm** | Alteration to the CTF algorithm | ESB Networks – the RMDS website link |
| **Market Change Request 1215 – Smart Meter Exchanges** | An enhanced customer led approach to smart meter exchanges | ESB Networks – the RMDS website link |

| | | |
|---|---|---|
| Market Change Request 1210 – Test Webservice | Provision of a Test Webservice to allow testing enhancements | ESB Networks – the RMDS website link |

# 1. INTRODUCTION

This document outlines the approach that Version 1 (the Assurance Body) will apply when providing Assurance for the retail market changes being introduced by ESB Networks within the Version 13.60.00 Minor Market Release (V13.60.00 MMR).

## 1.1. Summary of changes being introduced in V13.60.00

The MMR is scheduled for implementation on 11th September 2023 by ESB Networks (ESBN). The MMR will impact, in varying degrees ESBN and both Large and Small Suppliers.

V13.60.00 is considered a Minor Market Release (MMR) in terms of impact on Participants, primarily as there is neither an introduction of new Market Messages nor changes to the structure within existing messages (from the existing V13.00.00). In summary there are no changes to the Market schema.

From an Assurance perspective, the focus will therefore be on the review of small system and process changes that will occur. The MMR is composed of three MCRs, being;

1) MCR1225 – MCC02 Meter Exchanges – the creation of new Meter Category Code (RM107) which will be installed preconfigured as MCC02. In addition, should the smart data services code be populated, and the meter configuration code set as MCC02, then an 'IA' rejection will be generated via a 101R, 102R or a 117R depending on the original instigation Market Message sent.
2) MCR1226 – MCC03 Meter Exchanges – to provide the capability required to exchange MCC03 cohort 1 meters with a single smart meter. These meters will operate as an MCC01 site post install.
3) MCR1227 – 3 Phase Meter MCC01 Exchanges –the introduction of a new RM Code for the 3 Phase Whole Current Meters, RM305 and provides details around the exchange program for the 3 Phase Meters.

## 1.2. Additional MCRs included within this Assurance Approach

When conducting the assurance for the MMR, the Assurance Body will also incorporate the assurance of three MCRs that were originally part of the V14.00.00 Schema release. The reason for this inclusion is twofold;

1) A delay has been announced for the V14.00.00 Schema release which has impacted the original timetable outlined in the recently approved Assurance Approach; and
2) An MCR contained in V13.60.00 (MCR1225) actually supersedes one of the MCRs that had been included in V14.00.00 approach (MCR1215); and

Therefore, as part of this assurance approach the following three MCRs, which had originally been assigned to the V14.00.00 Assurance Approach, have been brought forward into this V13.60.00 MMR Assurance Approach.

1) MCR1210 – Test Webservice – the introduction of a Test Webservice being made available to Market Participants to allow testing of Suppliers system developments and enhancements before release to the production environment.
2) MCR1215 – MCC02 Smart Meter Exchanges – to support the replacement for Meters configured as MCC02, including the development of a new working practice WP 0032 to clearly set out the roles and responsibilities to be undertaken by ESB Networks and Suppliers in the

planning and management of meter exchanges between MCC02 to MCC16. This MCR is updated and superseded by MCR1225 being rolled out in V13.60.00.

3) MCR1222 – SPAYG - CTF Algorithm Suitability for SPAYG Service Provision – being the update and review of the CTF algorithm calculation with four predetermined outcomes.

The above is a summary of the MCR changes, however further detail behind these MCR changes can be found in Section 3.1.

# 2. Objectives

## 2.1. The focus and objective of this Assurance Approach

The overall objective of this Assurance Approach is to;

- provide confidence to all Market Participants in the continued operability of the Retail Market Systems following the introduction of V13.60.00 MMR; and
- provide confidence that the introduction of the new changes will not detrimentally impact the market in a material way.

It should be noted that this assurance approach whilst specific to this project is also governed by the Assurance Strategy for the Irish Retail Electricity Market and the Assurance Process for the Irish Electricity Market as approved by IGG on 23/06/21.

## 2.2. The guiding principles of this Assurance Approach

The guiding principles underpinning this Assurance Approach can be condensed into the following;

- That Assurance activities should not place an unnecessary burden on the participant;
- That Assurance process must be appropriate to the change being implemented;
- That Market assurance should be evidence based;
- That there should be transparency on the activities being performed; and
- That the approach and outcomes provide confidence for the Market to proceed with the implementation of the release into production.

Essentially Version 1 is providing assurance that Market Participants implement the relevant changes as outlined in the MMR and that in doing so, the market will not be negatively impacted as a result to any material extent.

# 3. DETAILS OF THE CHANGES BEING INTRODUCED

## 3.1. Introduction

The V13.60.00 MMR will see the implementation of three MCR changes as approved by the Industry Governance Group (IGG). At a summary level the following table outlines the core impact from these changes.

| MCR | Description | Design Document impact | Business Process impact | DSO System impact | MP System impact | Schema impact |
|---|---|---|---|---|---|---|
| 1225 | MCC02 Meter Exchanges | Yes | Yes | Yes | Yes | No |
| 1226 | MCC03 Meter Exchanges | Yes | No | Yes | No | No |
| 1227 | 3 Phase Meter MCC01 Exchanges | Yes | No | Yes | No | No |
| *Non-Schema Impacting MCRs implemented in Q4 2022 ahead of Version 14 release:* | | | | | | |
| 1210 | Test Webservice | Yes | No | No | Yes | No |
| 1215 | MCC02 Smart Meter Exchanges | No | No | No | No | No |
| 1222 | SPAYG – CTF Algorithm Suitability for SPAYG Service Provision | No | No | No | No | No |

*Table 1. Summary of MCRs included in this Assurance Approach*

## 3.2. MCR1225 – MCC02 Meter Exchanges

(MCR1225 link)

MCR1225 was deployed to lead the exchange of MCC02 meters with Smart Meters, to date there has been lower than anticipated exchange of meters. Therefore, to achieve the market objective by 2024, MCR1225 is proposing an approach whereby Single Phase MCC02 meters will be exchanged with Smart Meters configured as MCC02, utilising the capabilities of the RM107 Smart Meter.

