Assurance Approach: Delivery Assurance Activities for System Separation

12 April 2021

Version 1.0 Approved

This document encompasses information that can be released outside of Gemserv. This document does not include any confidential, personal or sensitive information.

Gemserv

Contents

CHANGE HISTORY

Version	Status	Issue Date	Author	Comments
0.1	Initial Draft for internal review	4 March 2021	Elizabeth Montgomerie	
0.2	Draft for CRU	18 March 2021	Gemserv	Updates post RMDS review
1.0	Approved by CRU	12 April 2021	Gemserv	

DOCUMENT CONTROLS

Reviewer	Role	Responsibility	Date
Sarah Fuller	Assurance Contract Manager	Reviewer	5 March 2021
Simon Fox-Mella	Assurance Specialist	Reviewer	5 March 2021
Oonagh Delaney	RMDS Business Analyst	Reviewer	12 March 2021
Lindsay Sharpe	RMDS Manager	Reviewer	12 March 2021
Patrick Moran	RMDS Business Analyst	Reviewer	12 March 2021
CRU	Regulator	Approver	12 April 2021
IGG	Industry Governance Group	For Information	Next available IGG

Introduction

RETAIL MARKET CHANGES

The co-ordinated retail market is overseen by the Commission for the Regulation of Utilities (CRU) in the RoI and the Utility Regulator (UR) in NI through the Retail Markets Co-ordination Steering Group. The co-ordinated retail market systems went live in both RoI and NI in October 2012. It consists of both markets sharing a 'TIBCO Hub' that acts as the communications router for market messages in each jurisdiction.

In October 2020, the UR directed NIE Networks to proceed with System Separation from the joint 'TIBCO Hub' with NI moving to a new TIBCO Hub and the RoI remaining on the current TIBCO Hub. NIE Networks subsequently planned for this activity and provided a deadline of October 2021 to have the System Separation completed. In November 2020, both NIE Networks and ESB Networks (ESBN) engaged with Atos, as the 'TIBCO Hub' provider, to direct it to deliver a project that covered the following:

- System Separation
- Upgrade of TIBCO components for the Hubs
- Redevelopment of Webforms

In January 2021 Atos initiated the project to deliver this scope of work.

This document describes the Assurance Approach that will be employed by Gemserv, as the RoI Assurance Body. Gemserv will deliver market assurance for the System Separation material changes in the RoI Retail Market. The upgrade of the TIBCO components and the redevelopment of webforms is scheduled to go live on 27 September 2021.

This change will involve EirGrid, ESBN and Suppliers (Large and Small).

The Retail Market Design Service (RMDS) has instructed Gemserv to provide assurance that Market Participants implement the changes:

- effectively,
- accurately,
- timely, and
- so that they do not negatively impact the Retail Market Design and functionality or market operation.

This Assurance Approach excludes wider assurance activities of the NIE Networks System Separation project and only describes assurance activities that impact the RoI Retail Market design and its functionality under System Separation.

Roles and Responsibilities

Table 1 below lists the organisations that will be involved in this assurance project and the role(s) that each organisation will fulfil.

Area of Ownership	Role	Role Description
Gemserv (as the Assurance Body)	Assurance Lead	To lead the independent assurance activities as outlined in this document to provide confidence that the risks from System Separation to the RoI Retail Market operation are appropriately mitigated.
RMDS	Retail Market Design Service	To lead the assurance function for the RoI Retail Market on behalf of CRU. To lead and act as subject matter expert on the Retail Market Design. To manage communications and to co-ordinate with the Retail Market and ESBN.
ReMCoDS	Retail Market Coordination Design Service	To facilitate coordination of assurance activities between NI and RoI, if required.
IGG	Industry Governance Group	To facilitate the assurance activities in RoI and to ensure that this assurance strategy does not and will not be negatively impacted by external impacts.
Market Participants & ESBN	Project Manager and Subject Matter Experts	To manage the Retail Market changes through to implementation into the live environments and to assist in the delivery of the assurance activities as required.
CRU	Regulatory Authority	To receive the output of the assurance strategy and approach for review. To provide direction as required to ensure operational integrity of the Retail Market is maintained.

COMMUNICATION PLAN

This section summarises the frequency, methods, and rationale for communications between Gemserv and the relevant parties during the assurance process.

