



# Assurance Approach

For the  
V14.00.00 Market Release

Prepared by: Version 1 Retail Electricity Market Assurance Team | 23 August 2023

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Company Classification: Confidential



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## Document Version Control

Date	Version	Changed By	Reason for Change
04/04/2023	V0.1	J McKnight & M White	Initial draft
05/04/2023	V0.2	R McLaughlin & J McKnight	Review
07/04/2023	V0.3	J McKnight	Review and update RMDS comments
12/04/2023	V0.4	J McKnight & R McLaughlin	Update following RMDS review
18/04/2023	V0.5	J McKnight	Updates to MCC codes to MCR change tables
28/04/2023	V0.6	J McKnight & R McLaughlin	Updates subsequent to IGG participants feedback
24/05/2023	V1.0	J McKnight & R McLaughlin	Updates subsequent to IGG participants feedback Approved Version
23/08/2023	V1.1	J McKnight	Updates to Assurance timeline approved at IGG meeting 23/08/2023

## Circulation List

Name	Reason	Organisation/Title
Oonagh Delaney Patrick Moran Suzanne Hudson	Review	RMDS
Jack O'Dwyer	Approval	CRU
Industry Governance Group (IGG)	Approval	IGG

## Reference Documents

Title	Description	ESB Networks – RMDS website Link
<b>MCR1216 v5.0 Smart Metering Remote Operations</b>	The changes required to the Retail Market Design to enable the utilisation of the Remote Switch functionality of the Smart Meter.	<a href="#">link</a>
<b>MCR1219 v4.0 SPAYG System and Process Changes necessary to Deliver Policy</b>	Details changes necessary to deliver on SPAYG policy in addition to those in MCR1216 which must be implemented.	<a href="#">link</a>

<b>MCR1221 v1.1 Contingency Process for Failures in SPAYG Technology Chain</b>	Specifically deals with the Contingency Process for failure in the technology chain for Smart PAYG.	<a href="#">link</a>
<b>MCR1189 v6.0 Additional code in the 017MM to select a de-energisation with a Service Removal</b>	Details an additional code that should be added to the 'MeterPointStatusReason' on the 017MM to allow an additional reason to select a de-energisation with service removal.	<a href="#">link</a>
<b>MCR1193 v6.0 New 603MM Daily Summary Transaction Details</b>	A new market message (603MM Daily Summary Transaction Details) will be created.	<a href="#">link</a>
<b>MCR1208 v2.0 Smart Metering Default Data</b>	Includes an increase to the default level of data granularity for all customers with smart meters to include day/night/peak register reads bimonthly.	<a href="#">link</a>
<b>MCR1209 v6.0 Annual Consumption for HH Sites</b>	This MCR will implement a new Estimated Annual Consumption field within the 105MM. Working Draft 6.0.	<a href="#">link</a>
<b>Reversioned Market Process Design Documents</b>	<p>MPD 01 – Change of Supplier Non-Interval – V13.2.</p> <p>MPD 02 – Change of Supplier Interval – V13.0.</p> <p>MPD 03 – CoS Objection and Cancellation – V13.0.</p> <p>MPD 03.1 – Automated Debt Flagging – V11.1.</p> <p>MPD 04 – SoLR – Process Design Document – V13.3</p> <p>MPD 05 – New Non-Interval Metered Connection – V13.0.</p> <p>MPD 06 – New Interval Metered Demand Connection – V13.0.</p> <p>MPD 09 – De-Energisation – V13.2.</p> <p>MPD 10 – Re-Energisation – V13.2.</p> <p>MPD 11 – Changes to Meter Configuration – V13.0.</p> <p>MPD 13 – Planned Meter Exchange – V13.0.</p> <p>MPD 21 – De-Registration – V10.6.</p> <p>MPD 24 – Changes to Customer Details – V13.0.</p> <p>MPD 25 – Change of Legal Entity – V13.0.</p>	
<b>Reversioned Market Message Implementation Guides</b>	<p>Market Message Guide – Data Processing_V14 Working Draft</p> <p>Market Message Guide – Meter Registration_V14 Working Draft v1.3</p> <p>Market Message Guide – Meter Works_V14 Working Draft v1.4</p>	

# 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 14.00.00 Market Release.

## 1.1. Summary of changes being introduced in V14.00.00 Market Release

V14.00.00 Market Release is scheduled for implementation on 11th November 2024 by ESB Networks (ESBN). Cutover is scheduled to commence on Friday 8<sup>th</sup> November 2024. The Retail Market Release will impact, in varying degrees ESB Networks (DSO), Eirgrid (TSO) and both Large and Small Suppliers.

V14.00.00 is a significant Market Release in terms of impact on Participants, notwithstanding the introduction of Smart Pay As You Go services to customers, there are changes and impacts across all market design attributes. Changes include a new market message, new and amended data codes / data definitions and changes to market procedures and implementation guides.

