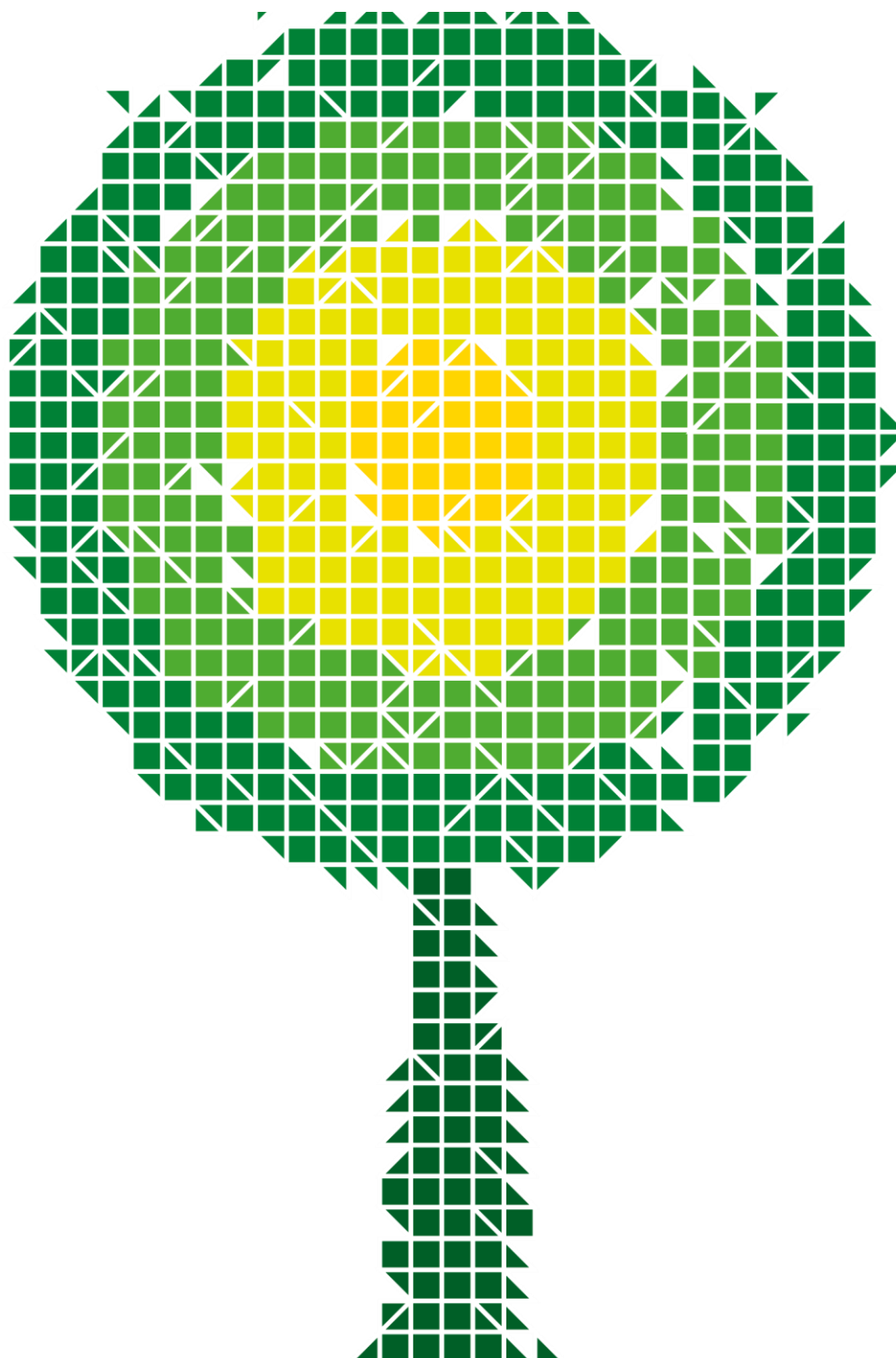


Non-Schema Market Design Release Assurance Approach

12 May 2015

Version 1

Final



Gemserve



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1. INTRODUCTION

These next sections detail the processes that we will undertake to deliver the assurance services to the Retail Market Design Service (RMDS).