Who	When	What	Why	How
Regulatory Authorities	On completion of Self-Assessments Briefing post Formal Assessments On completion of all IPT (final report) Fortnightly Progress Updates	Progress on the assurance strategy and execution and outcomes	To provide confidence and to ensure the assurance timelines can be adhered to	By email and call
ReMCoWG and IGG (Market Participants)	Every 4 weeks	Progress on the assurance strategy and execution	To provide updates on progress and ensure that stakeholders are prepared appropriately	By presentation and call
Market Participants	As required	Details about the assurance process specific to individual parties	To enable readiness and collaboration	By call, face to face and email
RMDS & ESBN	As required	Progress on the assurance strategy and execution and to receive information on the progress of the project	To ensure that the assurance services are aligned to the project performance	By Call

Assurance Principles & Objectives

This approach will be guided by a set of **principles** that Gemserv will follow when undertaking all its assurance services. These principles are that our service will:

- Provide transparency to all stakeholders
- Be timely, accurate and complete in the provision of the assurance services and associated toolkits
- Be independent and impartial
- Impose the least burden on Market Participants that is possible without compromising confidence in the assurance techniques
- Inspire confidence in the assurance regime

This approach will also adhere to a set of **objectives** that the work Gemserv undertakes will meet:

- **Engage:** Gain a full understanding of the implications of the changes
- **Plan:** Provide an assurance Strategy & Approach aligned with the project timescales
- **Toolkit:** Produce the necessary supporting documents to assure the changes
- **Deliver:** Deliver the assurance activities, adhering to the assurance principles
- **Verify:** Ensure that the changes made for are proven as fit for purpose by the project team
- **Communicate:** Engage all Market Participants and ensure that they are kept informed of the progress of the assurance plan and how they need to contribute
- **Contingency:** Examine transition plans for the changes and the appropriate fall back options

Assurance Scope & Changes

HIGH LEVEL PROJECT SCOPE

A new TIBCO Hub (NI Hub) will be built for NI market participants and located in Belfast. The existing TIBCO Hub will remain in Belfast and become the RoI Hub. NI only Suppliers will connect to the new NI Hub at cutover. RoI only Suppliers will remain connected to the existing TIBCO Hub. There are 10 dual Suppliers (those suppliers operating in both jurisdictions), each of which will require a new NI EMMA connected to the new NI Hub. Their existing EMMA will remain connected to the existing Hub for RoI market activities.

An upgrade of TIBCO components will be included within the project scope for both the new and existing Hubs.

A Webforms redevelopment will be included in the project scope for the new and existing Hubs.

ASSURANCE SCOPE – IN

The following areas are **in scope** of this assurance approach:

- RoI Electricity Retail Market
- ESBN
- Large Suppliers
- Small Suppliers

ASSURANCE SCOPE - OUT

The following areas are **out of scope** of this assurance approach:

- Gas Market
- NI Electricity Market
- Wholesale Market

DETAILS OF CHANGES

RoI - ESBN Only Scope

- **Existing ESBN Hub Upgrade**

  Upgrade and test of the current hub with the latest versions of TIBCO software except for the EMMA Business Connect, which will form part of a separate future programme of work

- **Existing ESBN EMMAs Upgrade**

  Upgrade and test of the current four test EMMAs attached to the existing hub except for Business Connect

- **Existing ESBN EMMAs Upgrade**

  Existing 17 RoI only Market Participants: one Production, one Pre-Production upgraded EMMAs per site, resulting in 34 upgraded EMMAs and test for ESBN in total (application only - infrastructure is suppliers' responsibility)

- **Existing ESBN EMMAs Upgrade**

  Existing 10 dual Suppliers: one Production, one Pre-Production upgraded EMMAs per site, resulting in 20 upgraded EMMAs and test for ESBN in total (application only - infrastructure is suppliers' responsibility)

- **Existing ESBN Hub**

  Unit testing, System Integration Testing (SIT) of the ESBN hub

NI Networks and ESBN Joint Scope

- **Replacement of Existing Webforms solution**

  Replacement of the current webforms solution with a new .NET platform built from a single code base and deployed onto the two environments (NIE Networks Hub and the ESBN Hub)