From an Assurance perspective, the focus will therefore be on the review of the system and process changes that will occur, together with new working practice(s). The V14.00.00 Market Release is composed of seven MCRs. We have sub-classified these MCRs into Smart Pay As You Go (SPAYG) as outlined in section 3.2 and Non SPAYG (section 3.3):

### *Smart Pay As You Go (SPAYG):*

1. [MCR1216 v5.0 - Smart Metering Remote Operations](#) - MCR 1216 outlines the changes required to the Retail Market Design to enable Smart Metering Remote Operations and the utilisation of Remote Switch (covers meter disconnection and reconnection) functionality of the Smart Meter.
2. [MCR1219 v4.0 - SPAGY System and Process Changes necessary to Deliver Policy](#) - MCR1219 defines all outstanding functionality not covered by MCR1216, that is necessary to deliver a solution aligned to Smart PAYG policy.
3. [MCR1221 v1.1 - Contingency Process for Failures in SPAYG Technology Chain](#) - MCR1221 (derives from MCR1219 and MCR1216) outlines the contingency process for failures in the Smart PAYG technology chain. The MCR specifically noted the complexity and volume of technological interfaces within the end-to-end operation poses an increased risk of failure. The Regulator has mandated a total backstop time of 1 hour 15 mins to reconnect Smart PAYG customers.

### *Non SPAYG:*

4. [MCR1189 v6.0 - Additional Code in the 017MM to select a De-energisation with a Service Removal](#) (Removal of Service Safety Incident) - The existing procedure has safety issues. If the present procedure is not followed correctly, it can result in ESB Networks having significant amount of manual intervention. This intervention is required to guarantee that de-energisation, together with removal of the electrical service and cable feeding the premises are detected and separated from the usual schedule.
5. [MCR1193 v6.0 - New 603MM Daily Summary Transaction Details](#) - A new market message 603MM Daily Summary Transaction Details will be added to the schema. This message will provide Market Participants with the transaction reference number for each market message type contained in the overall 602MM count, to assist with reconciling 602MM message count.

6. [MCR1208 v2.0 - Smart Metering Default Data Day/Night/Peak/Bi-Monthly Reads](#) - The goal is to supply providers with more detailed information so that they may offer Time-of-Use rates to their consumers based on day/night/peak registers rather than 24hr registers. The request would only impact smart meter data flows, the decision to switch to a Time-of-Use tariff would remain with the customer.
7. [MCR1209 v6.0 - Annual Consumption for HH Sites](#) - In relation to HH Change of Supplier completions (defined by MCC), a new field will be included in the 105MM to provide the Estimated Annual Consumption.

## 1.2. Key risk summary of changes being introduced in V14.00.00 Market Release

V14.00.00 is a major release that has a significant level of change to the Market Process Design, Retail Market Schema, Market Implementation Guides, Data Codes and Data Definitions. The impact assessments contained within Appendices 1 and 2 provide a summary based on the documentation versions available at the time of presentation, as indicated in this approach. The Market Assurance approach and techniques seeks to mitigate the following key risk areas:

1. **Timeline** – in preparing this document the Assurance Body is aware that there are several dependencies surrounding the project. There has already been a delay in timelines since an approach was developed and whilst it is not envisaged there will be further delays, it remains a possibility.

This risk has been considered to be medium level by the Assurance Body.

By way of mitigation, the Assurance Body is sitting on three industry group meetings, TWG, IGG and ILG. This should allow the Assurance Body to get early sight of changes and allow us in turn to notify participants of any changes to the Assurance Approach. The Assurance Body notes that MCR deployments can subsequently be amended via IGG approval. Should this occur, the Assurance timelines will be adjusted and reflected accordingly.

2. **MCR reversioning** – in preparing this approach, the Assurance Body based its decision and assurance steps based on the current versions of the MCRs. It is entirely possible that as the V14.00.00 Market Release progresses there may be updated versions to MCRs (i.e. amendments to the change that may occur). The Assurance Body reserves the right to amend its approach to accommodate reversioning changes.

This risk has been considered to be medium level by the Assurance Body.

By way of mitigation, the Assurance Body is attending three industry group meetings, TWG, IGG and ILG. This should allow the Assurance Body to get early sight of changes and allow us in turn to notify participants of any changes to the Approach.

3. **Supplier interpretation of changes** – the risk centres on the misinterpretation of the changes that the V14.00.00 project team are making to the ESB Network market systems. In turn this may lead to the solution not working as expected by Market Participants.

This risk is considered to be a medium level by the Assurance Body.

By way of mitigation, the Assurance Body will be using the approach to provide comfort that this is not the case, primarily through the Self-Assessment step, a Formal Assessment for those Participants (who align with the criteria) and from a suggested Participant Communication Strategy that the Assurance Body recommended following the recent Hub Relocation project.

4. **Back office system updates/implementation** – there is always a risk that as we progress towards the end of the V14.00.00 project that the successful outcomes expected from the IPT scenarios (the interparticipant testing) have not succeeded. This can be from issues with market operational systems at either the ESB Networks end, or the Market Participants end.

This risk is considered to be a medium level by the Assurance Body.

By way of mitigation, the Assurance Body will be using the approach to provide comfort that this is not the case, primarily through the Self-Assessment step, a Formal Assessment for those Participants (who align with the criteria) and from a suggested Participant Communication Strategy that the Assurance Body recommended following the recent Hub Relocation project.



## 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 V14.00.00 Market Release; 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.

The introduction of the V14.00.00 Market Release will also facilitate the delivery of Smart Pay As You Go (SPAYG) services to customers. This is considered a new industry solution outlining 10 technical interfaces to deliver remote disconnection/reconnection services. Therefore, the Assurance Approach will need to ensure the associated impacts and risks are adequately considered for this new industry solution.