The stages for Market Entry Assurance are clearly set out in the Assurance Strategy and the Market Entry sections of the Assurance Process document.

The principles set out within the [Assurance Strategy](#) are embodied in the detailed processes that are found in the [Assurance Process](#) document.

Gemserv will apply the processes as documented within the strategy and the more detailed process document using our local working instructions (aligned with the processes), having in mind risk, proportionality and scope, as such we will ensure that the assurance we provide will:

- Provide transparency,
- Prove independence,
- Foster coherence and consistency,
- Is low burden, and
- Inspires trust and reliability.

The approach to assurance is tailored to the specific requirements of each of the Market Change Requests (MCR) for each of the Market Design Releases (MDR).

The Commission for Energy Regulation (CER) has approved the introduction of a MDR comprising of two non-Schema impacting changes MCR's [1151](#) and [1136](#). The changes are planned for cut over in November 2015. These changes apply to the Republic of Ireland (RoI) Retail Electricity Market and co-ordination with the Northern Ireland Market is not expected.

In order for the CER to have confidence that all Market Participants (MPs) are properly prepared for cut-over and that the changes implemented do not pose any risk to the operations of the existing MP systems or the wider retail market, it (and the Industry Governance Group (IGG)) requires an Assurance Plan, forming part of the Assurance Strategy. This document describes that strategy and provides a plan to deliver assurance.

To provide assurance for these changes, Gemserv will:

- Engage the RMDS and Industry,
- Understand fully the implementation implications of the Market Design Changes,
- Provide an assurance plan aligned with the market design timescales,
- Produce the necessary supporting documents, specific to the proposed Market Design Changes,
- Deliver the assurance activities across all MPs adhering to the principles set out in the assurance strategy,
- Ensure all MPs are kept informed of events that may affect their project or the change project as a whole, and



- Conduct post implementation reviews appropriately to obtain firstly on the effectiveness of the implementation and secondly to gain feedback on the strengths and weaknesses of the approach.

1.1 MARKET CHANGE REQUESTS

MCR 1136 - 131MM TO BE ADDED TO THE MESSAGES TAB ON THE EXTRANET

The changes required to add 131 MM to the Messages Tab on the Retail Market Participant (RMP) Extranet are not significantly complex.

The 131 MM Work Status will be made available on the Messages Tab on the RMP Extranet Website. The 131 MM will be displayed when either the 'ALL' check box or the 'Meter Works' checkbox are selected.

The Risk associated with MCR 1136 is Low. Failure to implement this change will not affect a Supplier and ESBN's ability to operate in the market in adherence to the market design.

MCR 1151 – ADD THE METER MULTIPLIER AND METER CATEGORY CODE VALUE FOR EACH RELEVANT MPRN TO THE COM_REG AND DOM_REG FILES AVAILABLE ON THE SECURE FILE TRANSFER SYSTEM (SFTS)

The changes required to the COM_REG and DOM_REG files are not significantly complex. The COM_REG and DOM_REG files available on the SFTS do not contain the Meter Multiplier or the Meter Category across both files. The data is used by some Suppliers for validating data between ESBN and their own systems. There will be changes to the Design Documentation, Business Processes and the DSO System.

The Risk associated with MCR 1151 is Low. Failure to implement this change will not affect a Supplier and ESB Networks' (ESBN's) ability to operate in the market in adherence to the market design.

1.2 ASSURANCE APPROACH, RISK ASSESSMENT & PLAN

As stated, Gemserv tailors the assurance approach to the specific requirements of the MDR. We do this by assessing the risk to the effectiveness, efficiency and quality of the Retail Market Design data and operability. We use a risk assessment to do so (specific to each MCR). We have categorised the risk to the market for both MCRs included in the MDR as low¹.