A RM107 Smart Meter cannot support MCC16 and MCC02 at the same time, as the registers overlap and the meter cannot simultaneously record overlapping registers. Therefore, the proposed solution will require the creation of new a new RM number and will be installed to MCC02 meters. Following installation, these meters can then be reconfigured remotely to MCC16, or to MCC12 where a sufficient level of communications is available.

The proposed MCC02 Smart Meter Exchange process will adhere to the existing MCC01 Smart Meter Exchange process.

The scope of the change has been defined as impacting the following areas:

| Design Documentation | Business Process | DSO System Change | MP System Change | Tibco Change | Supplier EMMA | Schema | Webforms | Webservice | Extranet Market Website |
|---|---|---|---|---|---|---|---|---|---|
| X | X | | X | | | | | | |

*Table 2 - Impact summary of MCR1225*

Whilst the above outlines the MCR changes, from a Market Participant and DSO lens this translates into the following impacts from an Assurance perspective;

*Market Process Design (MPD) and Retail Market Message Guide (RMMG):*

| MPD Ref (s) | Market Message(s) | MMG | MM Segment / Field | Change resulting from MCR1225 |
|---|---|---|---|---|
| MPD01 / MPD03 | 010MM<br><br>102R MM | Meter Registration | Smart Data Services (010MM)<br><br>Rejection Details – Reject Reason (102R MM) | Where Smart Data Services are populated within 010MM for a smart meter which is MCC02, the message will be rejected on the 102R with reject reason code 'IA'. |
| MPD05 | 010MM<br><br>101R MM | Meter Registration | Smart Data Services (010MM)<br><br>Rejection Details – Reject Reason (101R MM) | Where Smart Data Services are populated within 010MM on a request for registration of a previously de-registered smart meter which is MCC02, the message will be rejected on the 101R with reject reason code 'IA'. |
| MPD10 | 017MM<br><br>117R MM | Meter Works | Smart Data Services (017MM)<br><br>Rejection Details – Reject Reason (117R MM) | Where Smart Data Services are populated within 017MM on a request for re-energisation of a previously de-energised smart meter which is MCC02, the message will be rejected on the 117R with reject reason code 'IA'. |

*Table 3 - Impact summary to Market Process Design and Retail Market Message Guide(s)*

*DSO impact:*

The introduction of change to the Central Market Systems that will trigger the 'IA' rejection reason code.

*Market Participants - Suppliers:*

The change will depend on the systems being used by the participant and their desire to automate the process. MP's may decide to update their operational market systems and introduce new validations thereby ensuring this combination is not sent within an 010MM or 017MM, or they may decide that end users, who understand the relevant codes, manually insert when sending these messages for this scenario.

In both circumstances a change will be required to internal business processes. From an Assurance perspective MP's will be asked to demonstrate their knowledge of the changes through the Market Participant Self-Assessment.

To provide the assurance body with a level of confidence that the changes being introduced are fully understood by Market Participants, a degree of Inter Participant Testing (IPT) has been deemed necessary.

## 3.3. MCR1226 – MCC03 Meter Exchanges

(MCR1226 link)

The purpose of MCR1226 is to support the exchange of MCC03 cohort 1 meters with a single smart meter. This new meter will then operate as an MCC01 site following the installation of the meter.

Specifically, the MCR will see the following activities;

- The exchange of up to 25,248 MPRN's;
- ESB Networks contact the Customer via letter;
  - An MCC03-specific letter will be issued in advance of letter 1;
  - Letter 1 and letter 2 will then be sent as per current MCC01 process;
- Replacement of the existing MCC03 24-hour meter with a smart meter configured as MCC01;
- Removal of Night Storage Heating meters;
- Completion of any additional relevant on-site works as required;

Finally ESB Networks will advise the Market Participant Supplier of the completion of the meter exchange via the normal MM332 process.

The scope of the change has been defined as impacting the following areas:

| Design Documentation | Business Process | DSO System Change | MP System Change | Tibco Change | Supplier EMMA | Schema | Webforms | Webservice | Extranet Market Website |
|---|---|---|---|---|---|---|---|---|---|
| X | | X | | | | | | | |

*Table 4 - Impact summary of MCR1226*

Whilst the above outlines the changes as defined in the MCR, from a Market Participant and DSO perspective this translates into no real operational impacts. Communications will be made using existing market messages and will follow currently utilised market processes. Therefore, whilst Self-Assessment will be required for this MCR, IPT will not form part of the Assurance Process.

## 3.4. MCR1227 - 3 Phase Meter MCC01 Exchanges

(MCR1227 link)

The purpose of MCR1227 is to support the exchange of MCC01 three phase whole current meters. This new meter will then operate as an MCC01 site following installation of the meter.

Specifically the MCR will see the following actions;

- The exchange of up to 60,020 meters;
- Adhere to the existing MCC01 exchange process that has been previously rolled out;
- Only whole current MCC01 with a 3-phase connection are considered in scope;
- A new RM Code will be rolled out for use solely by the scope of this MCR – RM305;
- Principles to cover SDS and CTF aligned to existing processes;
- Remote Re-energisation/De-energisation is out of scope for these 3 phase meters;
- Push All will be enabled and data available in the SMDH;

Remaining meter exchanges are planned for Phase 3 of the Smart Metering Project.