### 2.2. The guiding principles of this Assurance Approach

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

- Assurance activities should not place an unnecessary burden on a participant;
- Assurance process must be appropriate to the change being implemented;
- Market assurance should be evidence based;
- There should be transparency on the activities being performed; and
- 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 and ESB Networks implement the relevant changes as outlined in the Market Release 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 V14.00.00 Market Release will see the implementation of seven 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	MCR Version	Description	Design Document impact	Business Process impact	DSO System impact	MP System impact	Schema impact
<b>Section 3.2: Smart Pay as You Go (SPAYG) Change</b>							
1216	5.0	Smart Metering Remote Operations	Yes	Yes	Yes	Yes	Yes
1219	4.0	SPAYG System and Process Changes necessary to Deliver Policy	Yes <sup>1</sup>	Yes <sup>1</sup>	Yes <sup>1</sup>	Yes <sup>1</sup>	No
1221	2.0	Contingency Process for Failures in SPAYG Technology Chain	No	Yes <sup>1</sup>	No	No	No
<b>Section 3.3: Non SPAYG Change</b>							
1189	6.0	Additional code in the 017MM to select a de-energisation with a Service Removal	Yes	Yes	Yes	Yes	Yes
1193	6.0	New 603MM Daily Summary Transaction Details	No	No	Yes	Yes	Yes
1208	2.0	Smart Metering Default Data	Yes	TBC <sup>1</sup>	TBC <sup>1</sup>	TBC <sup>1</sup>	No
1209	6.0	Annual Consumption for HH Sites	Yes	Yes	Yes	Yes	Yes

Table 1 – Summary of MCRs included in this Assurance Approach

<sup>1</sup> Whilst the MCR Scope of change sections have been left blank (in all or some areas), the Assurance Body believes that there will be an impact in this area

## 3.2. Smart Pay as You Go (SPAYG) MCRs

### 3.2.1. MCR1216 v5.0 (09/01/2023) - Smart Metering Remote Operations

[MCR1216 - LINK](#)

*MCR Summary change:*

Area of change	Detail	
Market Process Diagrams (MPDs)	MPD 01, MPD 02, MPD 04, MPD 05, MPD 06, MPD 09, MPD 10, MPD 21, MPD 24, MPD 25	
Market Message Implementation Guides (MMIG)	<ul style="list-style-type: none"> <li>○ Customer and Data Agreements</li> <li>○ Data Processing</li> <li>○ Meter Registration</li> <li>○ Meter Works</li> </ul>	
Market Schema Guide	Yes	Market Messages and data codes
Market Messages (MM)	017, 102P, 106D, 106E, 117R, 131, 300, 300S, 300W, 305, 306, 307, 306W, 307W, 308	
Data Codes	<ul style="list-style-type: none"> <li>○ New Meter Point Status Code (MM – 300, 300W, 305, 306, 307, 102P, 106D, 300S): <ul style="list-style-type: none"> <li>- 'DR' – De-energise Remote</li> </ul> </li> <li>○ New Meter Point Reason Codes (017 MM): <ul style="list-style-type: none"> <li>- 'D05' – De-energise (HH PAYG)</li> <li>- 'E05' – Re-energise (HH PAYG)</li> </ul> </li> <li>○ Work Type code (131 MM): <ul style="list-style-type: none"> <li>- 'W208' – Re-energise PAYG</li> </ul> </li> <li>○ Reject Reason Code (117R MM): <ul style="list-style-type: none"> <li>- 'ODP' – Outside de-energise period</li> </ul> </li> </ul>	
Meter Configuration Codes (MCCs)	Half Hourly (HH)	MCC12
Briefing Documents	<ul style="list-style-type: none"> <li>○ Downloadable Meter Point Files Guide</li> <li>○ MPRN Enquiry Webservice Guide</li> <li>○ Retail Market Participant Extranet Website</li> </ul>	

Table 2 – Change summary of MCR1216

#### **MCR Summary Background:**

MCR 1216 outlines the changes required to the Retail Market Design to enable Smart Metering Remote Operations and the utilisation of the Remote Switch (covers meter disconnection and reconnection) functionality of the Smart Meter.

#### **Proposed Solution:**

To offer Remote Switch capability in the following scenarios:

De-Energise Non NPA	Re-energise NPA
De-Energise PAYG	Re-Energise Non NPA
De-energise NPA	Re-Energise PAYG

**The scope of the change - impact summary definition:**

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

Table 3 – Impact summary of MCR1216

Whilst the above outlines the MCR changes the Assurance approach for this MCR is documented in section 4. of the document.

### 3.2.2. MCR1219 v4.0 (21/09/2022) – SPAYG System and Process Changes necessary to Deliver Policy

[MCR1219 - LINK](#)

**MCR Summary change:**

Area of change	Detail
Market Process Diagrams (MPDs)	MPD 01, MPD 02, MPD 03, MPD 03.1, MPD 9, MPD 10
Market Message Implementation Guides (MMG)	<ul style="list-style-type: none"> <li>○ Meter Registration</li> <li>○ Meter Works</li> </ul>
Market Schema Guide	No change
Market Messages (MM)	102, 102P, 110
Data Codes / Data Definitions	No Change
Meter Configuration Codes (MCCs)	Half Hourly (HH)      MCC12

Table 4 – Change summary of MCR1219

**MCR Summary Background:**

MCR1219 defines all outstanding functionality not covered by MCR1216 (remote switch for meter disconnection and reconnection), that is necessary to deliver a solution that is required by Smart PAYG policy. V4.0 of the MCR reduced areas to that of just Day/Day+1 or D+5 CoS Processing functionality.