	Impact	Probability	Significance	Risk Category
MDR Non-Schema 2015 Delivery Risk	(1 low – 5 High)	(1 low – 5 High)		

¹ Low = Significance of 1 - 8

Medium = Significance of 9 – 6

High = Significance of 17- 25



The risk that ESNB fails to implement the changes successfully and completely resulting in ESNB being unable to operate the central systems in accordance with the market design.	1	1	1	Low
The risk that Suppliers fail to implement the changes successfully and completely resulting in being unable to interoperate in the market.	1	1	1	Low
The risk that Suppliers fail to implement the changes successfully and completely resulting in Suppliers using incorrect and / or inaccurate data.	3	1	3	Low

1.2.1 ASSURANCE SCOPE

The table below summaries the remit of the assurance scope for both MCR1151 and MCR1136.

	MCR1151	MCR1136
In Scope	Rol Suppliers ESNB COM_REG files DOM_REG files	Rol ESNB RMP Extranet
Out of Scope	COM_CUST files DOM_CUST files	Suppliers

1.2.2 ASSURANCE TECHNIQUES

AVAILABLE ASSURANCE TECHNIQUES

We use the risk assessment, combined with the details of the MCRs to develop the assurance approach. Based on this risk assessment we select the following assurance techniques as necessary, appropriate and in line with the approved assurance approach.

Self-Assessment

Participants are required to complete a targeted questionnaire and where required, supply supporting evidence. These questionnaires generally ask about business processes, management processes and internal test strategies and plans for the specific changes.

We use the data from these questionnaires to assess the level of readiness to implement the changes coupled with the opportunity to further tailor assurance, dependant on an updated risk assessment for each participant.



Formal Assessment

Participants are required to provide the Assurance Body with access to the appropriate systems and documentation, records and staff.

We use this access to verify the readiness to effect the specific changes. These assessments can include techniques such as records review, witnessing and sampling as well as interview.

Inter Participant Testing

Participants are required to carry out a number of prescribed scenarios which have been defined for the MDR.

This allows us to verify the end to end process is effective and that parties can interoperate in line with the market design and requirements.

SELECTED ASSURANCE TECHNIQUES MATRIX

The type of assurance techniques applicable to the different types of MP for this MDR are as follows.

PARTICIPANT TYPE	ESB NETWORKS	SUPPLIER – LARGE	SUPPLIER – SMALL	SUPPLIER – SELF	TSO
Self-Assessment	MCR1136 MCR1151	MCR1151	MCR1151	N/A	N/A
Formal Assessment	MCR1136 MCR1151	MCR1151	MCR1151 Volunteers Only	N/A	N/A
IPT	N/A	N/A	N/A	N/A	N/A

1.2.3 ASSURANCE PLAN

SELF ASSESSMENT

MCR 1136 and MCR 1151

In this stage, MPs will be provided with a questionnaire that elicits their awareness of the changes and details of their approach to readiness for the MDR.

Where applicable, to support their answers the MP will also be expected to provide evidence that demonstrates their approach. For example, this may include their test strategy, scripts and results coupled with the amended and / or supporting business and change management processes.

The questionnaire and supporting evidence will be provided to RMDS who will forward them to Gemserv to be assessed off site. Any necessary clarifications will be sought by email or phone. When we are satisfied



that the responses are adequate, the MP and RMDS will be informed and the participant can then move on to the next stage of the assurance process.

The non-Schema questionnaire is to remain separate from all other questionnaires which will be issued in relation to the TIBCO/Schema release. It is important for the non-Schema release to be identified as a discreet, separately evaluated deliverable.

FORMAL ASSESSMENT

Formal assessments are used to assess and verify the design and implementation of the changes in any MDR. Any identified deficiencies for the formal assessments will be raised with the MP, who is then expected to take the necessary remedial actions and provide evidence of such to Gemserv.

Once we are satisfied with the evidence we will inform the RMDS and the MP and the participant can then move on to the next stage of the assurance process.

MCR 1136

Site visits will be performed to the MPs offices to undertake witnessing and / or sampling assurance techniques (ESB Networks offices).