The scope of the change has been defined as impacting the following areas:

| Design Documentation | Business Process | DSO System Change | MP System Change | Tibco Change | Supplier EMMA | Schema | Webforms | Webservice | Extranet Market Website |
|---|---|---|---|---|---|---|---|---|---|
| X | | X | | | | | | | |

*Table 5- Impact summary of MCR1227*

Whilst the above outlines the changes as defined in the MCR, from a Market Participant and DSO perspective this translates into no new material operational impacts. Communications will be made using existing market messages and will follow market processes which are already used. We do not envisage the roll out of a new RM code will require participant testing.

Therefore, whilst Self-Assessment will be required for this MCR, IPT will not form part of the Assurance Process.

## 3.5. MCC1210 – Test Webservice

(MCR1210 link)

MCR1210 was implemented in Q4 2022. The purpose was to support a test webservice environment that would be available to Market Participant for the purposes of testing. It was envisaged this facility would be used to test developments and enhancements to their systems before deploying into their production environments.

The Production Webservice was released as part of the V13.00.00 market release in February 2021.

*Test Webservice availability review:*

The MCR outlined the availability of the Test Webservice for an initial trial period of 6 months. Following this trial period ESB Networks will assess any issues or resource impacts to themselves from use of the test webservice. Following this assessment control mechanisms may be created to manage availability of the Test Webservice.

The scope of the change has been defined as impacting the following areas:

| Design Documentation | Business Process | DSO System Change | MP System Change | Tibco Change | Supplier EMMA | Schema | Webforms | Webservice | Extranet Market Website |
|---|---|---|---|---|---|---|---|---|---|
| X | | | X | | | | | | |

*Table 6 - Impact summary of MCR1210*

The provision of the Test Webservice was deployed in Q4 2022, the above table outlines the changes as defined in MCR1210 and have already been implemented.

From a Market Participant and DSO perspective this translates into no real operational impacts. It is also noted that the access and use of the Test Webservice environment is entirely optional for Market Participants.

Therefore, whilst Self-Assessment is proposed for this MCR, IPT will not form part of the Assurance Process.

## 3.6. MCR1215 – MCC02 Smart Meter Exchanges

(MCR1215 link)

At the outset it should be noted that MCR1225 as part of the V13.60.00 MMR essentially supersedes this MCR1215. However, for clarity, the purpose of MCR1215 was that ESB Networks lead the exchange of current MCC02 meters with Smart Meters. The proposed solution was to install Smart Meters at MCC02 sites which are pre-configured to provide two registers (Day and Night) from installation.

Working Practice 32 – MCC02 Smart Meter Exchange (Working Practice 32) was issued to retail market participants in August 2022 to clearly set out the roles and responsibilities to be undertaken by ESB Networks and Suppliers in the planning and management of the MCC02 to MCC16 meter exchange programme.

From an Assurance Perspective, the Assurance Approach in V14.00.00 defined the inclusion of this MCR within the Self-Assessment questionnaire. In line with this decision, the Assurance Body is following the same approach for this MCR.

## 3.7. MCR1222 – SPAYG – CTF Algorithm Suitability for SPAYG Service Provision

(MCR1222 link)

Communications Technically Feasible (CTF) is a check that ESB Networks perform daily on each Smart Meter installation to establish the reliability of communications from the Smart Meter to the head end system across the 2G telecommunications network.

Version 2.0 of the Comms Technically Feasible Briefing Document CTF Briefing Document was released on the 20th October 2022 in response to this MCR and was updated to provide clarification on Enduring CTF Assessment. A review of the CTF algorithm calculation was requested in order to assess the following outcomes:

- An outline of the business process ESB Networks identified to prohibit incidents, similar to the one that occurred in September 2021, from negatively impacting the CTF value.
- Enhance the level of transparency of the CTF algorithm and specifically how it is applied under different circumstances.
- A reasonable (Indicative Success Rate) threshold to be established under which CTF degradation would not fall.
- A defined SLA in relation to the CTF. The SLA would be established at both a macro (estate percentage) and a micro level (individual MPRN degradation, improvement etc).

Other than the improved visibility of the CTF algorithm calculation there was no impact to any areas within the scope of change, i.e., Design Documentation, Business Process, DSO or MP System Change, TIBCO EMMA, Schema, Webforms, Webservice or the Extranet.

Therefore, whilst Self-Assessment will be required for this MCR, IPT will not form part of the Assurance Process.

# 4. ASSURANCE APROACH

## 4.1. Summary of our approach to Assurance

The Version 1 assurance approach contains seven distinct stages, which typically occur in sequence. It should be noted however depending on the level of change being introduced by the release, the depth of probing may differ for certain stages and stage 5 specifically may not be required.