**Proposed Solution:**

Implementation of CoS Processing as close to real time as possible and alignment of the processing to the effective dates to allow alignment of consumer financial status. In addition, the following areas have been incorporated to facilitate the MCR changes:

- De-Energisation and Re-Energisation for Reason De-Energise (HH PAYG) – Re-Energise (HH PAYG) while a CoS is in progress
- Changes to MM110: Notification to Old Supplier of a Change of Supplier

- Change of Supplier Registration Acceptance / Provisional Acceptance (MM102 / MM102P)
- Additional use of MM102P and MM102
- The removal of the 5 day objection window to allow D / D+1 CoS Processing in specific circumstances

**The scope of the change - impact summary definition:**

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

Table 5 – Impact summary of MCR1219

Whilst the MCR Scope of change section has been left blank, the Assurance Body believe that there will be an impact in the areas indicated above being implemented by this MCR, the Assurance approach is documented in section 4. of the document.

**3.2.3. MCR1221 v1.1 (04/04/2022) – Contingency Process for Failures in SPAYG Technology Chain**

[MCR1221 – LINK](#)

**MCR change summary:**

Area of change	Detail	
MPDs, MMG, MM	No change	
Market Schema Guide	Change from Schema Impacting to Non Schema Impacting (TWG 15/03/2023 refers) for IGG Approval 26/04/2023	
Working Practice	New working practice to be developed by ESNB	
MCCs	Smart PAYG MCC	‘To be confirmed at a future date’
Technical Working Group (TWG) reference’s	15/02/2023 15/03/2023	MCR V2.0 to be approved at IGG on 26/04/2023: <ul style="list-style-type: none"> <li>○ Non Schema Impacting</li> <li>○ Proposed Solution</li> </ul>

Table 6 – Change summary of MCR1221

**MCR Background:**

MCR1221 (derives from MCR1219 and MCR1216) outlines the contingency process for failures in the Smart PAYG technology chain. The complexity and volume of technological interfaces within the end-to-end operation poses an increased risk of failure. There has also been mandated a total backstop time of 1 hour 15 mins to reconnect Smart PAYG customers.

***Proposed Solution:***

Whilst initially considered that the DR maybe Schema Impacting, the proposed solution outlined in V2.0 of the MCR has confirmed no technical or schema changes will be made. There will be a new working practice developed by ESNB in conjunction with the industry.

The working practice is required to support issues affecting re-energisation/de-energisation end-to-end service and day-to-day issues with individual events. It will be developed in collaboration with Market Participants.

Whilst the above outlines the changes being implemented by this MCR, the Assurance approach is documented in section 4. of the document.

### 3.3. Non SPAYG MCRs

#### 3.3.1. MCR1189 v6.0 (09/01/2023) - Additional Code in the 017MM to select a De-energisation with a Service Removal

[MCR1189 - LINK](#)

*MCR change summary:*

Area	Detail	
Market Process Diagrams (MPDs)	Change to MPD-09, MPD-10	
Market Message Implementation Guides (MMIG)	Change to Meter Works MMIG	
Market Schema Guide	Change to Market Messages and data codes	
Market Message (s)	Change to 017MM, 131MM	
Data Codes	017MM and 131MM to include amended or additional reason codes:	
	Meter Point Status Reason Code	<b>Description amended:</b> - D01 De-energise (Supplier Request, not NPA related)  <b>New:</b> - D04 De-energise (Service Removal) - D06 De-energise (Customer Request)
	Work Type Code	<b>Description amended:</b> - W101 De-energise (Supplier Request, not NPA related)  <b>New:</b> - W104 De-energise (Service Removal) - W105 De-energise (Customer Request)
	PSR & SSR Validation Rules	Rules for de-energisation for D02 will also apply now to D01
Meter Configuration Codes (MCCs)	MCC agnostic	
Briefing Documents	<ul style="list-style-type: none"> <li>○ Retail Market Participant Extranet Website</li> <li>○ Downloadable Meter Point Files Guide</li> <li>○ MPRN Enquiry Webservice Guide</li> </ul>	

Table 7 – Change summary of MCR1189

*MCR Background:*

The existing procedure has safety issues. If the present procedure is not followed correctly, it can result in ESB Networks having significant amount of manual intervention to guarantee that de-energisation together with removal of the electrical service and cable feeding the premises are detected and separated from the usual schedule.

**Proposed Solution:**

The proposed solution is to add additional codes to the Meter Point Status Reason field in the 017MM. This will allow additional reasons to select a de-energisation depending on the specific scenario for all metered point sites. It will include two additional reason codes, (D04, D06) and a description amendment to D01. The 131MM will also receive corresponding Work Type Codes, it will include an amendment to W101 and two new additional corresponding codes, (W104 & W105).

**The scope of the change - impact summary definition:**

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

Table 8 – Impact summary of MCR1189

Whilst the above outlines the changes being implemented by this MCR, the Assurance approach is documented in section 4. of the document.



