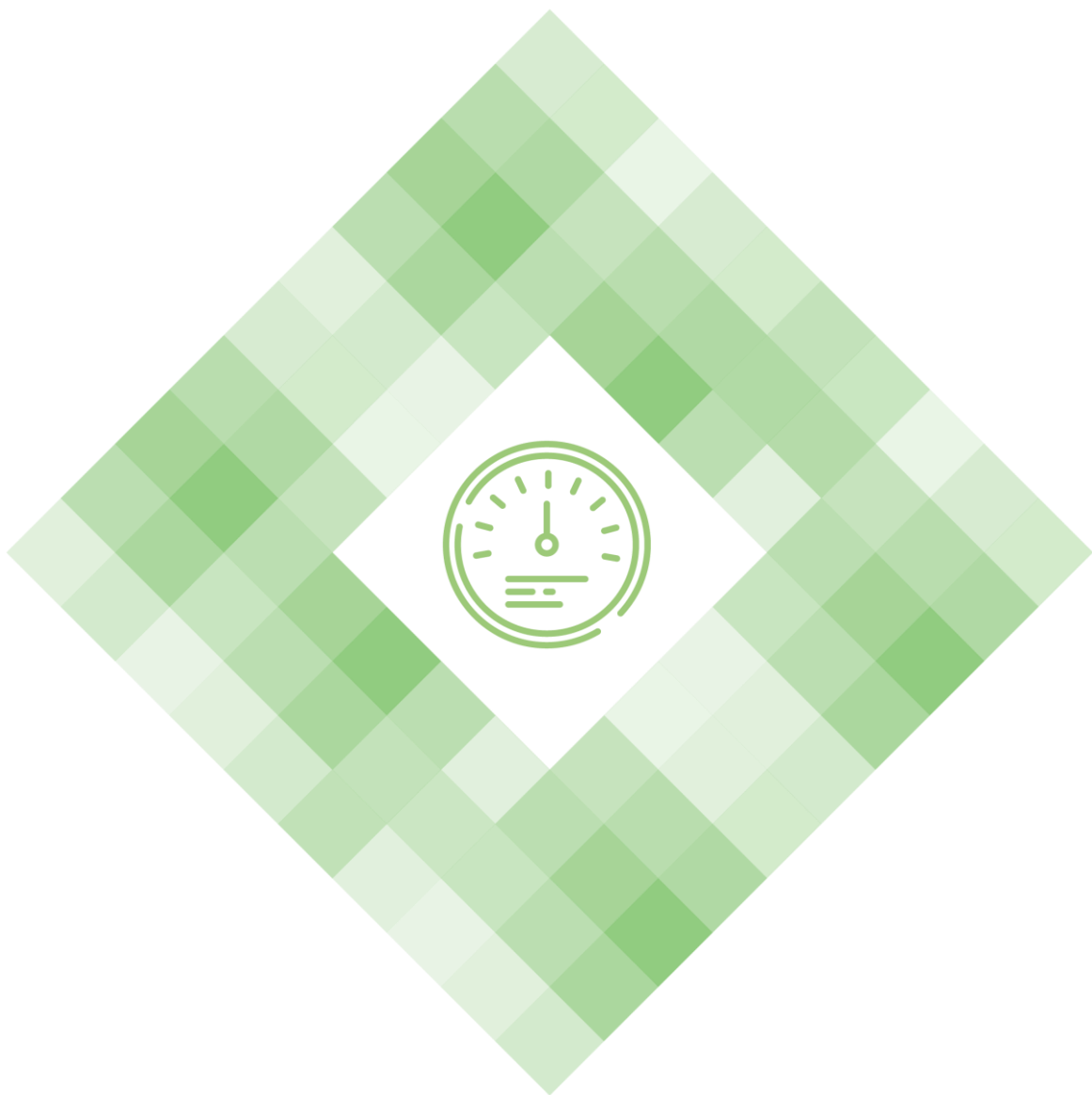


# System Separation Self-Assessment Outcome Report - Anonymised

29 June 2021

V1.0 Final

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





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## CHANGE HISTORY

Version	Status	Issue Date	Author	Comments
0.1	Draft	8 June 2021	Elizabeth Montgomerie	Initial Draft
0.2	Draft for Review	9 June 2021	Elizabeth Montgomerie	Updates post internal review
1.0	Final for Review	10 June 2021	Elizabeth Montgomerie	Final version post RMDS review
1.0	Approved	21 June 2021		Approved for use by CRU
1.0	Final – Anonymised	29 June 2021	Elizabeth Montgomerie	Public version for issue