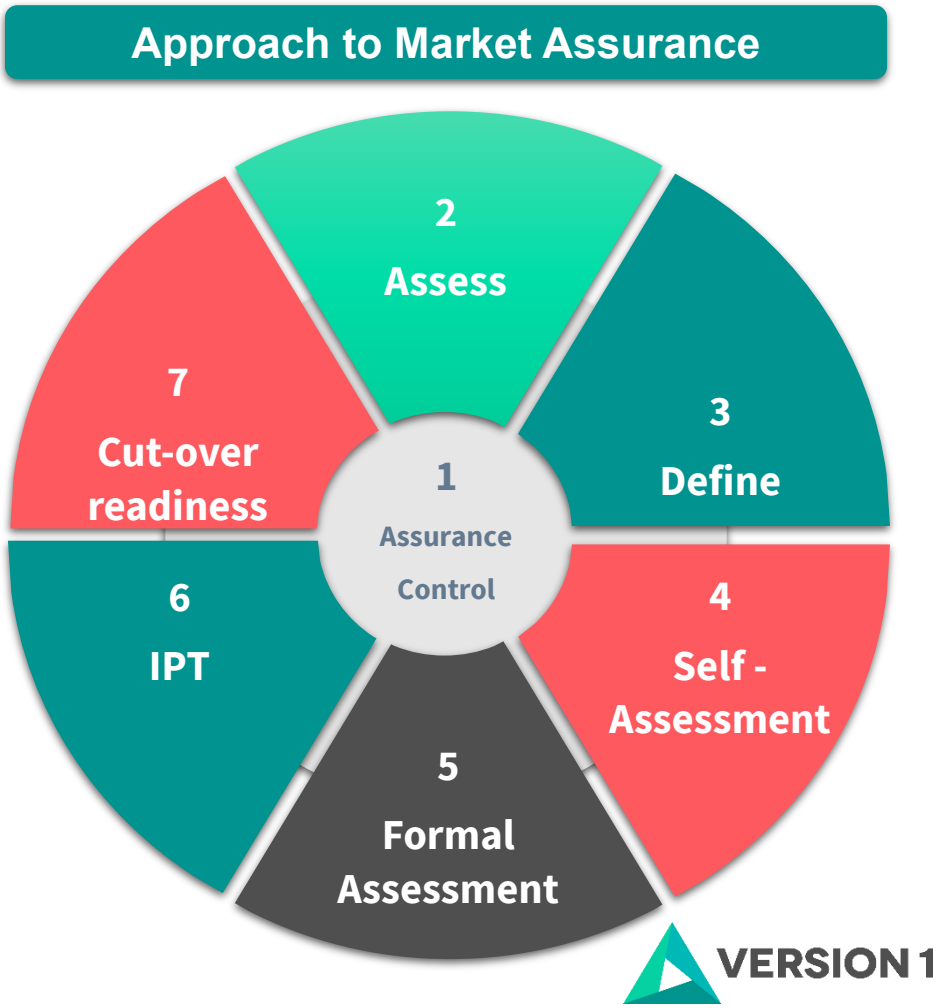



*Figure 1 - Outline approach to Market Assurance*

The key stages of our approach are as follows;

1) Assurance control – the overall project governance that the Assurance Body will follow including plans, communication strategy and reporting back to market either through step completion documentation, IGG meeting presentations or an ad-hoc targeted intervention.

2) Assess – the approach to reviewing the MCRs included in the change, assessing the effective impact on the market, and defining our Assurance Approach that will be undertaken.

3) Define – defining our Assurance approach to the V13.60.00 MMR for approval with CRU and IGG through the creation of the Assurance Approach document.

4) Self-assessment market participant questionnaire – the first stage of the Assurance Approach impacting Market Participants. A Market Participant questionnaire is completed and returned to the Assurance Body together with evidence (where requested) in support of their response. The Self-Assessment approach is similar to a maturity model where responses are assessed against our expected results. The Assurance Body will then assign an overall risk score against the quality of the result (see Figure 3).

5) Formal Assessment – is typically focused on the ESB Networks project, who are developing and implementing the change on the DSO Market Systems. However, this stage could also impact a Market Participant Supplier who did not meet the required exit criteria from the Self-Assessment. This stage primarily comprises:
   a. Deeper investigation of the responses to the Self-Assessment questionnaire especially where a higher risk has been identified; and
   b. Additional areas of focus on the core elements of the system development project lifecycle.

   A formal assessment will involve a meeting with the Assurance Body and the development of a formal outcome report for CRU approval.

6) Interparticipant Testing (IPT) – IPT provides an opportunity for end-to-end market testing in a simulated live environment. IPT is seeking to ensure the changes made between the DSO and Market Participant Suppliers are working as expected before they are released into production. Essentially, this is the final opportunity for the market to test the changes made to their systems.

7) Cut-over readiness – focused on the ability and confidence to proceed with Go-Live and the cut-over weekend. This stage also seeks to gain confidence in the post go-live support model and contingency plans. From a Market Participant Supplier perspective, a self-declaration will be returned to the Assurance Body showing the confidence and approval of the Market Participants ability to proceed with the changes being implemented.

Following these key stages, The Assurance Body will then develop a final report for approval by CRU. This report provides an outline of the assurance work performed, resultant outcomes, suggestions for changes to be implemented in future projects together with a recommendation regarding the progression to Go-Live and Cutover.

## 4.2. Specific approach for the V13.60.00 MMR release

Whilst section 4.1 outlines the high-level overview of our approach, in this instance when reviewing the MCRs and their changes to the market, Version 1 considered the V13.60.00 MMR as minor.
Therefore, the following core stages will be utilised during the V13.60.00 MMR Assurance Approach;

| | Control | Assess | Define | MP Self-Assessment | Formal Assessment | IPT | Cut Over |
|---|---|---|---|---|---|---|---|
| **Overall** | Yes | Yes | Yes | - | - | - | - |
| **ESB Networks (DSO)** | | | | Yes | If required | Yes | Yes |
| **Market Participant (Large)** | | | | Yes | If required | Yes[1] | Yes |
| **Market Participant (Small)** | | | | Yes | If required | Yes[1] | Yes |

*Table 7 - Summary of assurance activities performed for V13.60.00*

[1] A light IPT exercise relating to MCR1225

## 4.3. The Assurance practices used by MCR

The following table outlines the assurance practices that will used to provide Assurance for each MCR.