### 3.3.2. MCR1193 v6.0 (31/02/2022) - New 603MM Daily Summary Transaction Details

[MCR1193 - LINK](#)

**MCR change summary:**

Area	Detail	
Market Process Diagrams (MPDs)	No change	
Market Message Implementation Guide (MMG)	Change to Market Gateway Activity	
Market Message (MM)	603MM (new message)	
Market Schema Guide	New 603MM containing the following Message fields:	
	Message Count	For each message type (similar to the 602MM)
	Transaction Reference Number	For each message type contained in the overall 602MM count
Data Definitions	New: Multiple Identifier Number <sup>2</sup>	To identify the number of 603MMs sent within a time period

Table 9 – Change summary of MCR1193

**MCR Background:**

When there is a discrepancy in the 602MM reconciliation process, identifying the missing message(s) can be difficult. Currently the 602 MM only provides the type and count of messages sent/received in a 24 hour period.

**Proposed Solution:**

The solution is the introduction of a new market message, a 603MM Daily Summary Transaction Details, providing the information outlined in the schema change table above.

**The scope of the change - impact summary definition:**

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

Table 10 – Impact summary of MCR1193

Whilst the MCR Scope of change for a change to Design Documentation has been left blank, the Assurance Body believe that there will be an impact in this area in addition to the other

<sup>2</sup> Where there are very large market message volumes multiple 603MMs for the same time period will be sent (to assist with message processing). When this occurs, the multiple identifier field will identify the number of 603MMs sent for the particular time period i.e., 1 of 2, 2 of 2 etc.

areas indicated above being implemented by this MCR, the Assurance approach is documented in section 4. of the document.

### 3.3.3. MCR1208 v2.0 (28/10/2020) - Smart Metering Default Data Day/Night/Peak/Bi-Monthly Reads

[MCR1208 - LINK](#)

*MCR change summary:*

Area	Detail	
MPDs	No change	
Market Message Guide	No change	
Market Schema Guide	No change	
Market Message	No change	
MCC (s) affected	Half Hourly (HH)	'To be confirmed at a future date'

Table 11 – Change summary of MCR1208

**MCR Background:**

In relation to the National Smart Metering Programme, the CRU seeks to extend the default level of data granularity for all smart meter users to include bimonthly day/night/peak register readings. The goal is to supply providers with more detailed information so that they may offer Time-of-Use rates to their consumers based on day/night/peak registers rather than 24hr registers. The request would only impact smart meter data flows, the decision to switch to a Time-of-Use tariff would remain with the customer.

**Proposed Solution:**

The MCR is considered an interim solution, there were two options presented during the DR phase. The preference selected via IGG was for option 2, SST data is processed through a non-market "data repository," necessitating several adjustments throughout the AMI (meter firmware, HES, and MDMS), as well as development of the data repository and data access protocols.

**The scope of the change - impact definition summary:**

Design Documentation	Business Process	DSO System Change	MP System Change	Tibco Change	Supplier EMMA	Schema	Webforms	Webservice	Extranet Market Website
X	TBC <sup>3</sup>	TBC <sup>3</sup>	TBC <sup>3</sup>						

Table 12 – Impact summary of MCR1208

Whilst the MCR Scope of change section other than Design Documentation has been left blank, the Assurance Body view that there is an impact in the areas presently indicated TBC

<sup>3</sup> Scope of change dependent on the CRU Smart Data Access Code consultation outputs

(To Be Confirmed) being implemented by this MCR, the Assurance approach is documented in section 4. of the document.

### 3.3.4. MCR1209 v6.0 (22/06/2022) - Annual Consumption for HH Sites

[MCR1209 - LINK](#)

*MCR Summary change:*

Area of change	Detail	
Market Process Diagrams (MPDs)	No change to market processes	
Market Message Implementation Guide (MMIG)	Change to Meter Registration MMIG	
Market Schema Guide	Yes	Change to Market Messages and Data Definitions
Data Definitions	New Data Item Non Mandatory	'EstimatedAnnualConsumption' Field to be provided in all HH MCC 105MM
Market Messages (MM)	105MM	
MCC (s) affected	Half Hourly (HH)	'To be confirmed at a future date'

Table 13– Change summary of MCR1209

#### *MCR Summary Background:*

In relation to HH Change of Supplier completions (defined by MCC), a new field will be added to the 105MM. This field will provide the Estimated Annual Consumption.

#### *Estimated Annual Consumption calculation rules:*

- The Central Market System will calculate the consumption at the MPRN up to the previous 365 calendar days prior to CoS Effective Date minus 1; or
- Where the consumption history at the MPRN does not cover a full year the Central Market system will calculate a daily consumption based on what is available and will extrapolate an estimated consumption for the MPRN for 365 days.

#### *The scope of the change - impact summary definition:*

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

Table 14 – Impact summary of MCR1209

Whilst the above outlines the changes being implemented by this MCR, the Assurance approach is documented in section 4. of the document.