- **Deployment and Test of New Webforms solution**

  Deployment and test of new webforms solution to all NI and ROI Supplier EMMAs. Existing environments will be reused to facilitate development and testing of webforms

- **Testing**

  UAT, Market testing

- **Release & Deployment**

  Dress rehearsals, cutover, service acceptance

- **Planning AND Delivery (Atos)**

  Atos will plan and deliver key deliverables for the implementation, testing and governance of the overall market separation project

ESBN and NIE Networks will need to enable TLS in their SAP PO systems to communicate with the upgraded RoI Message Hub. The upgraded Tibco EMS will use OpenSSL for TLS. Atos will make these changes for NIE Networks systems but ESBN will need to accommodate this requirement. Change NIEN-C-001 has been raised to add it to the scope of the project.

Assurance Approach

To deliver assurance for the Retail Market, Gemserv will apply the Self-Assessment, Formal Assessment and Inter Participant Testing assurance techniques.

For Market Participants to exit successfully from the assurance activities, Gemserv must be satisfied that the changes will result in zero negative impacts to any or all Market Participants or on market performance.

ASSURANCE TECHNIQUES BY PARTICIPANT TYPE

The table below shows how each technique will be applied to the different categories of Market Participant and deployed.

Participant Type	ESBN	Large Supplier	Small Supplier
Self-Assessment	Readiness & Preparation for: Hub Upgrade EMMA Upgrade Webforms Solution	Awareness & Readiness for: Hub Upgrade EMMA Upgrade Webforms Solution	Awareness & Readiness for: Hub Upgrade EMMA Upgrade Webforms Solution
Formal Assessment	Details of project delivery for: Hub Upgrade EMMA Upgrade Webforms Solution	n/a	n/a
IPT	Core Processes	Core Processes*	Core Processes*

*Minimum, three large and three small Suppliers only, through request for volunteers.

ASSURANCE TECHNIQUES TO BE EMPLOYED

Self-Assessment

The Self-Assessment technique will gather information on the ESBN project management methodology, plan and the progress to date. Market Participants will be required to undertake the Self-Assessment to gauge awareness of the changes and what it may mean for them and readiness for implementation.

ESBN will be provided with a Participant Questionnaire (PQ) that elicits details to demonstrate its approach to delivering the changes and will require ESBN to give significant consideration and provision of all appropriate supporting documents. This will be used to build the requirements for the later Formal Assessment stage, which will take place once a considerable volume of testing has been completed by ESBN.

Market Participants will be issued a PQ that is designed to elicit details of their awareness and readiness to implement these changes and any business and operational changes that they need to make as a result. The minimum standard of response and the required supporting documentation will be identified by Gemserv in the PQ itself for Market Participants. The table below provides an overview of the coverage of the PQ.

The completed PQs and all evidence will be provided to Gemserv via RMDS. The PQs will then be assessed against the identified exit criteria detailed below.

Any necessary clarifications required by Gemserv will be sought by email or phone with Market Participants. When Gemserv is satisfied of the adequacy of the responses, a Self-Assessment Outcome Report will be provided to the CRU on the outcome of the Self-Assessment assurance stage for each of the phases completed.

Assurance Technique & Timeline	Market Participant	Coverage	Exit criteria

Self-Assessment
 	
Timeline: 7 May 2021 – 11 June 2021
	ESBN	Project Management:
		
		▪ Project governance
		
		▪ Implementation plans
		
		▪ Testing strategies
		
		▪ Risk management
		
		▪ Issue management
		
		▪ Authorisation procedures and sign off
		
		▪ Resourcing
			Delivery of:
			
			1. Best practice project management methodology in delivering the changes
			
			2. Implementation plan, delivery timetable & associated resourcing plan
			
			3. Testing strategy and plan
			   a. Any testing outcomes already performed
			   b. Any risk or issues arising
			
			4. Risk & Issue management process (including escalation route)
			
			5. Project authorisation process & sign off procedures

Assurance Technique & Timeline	Market Participant	Coverage	Exit criteria
	Suppliers	Awareness of the changes: - Planning & Impact assessment - Planning & Action - Project Management Methodology	Delivery of: 1. Confirmation of understanding of the changes for System Separation 2. Confirmation of readiness (or planned readiness) to implement the changes 3. Actions taken (or to be taken) to cater for the changes

SELF-ASSESSMENT COVERAGE

Formal Assessment

The Formal Assessment assurance technique includes a site visit made to the Market Participants' offices to undertake records reviews, witnessing and/or sampling processes. Due to Covid restrictions, this may have to be carried out remotely. A site visit will ONLY be required for **ESBN** at this time.