| MCR | Description | MP Self-Assessment | Formal Assessment | IPT |
|---|---|---|---|---|
| 1225 | MCC02 Meter Exchanges | Yes | No[2] | Yes |
| 1226 | MCC03 Meter Exchanges | Yes | No[2] | No |
| 1227 | 3 Phase Meter MCC01 Exchanges | Yes | No[2] | No |
| 1210 | Test Webservice | Yes | No[2] | No |
| 1215 | MCC02 Smart Meter Exchanges | Yes | No[2] | No |
| 1222 | SPAYG – CTF Algorithm Suitability for SPAYG Service Provision | Yes | No[2] | No |

*Table 8 - Summary of assurance activities by MCR*

## 4.4. Market Participant Self-Assessment

The Assurance Body will pose a series of questions to both ESB Networks (DSO) and Market Participant Suppliers. Two assessments will therefore be prepared and tailored against the relevant project impacts. Whilst two documents will be prepared, the structure is similar in terms of high-level areas probed and follows a similar path to a maturity assessment. Verison1 will review the responses to the questions posed and decide upon a risk score. This score is decided against our level of comfort from the response we received and is displayed through a risk matrix and can be seen in Appendix 2 of this document. The Assurance Body will expect to see a satisfactory level of response to the questions posed together with the quality of evidence in support of the response (if required). Questions are aligned to several criteria and aligns to a usual system development lifecycle. Appendix 3 outlines the areas covered within this self-assessment and the expected exit criteria.

Where the Assurance Body believes there is an issue with a response or indeed are seeking further clarifications, we will primarily seek to resolve any issues with the Participant affected directly, thereby providing an opportunity to resolve the issue efficiently.

The Assurance Body, upon review of the responses and assessment determination, will then prepare a Self-Assessment Finding Report for CRU approval. This report will outline the work completed, the findings from the assessment and a recommendation for progression to the next stage. Upon approval Version 1 will then provide an anonymised version for circulation at IGG.

## 4.5. Formal Assessment

It should be noted that the Assurance Body is not anticipating a Formal Assessment will be required as part of the v13.60.00 MMR.

[2] Formal Assessment will only be triggered where, in our view, the outcomes from the Self-Assessment fall below a satisfactory level, i.e. we are not comfortable with the quality of response and evidence received by a Market Participant

Should a formal assessment be required the Assurance Body will primarily use the outcomes from the Self-Assessment stage to probe deeper with a specific focus on those areas where we believe there is an issue. The formal assessment will entail a meeting with the Market Participant where we will undertake a review of the core project outputs, witnessing and undertaking a level of substantive testing.

The following is the list of the areas which Version 1 would typically follow when undertaking a Formal Assessment;

| Title | Description |
|---|---|
| Project control and governance | Focusing on the governance of the project and the control over progress and performance e.g. documentation control, approvals, risk management, KPI analysis etc.… |
| Scope | Focusing on the scope of the project, the impact assessment undertaken and confirmation that the project has been instigated with the stated objectives of the V13.60.00 MMR changes in mind. |
| Delivery approach | Focusing on evidence to show how effective the delivery approach is for the project to provide confidence that it will be delivered in line with the expectation of the market timelines |
| Design | Seeking comfort that the design changes are in line with expectation from the MCR releases and, where relevant validation from their Solution SME's. |
| Testing | Seeking to ensure a strong strategy is in place, that the test coverage is reasonable, robust tests created, that the necessary management mechanisms are in place to support effective means of resolving defects. |
| Cutover and post go live support | Focusing on the plans for cut-over, hyper care, contingency plans and that reasonable arrangements are in place for a support model post go-live. |

*Table 9 - Summary of Formal Assessment areas of focus*

Should a Formal Assessment be undertaken during this project the Assurance Body would seek to focus only on the areas which fell below the required standard during the Self-Assessment.

In a similar vein to the Self-Assessment, a risk-based scoring approach is used following a Quantitative Methodology. The details of this approach can be seen in Appendix 2.

Once the Assurance Body concludes their Assessment, a Formal Assessment Findings report is prepared for CRU approval. This report will outline the approach taken, our finding and results from each assessment stage, any material issues for consideration together with our recommended next steps.

## 4.6. Inter Participant Testing (IPT)

Inter Participant Testing is performed to primarily gain confidence that the changes being introduced by the MMR will operate as expected in a simulated live environment. The process is seeking to get as close to a live environment as is reasonably possible and to provide selected Market Participants with the opportunity to conduct full end-to-end testing of their system changes, as a final step before progressing to production.
Scenarios will be developed by the Assurance Body and provided to a number of Market Participant Suppliers and ESB Networks. Given the minor impact of this MMR, only be a few scenarios have been identified for testing.

Specifically of the MCRs that comprise the V13.60.00 MMR, it is only MCR1225 that has been identified as requiring IPT. The primary objective of IPT will therefore be to gain confidence that upon cut over the changes to the business processes (documented above within MCR1225) will not adversely affect the Retail Market. Market Participants will need to ensure that they have made the necessary updates and validation to their processes and/or systems to ensure that the level of 'IA' rejections to the 010MM and 017MM is minimised from incorrectly requesting the 'Smart Data Services' segment on a smart meter that is configured MCC02. Currently the following four scenarios have been identified as part of IPT.

| IPT Scenarios to be tested | Market Sector coverage | Expected outcome |
|---|---|---|
| **Change of Supplier (MCC02)** | Non-interval Metered; Domestic | Negative test, evidence provided that a 102R 'IA' has been generated by the DSO, where the 'Smart Data Service' Segment was included for a MCC02 configured meter.<br><br>**Or** where a Supplier has amended the validation on their system to provide evidence that backend system (where applicable) was unable to include the 'Smart Data Service' segment for a MCC02 configured meter. |
| **New Non-Interval Metered Connection (MCC02)** | Non-interval Metered; Domestic | Negative test, evidence provided that a 101R 'IA' has been generated by the DSO, when the request is for registration of a previously de-registered MCC02 site includes the 'Smart Data Service' segment.<br><br>**Or** where a Supplier has amended the validation on their system to provide evidence that backend system (where applicable) was unable to include the 'Smart Data Service' segment for a previously de-energised MCC02 configured meter. |
| **Re-Energisation (MCC02)** | Non-interval Metered; Domestic | Negative test, evidence provided that a 117R 'IA' has been generated by the DSO, where the 'Smart Data Service' Segment was included for a MCC02 configured meter.<br><br>**Or** where a Supplier has amended the validations in their back-end systems to provide evidence that backend system was unable to include the 'Smart Data Service' segment for a Smart Meter configured MCC02 when de-energised. |