During the site visit the design, implementation and testing of the MDR will be verified by inspection of the supporting documentation; test strategy, test scripts and results. An assessment will also be made of the MPs change processes / project to develop and implement the changes under the MDR.

ESBN will be asked to provide the updated files to the Assurance Body and the Suppliers, who will be asked to verify that the requirements of the MCR have been met.

For MCR 1151

Site visits will be performed to the MPs offices to undertake witnessing and / or sampling assurance techniques (ESB Networks offices). This is to be verified during the site visit by inspection of the supporting documentation; test strategy, test scripts and results.

A key aspect of the assessment is ESBN providing evidence that the COM_REG and DOM_REG files not only reflect the additional Meter Multiplier or the Meter Category code values but that these additional values don't affect the existing data in these files and data in COM_CUST and DOM_CUST files.

All MPs that use automation to process the COM_REG and DOM_REG data files should provide full evidence for review of the design, implementation and testing of the MDR. An assessment will also be made of the MPs change processes / project to develop and implement the changes under the MDR.

Any other (non automated systems) MPs (Suppliers) that choose to, can volunteer to take part in this section of the Assurance process, where we are able to accommodate we will do (resources allowing).



INTER PARTICIPANT TESTING

IPT will NOT be required for this non-Schema MDR.

MCR1136: The MCR does not impact the interoperability of the market and its infrastructure.

MCR1151: The MCR does not impact the interoperability of the market and its infrastructure.

1.3 KEY ASSURANCE DATES

ASSURANCE MILESTONE	MCR1136	MCR1151
Participant Questionnaire issued	21 August 2015	21 August 2015
Participant Questionnaire returned	11 September 2015	11 September 2015
Site Visit to ESB Networks	During 12 September - 2 October 2015	During 12 September - 2 October 2015
Inter-Participant Testing window (not applicable)	N/A	N/A
Gemserv's Assurance Report to CER	16 October 2015	16 October 2015
CER Go/No-go decision	30 October 2015	30 October 2015
Cut over	20 - 22 November 2015	20 - 22 November 2015



2. APPENDIX A – PRODUCTS AND TOOLKITS

The products that we have available to use are:

- **Participant Questionnaires** – to elicit specific information about readiness to implement changes from Market Participants and anticipated methods of delivery and success of implementation
- **Requirements Traceability Matrices** – to provide line of sight between market design requirements and testing delivery
Establishes a way to make sure we place checks on the correct aspect of the implementation of the MDR
Creates a snap shot to identify coverage gaps
- **Compliance and Coverage Matrix** – to show the level of compliance against the requirements
- **Checklists** – to provide consistency in approach and documented audit
- **Defined IPT Scenarios** – to provide testing to a specified requirement and in a consistent manner, as necessary
- **Evidence Recording Forms** – to provide auditability and proof of assessment
- **Risks & Issues Trackers & Logs** – to identify any risk or issues identified through our assessment
- **Findings/Outcome Reports** – A report delivering the outcome of the assurance assessments to be delivered to the CER