## 4. ASSURANCE APPROACH

### 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.

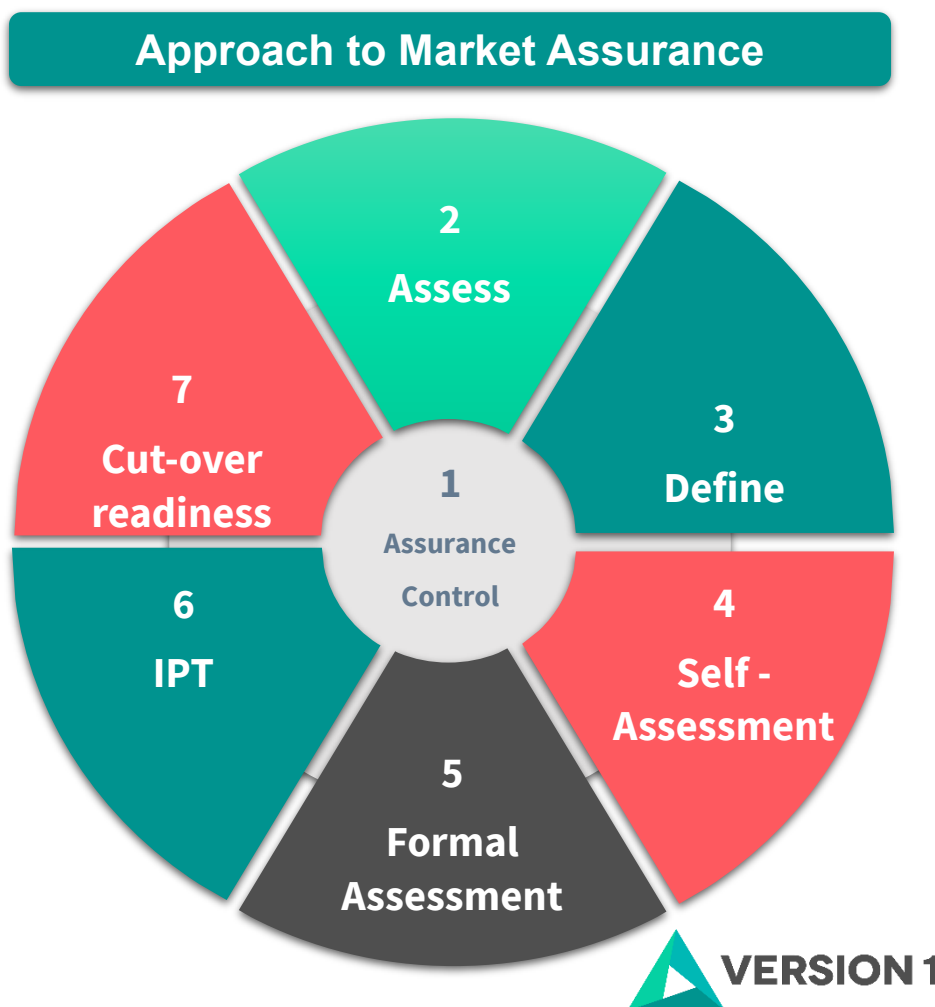


Figure 1 - Outline approach to Market Assurance

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.

The Assurance Body undertook a thorough assessment contained within the v14.00.00 Market Release Impact Assessment.

- 3) **Define** – defining our Assurance approach to the V14.00.00 Market Release 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.
- For v14.00.00 Market Release those Suppliers opting to enter the Smart Pay As You Go market will also be required to facilitate a short formal assessment. The formal assessment for SPAYG will focus on the earlier and later stages of the process as outlined in section 4.4. This is to ensure that subsequent to the Self-Assessment stage the core requirements of the individual project plans can be comprehensively covered from an Assurance perspective.
- 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 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.

For further detail on the phases and techniques that will be used for the Smart PAYG end to end testing please refer to the Smart PAYG Assurance Coverage document.

## 4.2. Specific approach for the V14.00.00 Market Release

Section 4.1 outlines the high-level overview of our approach; in the following table we outline the key assurance steps we will take for each of these MCRs;

	Control	Assess	Define	Self-Assessment	Formal Assessment	IPT	Cut Over
Overall	Yes	Yes	Yes	-	-	-	-
	ESB Networks (DSO)			Yes	Yes	Yes	Yes
	Eirgrid (TSO)			Yes	No	No	Yes
	Market Participant (Large)			Yes	If required <sup>4</sup>	Yes	Yes
	Market Participant (Small)			Yes	No	Yes	Yes
	Market Participant providing SPAYG services <sup>5</sup>			Yes	Yes	Yes	Yes

Table 15 - Summary of assurance activities performed for V14.00.00

## 4.3. The Assurance practices used by MCR

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

MCR	MCR Ver	Description	Self-Assessment	Formal Assessment		IPT
				MPs	ESBN	
<b>SPAYG MCRs</b>						
1216	5.0	Smart Metering Remote Operations	Yes	Yes	Yes	Yes
1219	4.0	SPAYG System and Process Changes necessary to Deliver Policy	Yes	Yes	Yes	Yes
1221	1.1	Contingency Process for Failures in SPAYG Technology Chain	Yes	Yes	Yes	No
<b>Non SPAYG MCRs</b>						
1189	5.0	Additional Flag in the 017MM to select a De-energisation with a Service Removal	Yes	No	Yes	Yes
1193	6.0	New 603MM Daily Summary Transaction Details	Yes	No	Yes	Yes
1208	2.0	Smart Metering Default Data Day/Night/Peak/Bi-Monthly Reads	Yes	No	Yes	No
1209	6.0	Annual Consumption for HH Sites	Yes	No	Yes	Yes

<sup>4</sup> A Formal Assessment will be required for those Participants who have selected to be SPAYG compliant. An assessment could also 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.

<sup>5</sup> > 20k customers is presently the regulatory threshold for suppliers being required to provide SPAYG services. During Self-Assessment Suppliers will be asked to confirm SPAYG intentions.