## DOCUMENT CONTROLS

Reviewer	Role	Responsibility	Date
Sarah Fuller	Gemserv Contract Manager	Technical Reviewer	9 June 2021
Simon Fox-Mella	Gemserv Assurance Specialist	Quality Review	9 June 2021
Lindsay Sharpe			
Oonagh Delaney	RMDS	Reviewers	10 June 2021
Patrick Moran			
CRU	CRU	Approver	21 June 2021



# Introduction

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This Self-Assessment Outcome Report details the approach, delivery, outcomes, and next steps of the Self-Assessment Phase (one of the assurance stages) 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.

The strategy to deliver the assurance services for these changes was agreed by the CRU and the IGG in April 2021. It requires that Market Participants (MPs) undertake a Self-Assessment Phase consisting of the completion of a comprehensive participant questionnaire (PQ) with supporting evidence. This report details the outcomes of the Self-Assessment Phase.

The assurance strategy was prepared by Gemserv and approved by the IGG and the CRU. The Assurance Approach for System Separation can be found [here](#).

Gemserv provides these assurance services with the following considerations:

- having a rigorous approach to managing risk;
- the assurance regime is proportionate; and
- the scope of assurance activities is appropriate.

# The Self-Assessment Technique

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The Self-Assessment technique involves gathering information and performing a Risk Assessment. This is on the MPs' knowledge, understanding and progress to date on making the changes necessary in readiness for the implementation of the System Separation in October 2021.

MPs are required (as detailed in the Assurance Approach) to undertake the Self-Assessment technique to gauge awareness and readiness and to assess capability for implementation.

Gemserv provides a PQ to the DSO (ESBN), TSO (EirGrid) and all Small and Large Suppliers, collectively referred to as MPs. They are required to demonstrate the following via the PQ:

- ESBN must demonstrate its approach to delivering the changes and give significant consideration and provision of all appropriate supporting documents.
- The Suppliers and the TSO must demonstrate 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 is identified by Gemserv in the PQ itself, for all MPs.