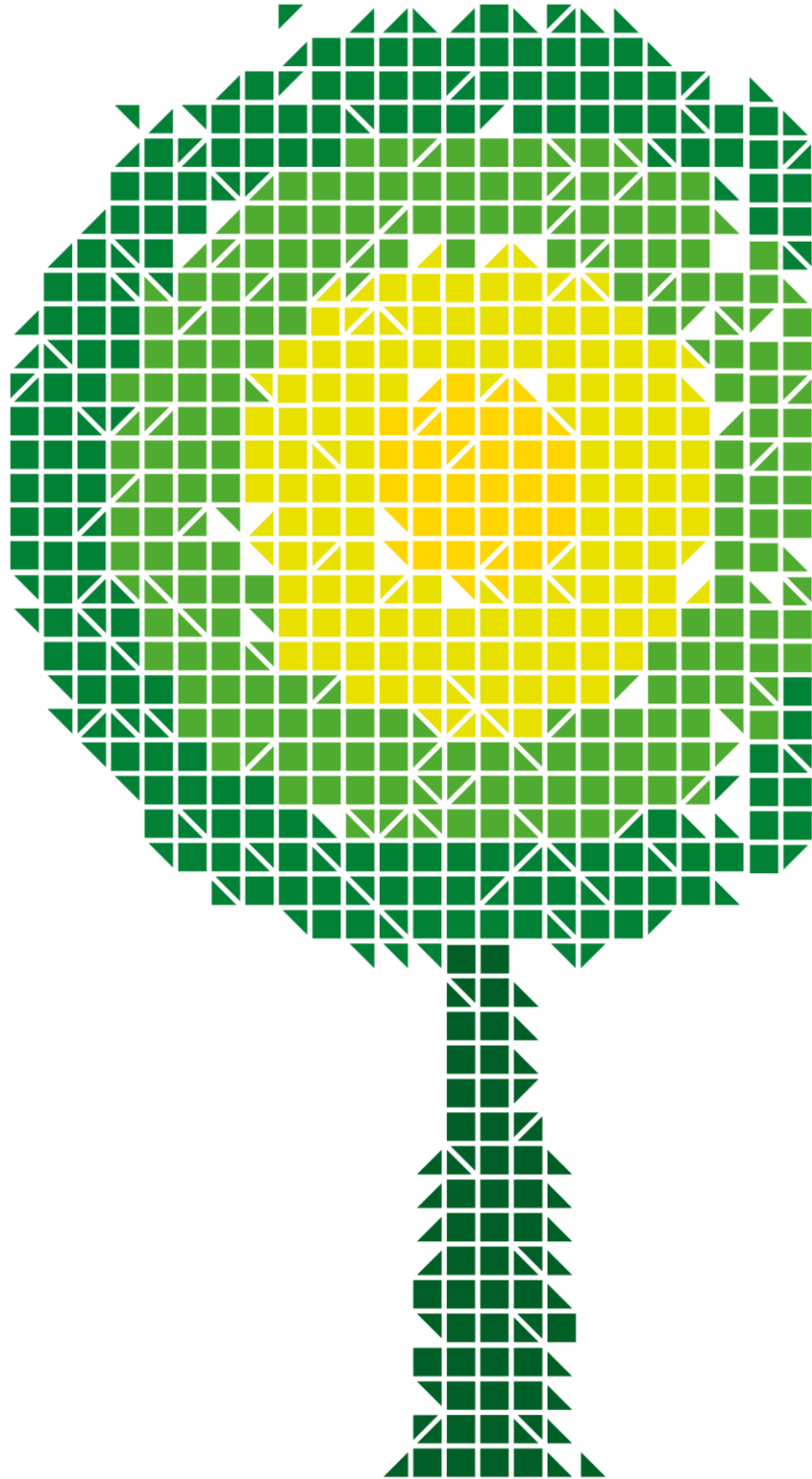


I Change History

VERSION	STATUS	ISSUE DATE	AUTHOR	COMMENTS
0.1	Draft created	15 April 2015	Elizabeth Montgomerie	
0.2	Draft for review	24 April 2015	Elizabeth Montgomerie	Updated to reflect comments from the RMDS
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0.4	Draft for review	8 May 2015	Nirav Vyas	Updated to reflect comments from the RMDS
0.5	Draft for review	11 May 2015	Nirav Vyas	Updated to reflect comments from the RMDS
0.6	Draft for review	11 May 2015	Nirav Vyas	Updated to reflect comments from the RMDS
1.0	Final	12 May 2015	Elizabeth Montgomerie, RMDS and IGG	
2.0	Final – for publication		Elizabeth Montgomerie	

II Document Controls

REVIEWER	ROLE	RESPONSIBILITY	DATE
Neil Grennan- Heaven & Nirav Vyas	Peer Review	Assurance Consultant	22 April 2015
Peter Varley	Technical Reviewer	RMDS Assurance Services Expert	
Jessica Gregory / Jim Mahony	Technical Reviewers	RMDS	
IGG	Approver	Industry Decision Makers	
CER	Approver	The Regulator	



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