Table 16 - Summary of assurance activities by MCR

**4.4. Self-Assessment**

The Assurance Body will pose a series of questions to Eirgrid (TSO), ESB Networks (DSO) and Market Participant Suppliers. Three assessments will therefore be prepared and tailored against the relevant project impacts. Whilst three documents will be prepared, the structure is similar in terms of high-level areas probed and follows a similar path to a maturity assessment. Version 1 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 Section Appendix 2 – Risk approach. 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. Section Appendix 3 – MP Self-Assessment Questionnaire. 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**

Formal Assessment will be required as part of the V14.00.00 Market Release. The Assurance Body will undertake a review of all MCRs (per table 16) for ESBN and for Suppliers that have confirmed they intend to provide SPAYG services during the Self-Assessment stage. The assessment will consist of a formal review of the Suppliers processes, systems and records within the areas in table 17 below.

In addition to a formal assessment for ESBN and Suppliers providing SPAYG services, the Assurance Body will also use the outcomes from the Self-Assessment stage, where necessary to probe deeper with a specific focus on those areas where we believe there is potentially 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 main areas which Version 1 will 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 V14.00.00 Retail Market Release 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 17 - Summary of Formal Assessment areas of focus

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 upon cut over the changes being introduced by the V14.00.00 Market Release will operate as expected in a simulated live environment and will not adversely affect the Retail Market. The process is seeking to get as close to a live environment as is reasonably possible and to provide Market Participants with the opportunity to conduct testing of their system changes in regards Market process and schema changes, as a final step before progressing to production. Market Participants will need to ensure that they have made the necessary updates and validation to their processes and systems to ensure that the changes introduced have been successfully implemented.

Section 4.6.3 details the expected range of scenarios that will be tested for the V14.00.00 Market Release. The Scenarios will be developed by the Assurance Body and provided to all Market Participant Suppliers and ESB Networks via the IPT workbook that will be developed in line with the Timeline contained in section 5 below.

##### 4.6.1. IPT Test Population

V14.00.00 Market Release is considered a major release. Therefore IPT will be mandatory for all Suppliers (within the Large and Small Supplier categories), ESB Networks and the TSO (where required).

##### 4.6.2. IPT criteria for entry

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

- An available test environment is available for 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 ESNB 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.

### 4.6.3. IPT Test Scenarios

The scope below is the high level expected IPT coverage based on the available MCR versions at the time of presentation. The IPT workbook will detail the specific scenarios when the final MCR versions are available, in line with the IPT Plan.

MCR	IPT Scenarios to be tested	Market Sector coverage	Expected outcome
<b>SPAYG</b>			
1216	De-Energisation (MPD 09)	All	Evidence of the MPRN being in the correct energisation status on suppliers' systems and ESN systems in advance of the 017MM being submitted.
1219	Re-Energisation (MPD10)		The Remote Switch capability is operating per market design and market processes (incorporating the updated validation rules, data codes for the 017MM & 117R MM) in the following scenario's:
	De-Registration (MPD21)		<ul style="list-style-type: none"> <li>• PAYG (D05/E05)</li> <li>• Non-NPA scenario's (D01/E01)</li> <li>• NPA De-Energisation (D02) requests, whilst the enablement of this feature is to be decided, the functionality will be part of IPT testing.</li> </ul>
	CoS (MPD1 & 2) incl objections and cancellations (MPD3)		The new and amended Meter Point Status/Reason Codes, Work Type Code and Reject Reason code are operating in line with the MMIGs, Market Design and processes.
	New Connections (MPD5 & 6)		The updated processes for the 106D and 106E MMs will form part of the testing scenarios.
	Change to Customer Details (MPD24)		Scenarios' will be included to test the 300 series market messages impacted by the design and process changes.
	Change of Legal Entity (MPD25)		
<b>Non SPAYG</b>			
1189	De-Energisation (MPD 09)	All	In relation to the 017MM (Meter Point Status Change Request Market Message): the additional Meter Point Status Reason Codes can be selected and issued, operate according to the market design and the revised process scenarios are understood.
	Re-Energisation (MPD10)		<p>In relation to the 131MM (Work Status Market Message): the updated Work Type codes are generated according to the market design and the related process steps.</p> <p>Where subsequent Re-Energisation</p> <p>The new Meter Point Status Reason and Work Type codes do not create any impact on the existing De-Energise and/or Re-Energise process steps.</p>

<b>1193</b>	Receipt of Daily Transaction Summary message	All	The new 603MM XML is produced in line with design and aligns to the existing 602MM XML file.  File can be received and processed by suppliers and reconciled back to the 602MM.
<b>1209</b>	Change of Supplier (MPD 01)	Half Hourly MCCs	New Data Item 'Estimated Annual Consumption' is correctly generated for the appropriate meter type CoS Confirmation market message (105MM).  Suppliers can process the new data item (if required) and the new data item does not create any impact to the existing CoS message processing.
<b>1208</b>	Not covered by IPT: no process or schema impact. To be covered within Self-Assessment and Formal Assessment stages.		

Table 18 - Areas for IPT test scenarios

#### 4.6.4. IPT Evidence required – exit criteria

In order that the IPT phase has been completed, the Assurance body will require the review and satisfaction with:

- Confirmation from MPs and ESB Networks that all tests have been undertaken and completed successfully;
- Each IPT test will require evidence to be provided by MPs and ESB Networks (as detailed below), that will be reviewed by the Assurance Body to ascertain whether the output is deemed to be satisfactory;
- There are no defects raised during IPT that remain open and considered material;
- All suppliers and ESB Networks have completed the IPT declaration.

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. In addition (for SPAYG IPT) screenshot evidence will be provided by ESB Networks of a Business Service Request (BSR) issued from the Central Market System to the Meter Data Management (MDM) system that manages communication with the remote meters. 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 V14.00.00 Market Release deployment perspective.