## RISK

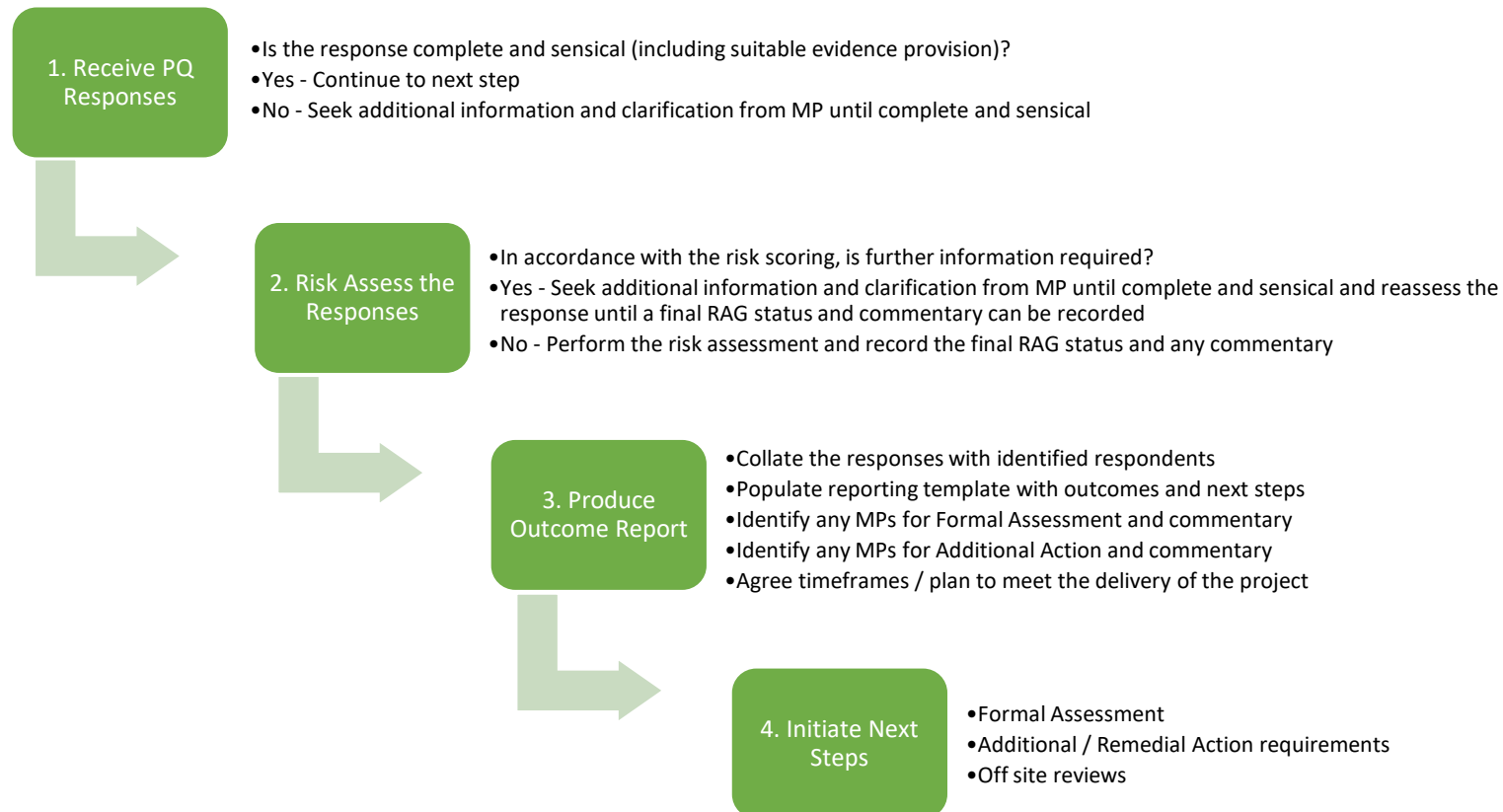
The completed PQs and all supporting evidence provided is passed to Gemserv via RMDS. Each individual PQ is then risk assessed using the process and methodology set out in the sections below. This is done against the Self-Assessment exit criteria detailed in this document, and the identified risk detailed.

***“The risk that Market Participants do not have the necessary arrangements, analysis, design and internal testing to enable safe deployment of the System Separation changes into live operation as planned, resulting in failure in operation and / or performance of the Retail Market.”***

Gemserv reviewed the PQ responses for completeness, then assessed the risk to the delivery of the changes and decided if any further assurance stages or additional actions were required for each MP. The outcomes are detailed in the Self-Assessment Results.