The areas to be covered within this stage are detailed in the table below. At the site visit, the design, implementation and testing of the changes will be verified through inspecting the supporting documents, test strategy, test scripts and results, including defect identification and management. An assessment will also be made of the change processes and/or the project to develop and implement the necessary changes. Any identified deficiencies will be raised with ESBN, to enable it to take the necessary remedial actions and provide evidence of such to Gemserv.

When we are satisfied that the responses are adequate and meet the required expectations, ESBN and RMDS will be informed and the parties can then move on from Formal Assessment.

Any significant issues identified will be raised immediately with RMDS and the CRU; otherwise a full overview of the Formal Assessment will be provided in the final Assurance Report.

Assurance Technique	Market Participant	Coverage	Exit criteria
Formal Assessment (records review, evidence review, witnessing) **Timeline:** 5 July – 23 July 2021	ESBN	▪ ESBN Project Delivery ▪ Project PID (current version) ▪ Project Plan ▪ Test Strategy & Execution and Outcomes ▪ Quality Reviews ▪ Entry & Exit criteria for test stages ▪ Minutes or records of the latest Project Board Meeting ▪ Requirements Matrix ▪ Cut-over plan, strategy, approach ▪ High Level contingency plan	1. Testing has been carried out to ensure changes conform to Market Design and Business Requirements. 2. Any defects identified by testing are either resolved or prioritised according to the impact to delivery. 3. Testing has been carried out and recorded to ensure there aren't unspecified changes in functionality. 4. Testing has been carried out and recorded to ensure that there will be no negative impacts to Market Participants. 5. Processes are in place to ensure very high probability of successful implementation of the changes

FORMAL ASSESSMENT TECHNIQUE COVERAGE

Inter-Participant Testing

The purpose of Inter-Participant Testing (IPT) is to gain assurance that Market Participants can correctly operate the key scenarios that it will meet in the Market using its declared systems, business processes and operational staff within normal, operational conditions and using the central market technical infrastructure.

A selection of IPT scenarios will be performed by ESBN, and a small number of Large Suppliers and Small Suppliers. There is no change being made to the Market Design, as such IPT will not be required for all Suppliers. Gemserv will (via RMDS) seek volunteers to amount to three large Supplier and three small Suppliers to undertake IPT on a set of core processes. This will be designed to seek evidential proof that System

Separation, the Hub Upgrades and the Webforms redevelopment has not negatively affected the ability for the market to interact as per the Retail Market Design.

Timeline: 9 – 27 August 2021

Entry Criteria

IPT will take place when the following criteria have been fulfilled:

- All required Market Participants have completed all preceding stages of assurance as directed by the Assurance Approach.
- All required Market Participants have been engaged, a single point of contact identified, and all supporting documentation has been provided to the Market Participant by RMDS and Gemserv and the Market Participant has confirmed understanding (with a signed declaration).
- There are no outstanding issues or defects prior to IPT that would materially affect the outcome of a test scenario.
- An IPT plan has been agreed for scenario execution with RMDS.
- Test data has been agreed, as the data to be used during the scenario execution.
- The test environment is available.
- The responsible technical bodies (ESBN, Atos) have satisfied themselves that the technical requirements are met and have declared as such and are ready for IPT.

The IPT scenarios may cover the following Retail Market Processes:

- Change of Supplier
- New Connections
- Meter Works
- Data Processing & Data Aggregations
- Customer Data Changes

A selection of IPT scenarios have been identified as being necessary to exercise the key market processes in a simulated environment for Gemserv to deliver a satisfactory level of assurance. RMDS will issue an IPT plan of when participants can expect IPT actions to take place, this will be followed up with the specific details that each participant requires to undertake the testing required through an individual workbook for each Market Participant.

The IPT Assurance Stage will be co-ordinated and overseen by RMDS and Market Participants will be supported and prepared in advance. The resulting IPT evidence is provided to Gemserv for review and assessment, via RMDS.