#### 4.6.5. IPT Timeline

IPT is scheduled to occur between 9 and 27 September 2024. The IPT test window extends until the 18 October 2024, that can be utilised only if necessary.

## 5. ASSURANCE TIMELINE

The following outlines our proposed Assurance timeline for the V14.00.00 Market Release. 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. Timelines may be adjusted to reflect subsequent changes approved via IGG.

Key stage	Date
Assurance approach approved by CRU	18 April 2023
Assurance approach approved by IGG	26 April 2023
Market Participant Self-Assessment Questionnaire released	4 March 2024
Market Participant Self-Assessment Questionnaire response	22 March 2024
Self-Assessment Findings Report issued to CRU	12 April 2024
Anonymised Self-Assessment Findings Report issued	24 April 2024
RMDS Issues IPT plan	10 May 2024
Supplier Formal Assessments performed	13 May – 7 June 2024
Supplier Formal Assessment Finding report issued to CRU	14 June 2024
ESB Networks Formal Assessment performed	17 June – 5 July 2024
ESB Networks Formal Assessment Finding report issued to CRU	12 July 2024
Inter-Participant Testing Preparation	12 July – 23 August 2024
Supplier MPRN data prep and connectivity testing	26 August – 6 September 2024
Inter-Participant Testing (IPT) Execution phase	9 September – 18 October 2024
IPT Findings Report issued to CRU	23 October 2024
Final Assurance Assessment Outcome Report issued to CRU	25 October 2024
CRU go/no-go decision	5 November 2024
Cut over	8 November 2024
Go-Live	11 November 2024

Table 19 - Assurance Approach 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 IGG CRU	<ul style="list-style-type: none"> <li>Weekly progress reports.</li> <li>Key milestone output reports for review.</li> <li>Monthly progress updates.</li> <li>Monthly progress and ad hoc where required.</li> </ul>
2 & 3	Assess & Define	RMDS CRU and then IGG	<ul style="list-style-type: none"> <li>Assurance Approach for review.</li> <li>Assurance Approach for approval.</li> </ul>
4	Market Participant Self-Assessment	RMDS CRU Market Participants (Suppliers)	<ul style="list-style-type: none"> <li>Market Participant Self-Assessment findings report for review.</li> <li>Market Participant Self-Assessment findings report for approval.</li> <li>Anonymised Market Participant Self-Assessment findings report for information.</li> </ul>
5	Formal Assessment	RMDS CRU Selected Market Participant Supplier	<ul style="list-style-type: none"> <li>Formal Assessment findings report for review.</li> <li>Formal Assessment findings report for approval.</li> <li>Formal Assessment findings report for information.</li> </ul>
6	IPT	RMDS CRU Market Participants	<ul style="list-style-type: none"> <li>IPT workplan/workbook for review.</li> <li>IPT findings report for review.</li> <li>IPT findings report for approval.</li> <li>IPT workbook.</li> </ul>
7	Cut over	Market Participants (Suppliers) RMDS CRU	<ul style="list-style-type: none"> <li>Cut-Over Self Declaration template for completion and return.</li> <li>Final Assurance Outcome report for review.</li> <li>Final Assurance Outcome report for approval.</li> </ul>

Table 20 - 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 ESNB	MP's (Suppliers)
1	Weekly Assurance progress reports	D	R	-	-	-
	Monthly progress updates	D	R	R	I	I
2&3	V14.00.00 SMR - 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	D	R	A	-	-
	Formal assessment findings report					
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 21 - RACI matrix aligned against documentation deliverables

## 7. APPENDICES

### 7.1. Appendix 1 – Glossary

The glossary used within this document can be found on the RMDS website here: [Glossary of Terms | RMDS \(rmdservice.com\)](https://www.rmddata.com/portal/assessments/glossary)

### 7.2. Appendix 2 – Risk approach

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;

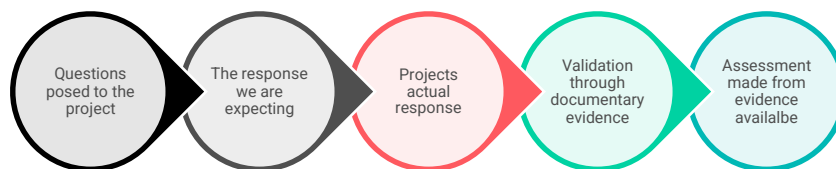


Figure 2 – Five Stage Formal Assessment Assurance Process.

- 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.

<b>Impact</b>						
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
		<b>Risk</b>				

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 V14.00.00 SMR, 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; <ul style="list-style-type: none"> <li>• A defined project governance approach e.g. (PID) established, RAID log, approval approach etc.</li> <li>• Project plan in line with key market timelines.</li> <li>• Project KPI mechanisms to understand progress.</li> </ul>
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 V14.00.00 SMR 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 V14.00.00 SMR. 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; <ul style="list-style-type: none"> <li>• A clear test strategy</li> <li>• A strong test management framework</li> <li>• Robust coverage of testing</li> <li>• Clear exit criteria</li> <li>• Strong path for defect resolution</li> </ul>
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 22 23 - Market Participant Self-Assessment Questionnaire





**Thank you**

**Contact:**

w: [version1.com](http://version1.com)

e: [info@version1.com](mailto:info@version1.com)