## RISK ASSESSMENT PROCESS





## RISK ASSESSMENT CRITERIA & MATRIX

### RED

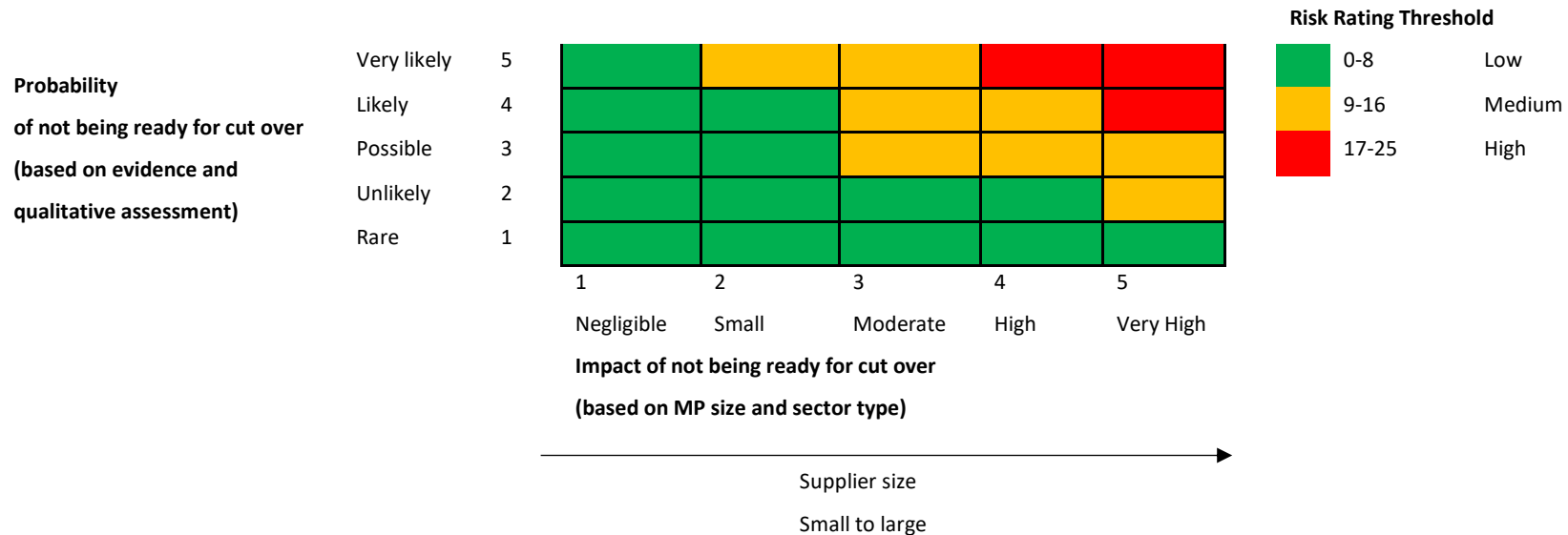
**Few criteria or no criteria met** with little or no evidence provided. Both probability of the risk occurring and the impact to the market being ready to go live is high. This outcome may require Formal Assessment or other Additional Action (to fulfil any shortfalls in meeting the criteria).

### AMBER

**Criteria mostly met.** Most evidence provided or planned to provide to the assurance body. The probability of the risk occurring is medium, reducing to low if the additional evidence is provided in line with the plan. The risk to the market being ready to go live is medium. This outcome could require other Additional Action (to fulfil any shortfalls in meeting the criteria).

### GREEN

**All criteria met,** evidence has been provided or there is a plan in place to deliver to the assurance body. The risk to the market is low and no further action is required.



## RISK ASSESSMENT METHODOLOGY

The Risk Assessment methodology assesses the understanding and awareness and readiness of MPs for go live, in line with the changes.

Upon receipt of the PQ responses, Gemserv performed the following actions:

- Reviewed all answers and assigned a number score (which is associated to a RAG status) to each question response, indicating its rating.
- Included commentary where scores are not GREEN.
- Assessed the overall rating for each section of questions.  
(Derive an average of the scores. If RED is present, then the section is classed as RED and requires additional clarification with the respondent.)
- Assessed the overall rating for the respondent based on the ratings per section.  
(Derive an average of the scores. If RED is present, then the section is classed as RED and requires additional clarification with the respondent.)
- Clarification was sought, as necessary, from the respondents and any re-assessment applied accordingly and commentary recorded.
- Produced a summary for each PQ response, including the RAG status and any commentary.

Gemserv ensured that all MPs were scored consistently by:

- Applying the methodology as agreed.
- Rationalising across all scoring outcomes according to the risk that each MP poses to the market.
- Normalising the scores, as required.

### Potential Outcomes from the PQ Risk Assessment

Where a MP's PQ response has been assessed as RED, and therefore a high risk to a) being ready to go live in line with the schedule and b) fulfilling the criteria required for the changes, a *Formal Assessment and/or Additional Action will be performed*.

Where a MP's PQ response has been assessed as AMBER, and therefore a medium risk to a) being ready to go live in line with the schedule and b) fulfilling the criteria required of the changes, the assurance body will request the MP performs *Additional Action(s)*. Any actions will depend on the individual assessments of the PQs and are detailed below.