*Table 10 - IPT scenarios identified*

### 4.6.1. IPT Test Population

The Assurance Body believe we will gain sufficient confidence from a test population of both Large and Small suppliers. The Assurance Body will seek to select four Large Suppliers and two Small Suppliers to support IPT.

### 4.6.2. IPT Evidence required – exit criteria

The Assurance Body will primarily use screen shot evidence of outputs from the Market Participants back-end systems (or Webforms if no back-end system is used) together with XML outputs showing the Market Message details. RMDS will collate the evidence as provided by the Market Participants and provide to the Assurance Body. We will also seek to understand and review any issues from a technical perspective that occurred during IPT i.e., that delayed the progression of testing. The review of these issues will primarily focus on the impact from a V13.60.00 MMR deployment perspective.

### 4.6.3. IPT Timeline

IPT is scheduled to occur between 14th and 18th August 2023. The IPT test window extends until the 25th August, that can be utilised only if necessary.

### 4.6.4. IPT criteria for entry

For IPT to be a success the following conditions will be required before testing commences;

- A suitable test environment is available to the relevant Market Participants;
- IPT plan has been prepared, reviewed by RMDS and cascaded to the relevant Market Participants;
- Agreed test scenarios have been developed by Version 1 as incorporated into the IPT workbook, reviewed by RMDS and cascaded to the relevant Market Participants;
- Test data has been developed for use for the IPT tests;
- That there are no material defects from the ESBN internal testing which would materially affect the performance of the IPT tests.
- That the required resources to support IPT have been identified and are available;
- That the relevant Market Participants have declared that their systems can undertake IPT testing, and that they have successfully passed any preceding Assurance stages to our level of satisfaction.

# 5. ASSURANCE TIMELINE

The following outlines our proposed Assurance timeline for the V13.60.00 MMR. It should be noted that dates toward the end of the Assurance Approach may change as a result of any unexpected outcomes from steps earlier on in the Assurance Approach.

| Key stage | Date |
|---|---|
| Assurance approach approved by CRU | 22 February 2023 |
| Market Participant Self-Assessment Questionnaire released | 31 March 2023 |
| Market Participant Self-Assessment Participant Questionnaire response | 21 April 2023 |
| Self-Assessment Findings Report issued to CRU | 5 May 2023 |
| Anonymised Self-Assessment Findings Report issued | 19 May 2023 |
| Market Participant Formal Assessment performed[3] | 29 May – 16 June 2023 |
| Formal Assessment Finding report issued to CRU | 23 June 2023 |
| RMDS issues IPT plan | 7 July 2023 |
| IPT Test Data Preparation | 31 July – 9 August 2023 |
| Interparticipant Testing (IPT) Execution phase | 16 – 18 August 2023[4] |
| IPT Findings Report issued to CRU | 30 August 2023 |
| Final Assurance Assessment Outcome Report issued to CRU | 31 August 2023 |
| Cut over / Go-Live | 11 September 2023 |

*Table 11 - Assurance Approach timeline*

[3] Only required where the Assurance Body deem it is necessary, i.e. a poor response to the Market Participants Self-Assessment.

[4] Additional week for IPT available 21 – 25 August if necessary, though may have an impact on subsequent timeline

# 6. ASSURANCE COMMUNICATIONS

## 6.1. Summary of communications

The Assurance Body plans to communicate with the various stakeholders during the delivery of this approach. The following table outlines the main touchpoints for the Assurance Body's communications with the key Participants.

| Stage | | Stakeholder | Description |
|---|---|---|---|
| 1 | Assurance Control | RMDS | • Weekly progress reports.<br>• Key milestone output reports for review. |
| | | IGG | • Monthly progress updates. |
| | | CRU | • Monthly progress and ad hoc where required. |
| 2 & 3 | Assess & Define | RMDS | • Assurance Approach for review. |
| | | CRU and then IGG | • Assurance Approach for approval. |
| 4 | Market Participant Self-Assessment | RMDS | • Market Participant Self-Assessment findings report for review. |
| | | CRU | • Market Participant Self-Assessment findings report for approval. |
| | | Market Participants (Suppliers) | • Anonymised Market Participant Self-Assessment findings report for information. |
| 5 | Formal Assessment | RMDS | • Formal Assessment findings report for review. |
| | | CRU | • Formal Assessment findings report for approval. |
| | | Selected Market Participant Supplier | • Formal Assessment findings report for information. |
| 6 | IPT | RMDS | • IPT workplan/workbook for review.<br>• IPT findings report for review. |
| | | CRU | • IPT findings report for approval. |
| | | Market Participants (selected Suppliers) | • IPT workbook. |
| 7 | Cut over | Market Participants (Suppliers) | • Cut-Over Self Declaration template for completion and return. |
| | | RMDS | • Final Assurance Outcome report for review. |
| | | CRU | • Final Assurance Outcome report for approval. |

*Table 12 - Summary of communication by Assurance stages*

## 6.2. Communication matrix

The following table outlines the key stakeholders in the development and approval of the key documents. Whilst similar to a RACI matrix, this communication matrix is outlining;