Each IPT scenario is defined as follows:

- Objectives
- Initial Conditions
- Market Transactions - steps to complete
- Exit Conditions
- Required Evidence

We have selected the scenario coverage by:

- Identifying test scenarios that will exercise the core processes of the Retail Market; and
- Eliminating scenarios that cannot occur in practice or that are highly unlikely.

An overview of the proposed set of Market Scenario tests can be found in the table below. We require three Large and three Small Suppliers to undertake IPT. Scheduling of the tests and details of which Suppliers will be required to undertake which tests will be confirmed during the preparation stage for IPT. Please note that full details of the scenario test steps and evidence requirements will also be provided during the preparation stage for IPT.

While executing the tests, Market Participants will gather evidence showing how the tests have progressed and will submit this to RMDS. This shall include all Market Messages sent and received and other evidence where specified. When each Market Participant has completed the tests applicable to them, they should review the test record. If any test has not met the success criteria and/or did not comply with the Market Design a re-test should be requested as soon as possible.

Important to note:

- All IPT scenarios must be carried out in a timely manner in accordance with the agreed schedule to avoid unnecessary delay to all Participants.
- It is the Participant's responsibility to follow the IPT scenarios and complete all steps as required.
- The Participant must collect evidence at each step to demonstrate compliance with the Market Design and their business processes and systems.

Exit Criteria

IPT will be considered complete when the following criteria have been fulfilled and evidenced:

- All tests have been run (if not run, sufficient justification and supporting evidence must be given and accepted by Gemserv).
- Evidence has been provided, reviewed, and signed off for all IPT tests that were run.

- There are no open defects of severity Medium or High[1].

IPT Testing Coverage

The table below summarises the proposed test scenarios. The full scenario details, final conditions, evidence requirements, data requirements will be issued nearer the testing window to support timely preparation for all Market Participants, in line with publication of the IPT plan by RMDS.

IPT Scenarios	Market Sector Coverage
Change of Supplier, Change of Meter Configuration Code	Half Hourly Interval Metered
Change of Supplier	Quarter Hourly Interval Metered
Change of Supplier	Non-Interval Metered
Change of Supplier; Cancellation & Objection	Non-Interval Metered; Domestic
Change of Legal Entity, Change of Meter Configuration Code	Half Hourly Interval Metered
Change of Legal Entity	Quarter Hourly Interval Metered
Change of Customer Details	Non-Interval Metered
Readings Processing	Non-Interval Metered
Meter Problems and Damage	Non-Interval Metered
Meter Problems and Damage	Half Hourly Interval Metered
Meter Problems and Damage	Quarter Hourly Interval Metered

PROPOSED IPT MARKET SCENARIO COVERAGE

ASSURANCE ASSUMPTIONS

This assurance approach has been written based on the following assumptions:

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[1] IPT Defect Severities Definitions

- **Low**: defect affects minor functionality with little or no impact to other participants, and there is a known workaround which is practical to implement.

- **Medium**: defect affects major functionality with an impact to other participants, and there is a known workaround which is practical to implement.

- **High**: defect affects major functionality with a serious impact to other participants, and there is no known workaround, or the workaround is impractical.

- Resources
  - Market Participants are available to support delivery of the plan
  - Market Participants provide accurate information and provide supporting evidence
  - Any Third Parties required will be available to support the assurance activities
- Timescales
  - Individual project tasks and milestones are complete on schedule
  - Any project stage delays may result in a delay in delivery of assurance activities
- Market Design
  - There will be no changes to the Retail Market Design
- Testing
  - All testing will be auditable, and an appropriate quality control method employed
  - Defects and issues are captured at the earliest stage possible and communicated accordingly
  - There will be a low rate of defects and issues found *via assurance techniques*
  - Test cases will be provided to suppliers
  - Test data will be provided by ESBN
  - Test environment will be provided by ESBN
  - Test support will be provided
  - Test plan will be provided
  - Methodology of a secure transfer of test evidence will be provided
  - Test Account for the test environment will be provided
- Changes
  - Market Participants are suitably informed about the changes
  - No migration of data will be undertaken as part of these changes

ASSURANCE TIMELINE

This table summarises the key milestones and our proposed timetable. Please note that some of these dates are provisional and based on the progress of the assurance activities and the agreement of a Formal Assessment site visit date with ESBN and an IPT window.

Assurance milestone	Date
Assurance Approach Approved by CRU	9 April 2021
Self-Assessment Participant Questionnaire issued	7 May 2021
Market Participants Self-Assessment Participant Questionnaire Return Deadline	28 May 2021

Assurance milestone	Date
Gemserv issues Self-Assessment Report to the CRU	11 June 2021
RMDS Issue IPT plan[2]	21 June 2021
ESBN Formal Assessment performed[3]	5 – 16 July 2021
Gemserv issues Formal Assessment Brief	23 July 2021
Inter-Participant Testing Window	9 – 27 August 2021
Gemserv Issues IPT Exit Report	30 August 2021
Gemserv issues Final Assurance Outcome Report to the CRU	10 September
Cut Over	25 September 2021
Go Live	27 September 2021

ASSURANCE ACTIVITES TIMELINES

Communications to Market Participants

Updates will be provided to Market Participants at each of the IGG and ReMCoWG meetings / conference calls.

Individual Market Participants will be communicated with separately to enable the assurance activities specific to each to be performed.

Gemserv will also maintain a weekly feedback session with RMDS to provide updates, raise issues, seek any additional support required and progress with assurance activities.

Report Title	Report Summary	When
Self-Assessment Outcome Report	▪ Introduction ▪ Assessment methodology ▪ Assessment outcome ▪ Common themes ▪ Recommendations & next steps	11 June 2021

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[2] Date of issue to be confirmed.

[3] A one-day site visit, dates to be arranged with ESBN.

Report Title	Report Summary	When
Formal Assessment Outcome Brief Only to be issued to the CRU if any issues are identified and escalation is required	▪ Introduction ▪ Assessment methodology ▪ Assessment outcome ▪ Common themes ▪ Recommendations & next steps	23 July 2021
Inter-Participant Testing Exit Report To be issued to RMDS and will form part of the Final Assurance Outcome Report to the CRU	▪ Introduction ▪ Testing overview ▪ Outcome Summary	2 days post IPT completion

Final Assurance Outcome Report	▪ Introduction
	
	▪ Executive summary
	
	▪ Assurance approach & timeline
	
	▪ Assurance techniques
	  ◆ Application
	  ◆ Outcomes
	  ◆ Exit Criteria
	▪ Cut over readiness
	
	▪ Any outstanding risks or issues
	
	▪ Recommendations & next steps
		10 September 2021

CRU REPORTING SUMMARY TABLE

Risk Assessment

This section summarises the risk evaluation methodology used by Gemserv and provides a risk assessment for delivery of the System Separation project in relation to the RoI Retail Market Design. The significance of a risk is assessed by considering the impact and probability that a risk would have if no controls were applied. Each risk represents the 'worst case' scenario.

The impact and probability assessments offer a method to measure the relative importance of the risks and facilitates a comparison of other risks relative to each other. It should **not** be interpreted as the absolute magnitude of each risk. This methodology evaluates the probability and impact **relative to the other wider risks associated to delivery of this project by Market Participants** and the delivery of the assurance activities.

Some of the factors that are considered when assessing the probability of a risk are (but not limited to):
- The opportunity for a failure to occur
    - The larger the number or frequency of processes that contribute to the risk, the greater the risk
- The complexity of the activities that might contribute to the risk
    - The more complex an activity is, the more subject to errors it might be
- The level of manual intervention required
    - A large amount of manual intervention within the activity, the increased chance of errors occurring
- The performance history of the activity (or similar activity) being performed in the past
    - Any prior experience of activities is considered.

Some of the factors and questions that are considered when assessing the impact of a risk are (but not limited to):
- Does the risk have the potential to threaten the market as a whole?
    - Could it cause severe problems for the industry, Market Participants, ESBN and/or TSO?
- Does the risk have the potential to impact one or more areas in the market?
    - Could it cause severe problems for the Central Market Systems?
    - Could it cause problems to Market Participants operating in the market?

A risk assessment summarising the significant risks associated with the delivery of the changes can be found in the Table below.

NB – the assurance controls describe how Gemserv (and ESBN working collaboratively) can control the level of risk through the application of the assurance services and is not a description of how the Project will endeavour to fully mitigate the risk of implementing these changes.