- who is responsible (D) for the development of the deliverable documents,
- the stakeholders who will approve (A) these deliverables,
- the stakeholders who will review and provide feedback (R) to the owners of the deliverable documents; and
- those stakeholders who will primarily get sight (I) of the deliverable document for information purposes.

| Stage | Description of deliverable | Assurance Body | RMDS | CRU | DSO ESBN | MP's (Suppliers) |
|---|---|---|---|---|---|---|
| 1 | Weekly Assurance progress reports | D | R | - | - | - |
| | Monthly progress updates | D | R | R | I | I |
| 2&3 | V13.60.00 MMR - Assurance Approach | D | R | A | A | A |
| 4 | Market Participant – Self Assessment Questionnaire | D | | - | I | I |
| | Self-Assessment Findings Report | D | R | A | - | - |
| | Anonymised Self-Assessment Findings Report | D | | A | I | I |
| 5 | Formal assessment maturity model<br>Formal assessment findings report | D | R | A | - | - |
| 6 | IPT workbook | D | R | A | I | I |
| | IPT findings report | D | R | A | - | - |
| 7 | Self-declaration for cutover | D | R | I | I | I |
| Final Assurance Outcome Report | | D | R | A | - | - |

*Table 13 - RACI matrix aligned against documentation deliverables*

# 7. APPENDICIES

## 7.1. Appendix 1 – Glossary

The glossary used within this document can be found on the RMDS website here: Glossary of Terms | RMDS (rmdservice.com)

## 7.2. Appendix 2 – Risk approach during stage 4 & 5

The Assurance Body when conducting the Market Participant Self-Assessment Questionnaire (Stage 3) and during a Formal Assessment (Stage 4) aligned its approach around a maturity model. This model we have developed probes seven core areas of projects as outlined below in Figure 2. Version 1 have developed this model from our considerable experience in delivering IT projects. The depth and probing of our questions will align to the scale of the change being implemented.
However, our approach is essentially aligned with the following 5 steps;

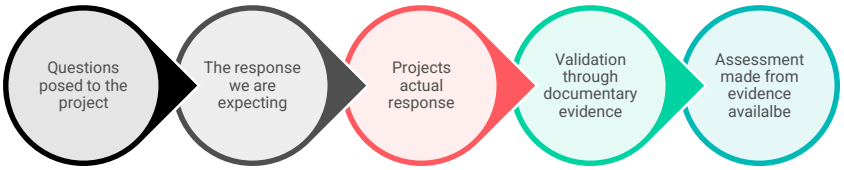



*Figure 2 – Five Stage Formal Assessment Assurance Process.*

1) Posing questions to the project team – Version 1 has developed a suite of key questions that allow us to probe projects more deeply to gain an understanding of the performance, progress, and governance of each core tenant of the project.

    - Awareness – focusing on how aware a Market Participant is about the project.
    - Project control – focusing on the governance of the project and the control over progress and performance.
    - Scope – focusing on the scope of the project to confirm it was in line with the stated objectives as defined by the market.
    - Delivery approach – seeking assurances and evidence to show how effective the delivery approach is for this project.
    - Design – seeking comfort that the solution has been designed effectively and in a robust manner.
    - Testing – seeking to ensure coverage has been adequate, robust management mechanisms in place, a strong strategy, and effective ways of resolving defects.
    - Communications – focusing more on Market Participants who are necessary for the effective completion of the project.
    - Cutover and post go live support (PGLS) – focus being on the plans for cut-over, hyper care arrangements and support models following Go-Live.

2) Our expected response – Version 1 has delivered a sizeable number of IT projects over its history, and we have developed a strong knowledge of what the desired results look like. We outline what our expectation is in terms of response by way of a benchmark to score against.

3) The projects actual response – this is where the project would respond to the questions posed by Version 1 during the meeting, providing a more in-depth explanation. Typically, the project would elaborate on their responses and evidence which had been included in the PQ assessment. Further, where an area of concern was identified at the PQ assessment phase, these would also be probed in more depth by the Assurance Body.

4) Validation – this step is about confirming the responses back to evidence whether it is further project documentation or indeed from visual confirmation of their management systems e.g., the Test Management systems.

5) Assessment – finally Version 1 will assess the responses and evidence gathered and decide on an overall risk score based on our experience of delivering numerous projects and Assurance assignments.

The risk score is based upon a Quantitative Methodology. Version 1 used a risk matrix which contains two dimensions to the scoring, namely;

- The *severity of the risk* – how significant the risk will be in achieving the overall goals of the project (impact), and
- The *likelihood of the risk* materialising.

Each of these dimensions are assigned a score weighting from 1 to 5 and when combined, provide an overall risk score. The matrix below outlines the various combinations of scores.

| Impact | | | | | | |
|---|---|---|---|---|---|---|
| Very Unlikely | 5 | Low | Medium | High | High | High |
| Likely | 4 | Low | Low | Medium | High | High |
| Possible | 3 | Low | Low | Medium | Medium | Medium |
| Unlikely | 2 | Low | Low | Low | Low | Medium |
| Rare | 1 | Low | Low | Low | Low | Low |
| | | 1 | 2 | 3 | 4 | 5 |
| | | Negligible | Small | Moderate | High | Very High |
| | | Risk | | | | |

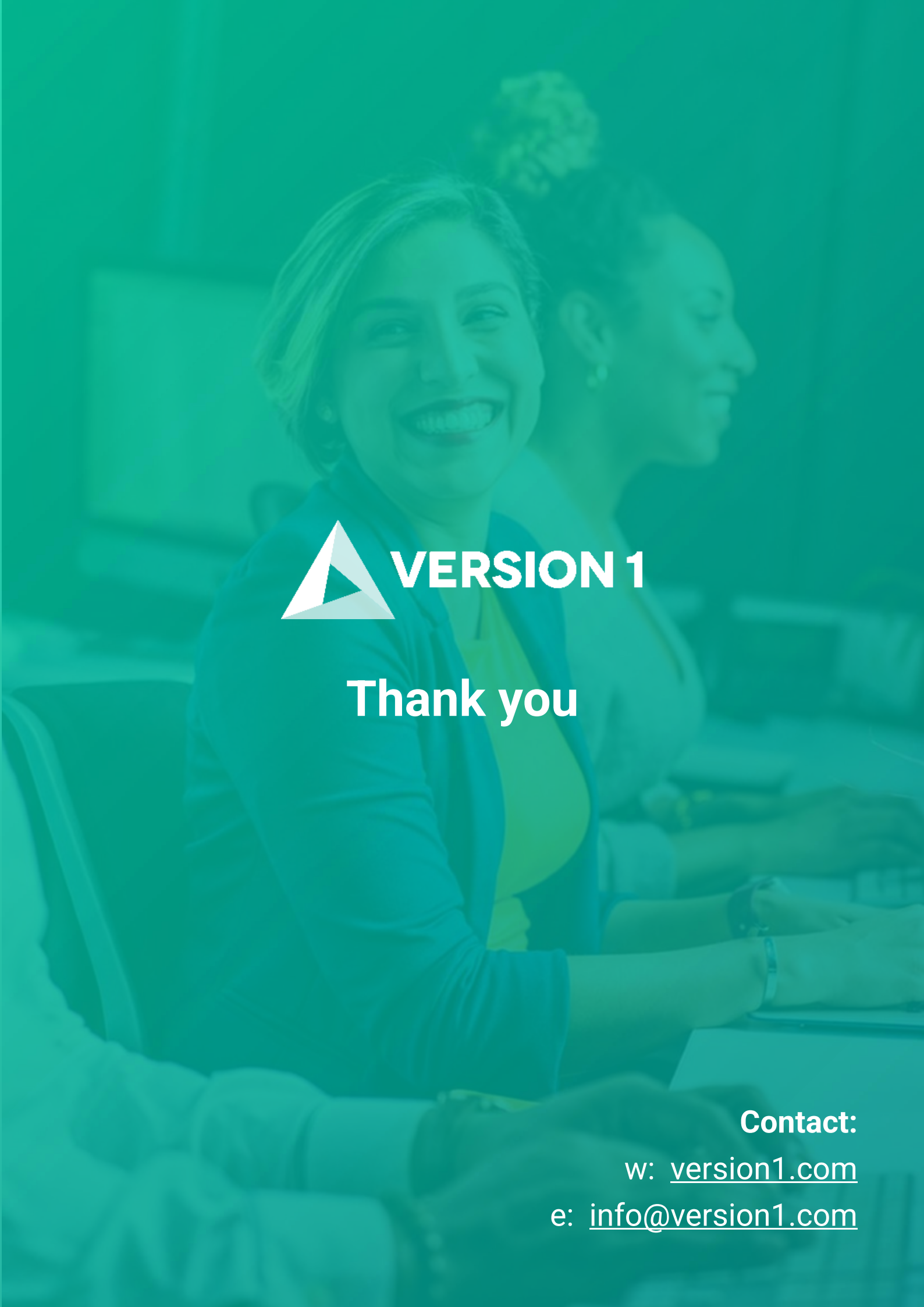
*Figure 3 - Risk matrix*

## 7.3. Appendix 3 – MP Self-Assessment Questionnaire.

Table showing the high-level questions asked and the respective exit criteria.
Whilst the Assurance Body has outlined an expected response below, we are also aware that, depending on the type of systems used e.g. an alternate main operational back end systems or Webforms, the level of documentation and impact will differ.

| Area | Description | Expected response |
|---|---|---|
| Project control and governance | Focusing on the awareness of the V13.60.00 MMR, the governance mechanisms established to support the project and the confidence to achieve the expected results aligned with the Market delivery timelines | The Assurance Body would expect to see;<br>• A defined project governance approach e.g. (PID) established, RAID log, approval approach etc.<br>• Project plan in line with key market timelines.<br>• Project KPI mechanisms to understand progress. |
| Scope | Focusing on the size of the project, the impact assessment undertaken and confirmation that the project has been instigated with the stated objectives of the V13.60.00 MMR changes in mind. | The Assurance Body would expect to see an impact assessment created outlining an understanding of the changes from this MMR will how they will impact upon their back-end market systems (where applicable). |
| Delivery approach | Focusing on evidence to show how effective the delivery approach is for the project to provide confidence that it will be delivered in line with the expectation of the market timelines | The Assurance Body would expect to see the delivery plan that will align to the key milestones of the V13.60.00 MMR . The project plan above would be what is expected. |
| Design | Seeking comfort that the design changes are in line with expectation from the MCR releases and, where relevant validation from their Solution SME's. | The Assurance Body would expect to see where a back-end system change was being undertaken, a clear approach on how the design was identified and selected. |
| Testing | Seeking to ensure a strong strategy is in place, that the test coverage is reasonable, robust tests created, that the necessary management mechanisms are in place to support effective means of resolving defects. | The Assurance Body would expect to see;<br>• A clear test strategy<br>• A strong test management framework<br>• Robust coverage of testing<br>• Clear exit criteria<br>• Strong path for defect resolution |
| Cutover and post go live support | Focusing on the plans for cut-over, hyper care, contingency plans and that reasonable arrangements are in place for a support model post go-live. | The Assurance Body will issue a declaration for Market Participants to approve and return. |

*Table 14 - Market Participant Self-Assessment Questionnaire*



VERSION 1

# Thank you

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