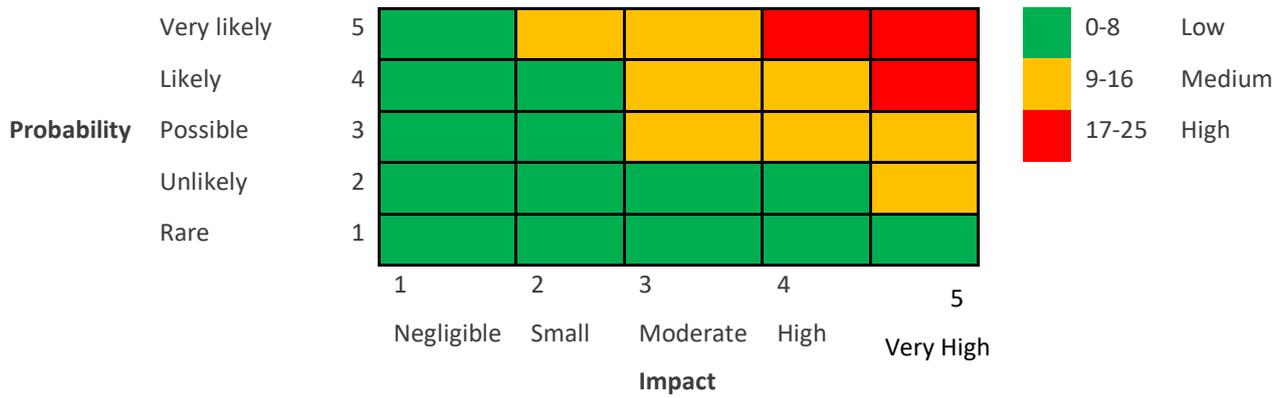| Risk	Probability	Impact	Risk rating	Risk owner	Assurance controls
Failure to adequately design, test and implement the described changes may result in the Retail Market being unfit for purpose and / or noncompliant with regulations	Possible	Very High	Medium	ESBN	▪ Self-Assessment ▪ Formal Assessment ▪ Inter-Participant Testing ▪ Communication between RMDS, Gemserv and ESBN
Implementing the changes may impact negatively on the Retail Market design and subsequent operation	Unlikely	Very High	Medium	RMDS	▪ Self-Assessment ▪ Formal Assessment ▪ Inter-Participant Testing ▪ Communication between RMDS, Gemserv and ESBN
The technical testing performed by ESBN may identify defects and issues that will delay the implementation and later Market Releases	Possible	Very High	Medium	ESBN	▪ Self-Assessment ▪ Formal Assessment ▪ Communication between RMDS, Gemserv and ESBN
ESBN may be unable to implement a robust project management	Unlikely	Very High	Medium	ESBN	▪ Initial Planning ▪ Self-Assessment ▪ Formal Assessment

Risk	Probability	Impact	Risk rating	Risk owner	Assurance controls
regime resulting in the failure of the Project					
Market Participants may be unable to implement a robust project management regime resulting in the failure of the Project and ability to go live	Unlikely	Medium	Low	Market Participants	▪ Initial Planning ▪ Self-Assessment ▪ Formal Assessment (potentially)
ESBN may not have resources allocated to complete	Unlikely	Very High	Medium	ESBN	Communication between RMDS, Gemserv and ESBN
Market Participants may not have the resources to complete the necessary readiness activities and / or assurance activities	Unlikely	Medium	Low	Market Participants	▪ Initial Planning ▪ Self-Assessment ▪ Communication between RMDS, Gemserv and ESBN

RISK ASSESSMENT

Appendix A: Risk Assessment Scoring Matrix

Probability			Impact				
Very likely	5	Green	Yellow	Yellow	Red	Red	
Likely	4	Green	Green	Yellow	Yellow	Red	
Possible	3	Green	Green	Yellow	Yellow	Yellow	
Unlikely	2	Green	Green	Green	Green	Yellow	
Rare	1	Green	Green	Green	Green	Green	
		1	2	3	4	5	
		Negligible	Small	Moderate	High	Very High	

Impact

	0-8	Low
	9-16	Medium
	17-25	High

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CYBER ESSENTIALS PLUS