## Formal Assessment

Formal Assessments involve site visits made to the MPs' offices to undertake witnessing, sampling assurance techniques or both. Due to the current pandemic, this will be remote with witnessing done through screen sharing of systems by the MPs.

At the site visit, the progress of the design, implementation and testing management of the changes will be verified by inspection of the supporting documentation, test strategy, test scripts and outcomes and other provided evidence. An assessment will also be made of the change processes, the project to develop and implement the changes or both.

The Assurance Body will raise any identified deficiencies with MPs as they arise. MPs are then expected to take the necessary remedial actions and provide evidence of such.

Gemserv will inform the MP and appropriate authorities once it is satisfied that the responses are adequate and the identified risk that led to Formal Assessment has been mitigated. The MP can then move on to the next stage of the assurance process.

## Additional Action

1. Further action is required to fulfil the acceptance criteria for Self-Assessment.

E.g. Gemserv may request that the MPs perform further or additional testing, to avoid reliance on any IPT (discovering issues at this late stage of the process could present delays to the delivery of the programme or the MPs readiness to go live).

Any Additional Action required will be fully specified by Gemserv and will be directed to be completed in a timescale agreed that mitigates the identified risk to the delivery of the changes and will also allow for reassessment.

2. Remedial action is required to correct identified issues/problems that have been identified through the Self-Assessment stage of assurance.

E.g., Gemserv may request that the MP perform remedial action to correct an identified issue in their testing preparations. Such an issue could be one or more internal tests failed and were not analysed. This may result in tests being re-run to confirm correction of problems and providing evidence of such.

A remedial action plan would be requested by the assurance body to ensure that the problems are

attended to and proven to be tested again with a successful outcome.

A remedial action plan would consist of, as a minimum:

- ◆ a specific description of the risk identified (problem);
- ◆ a specific description of the remedial action to mitigate the identified problem and risk (to be agreed between the assurance bodies and the MPs);
- ◆ timeframes for delivery of the remedial action (aligned to the delivery of the V13 changes Programme plan and agreed between the assurance bodies and MP); and
- ◆ named persons of authorised responsibility for the remedial action plan by the MP.

### Applying a RAG Status - Examples

The RAG status and associated scoring methodology is applied using qualitative and quantitative techniques:

- Qualitative based on if/what evidence was provided and its suitability versus the level of risk that a MP poses in its size/volume of registrations and potential impact on the marketplace.
- Quantitative based on meeting the Self-Assessment acceptance criteria.

To help explain how Gemserv did this, a few different examples of how the responses were assessed are shown here:

#### EXAMPLE 1:

Question	Response Guidance	Response	Commentary	Supporting Evidence Provided	Evidence required?	RAG
To what extent are you aware of the System Separation and the upgrade of TIBCO Components changes?	<b>Choose from:</b> No Awareness Somewhat Aware Fairly Aware Fully Aware	Fully Aware	Fully aware through attendance and engagement at all workshops held to date.	<i>Please see attached Summary</i>	Y	

This response has been scored GREEN, because the response fulfils the criteria and the evidence required was both provided and appropriate, all criteria met.

In this example:

- The MP is a Large Supplier.

- The impact to the market based on this response is considered low.
- Overall, the response receives a GREEN rating. This will require no further actions except to feedback to the Supplier on their assessment.

EXAMPLE 2:

Question	Response Guidance	Response	Supporting Evidence Provided	Evidence required?	RAG
Have you identified any risks and issues and if so, how do you plan (or are you currently undertaking actions) to mitigate these?	Free text	Risk register has been developed and included under standard PM procedures	See attached table of identified Risks	Y	GREEN

This response has been scored GREEN because the response fulfils the criteria and proves that the MP has been performing some planning activities. However, upon inspection of the supporting evidence provided, it becomes clear that the MP has not fully documented the risks and issues associated to the changes but has provided a full comprehensive risk register following best practice project management techniques.

In this example:

- The MP is a Small Supplier in the RoI market.
- The impact to the market based on this response is considered medium to low.
- The MP has undertaken some activities and has confirmed, after some clarifications, that it will continue to do more.
- So, the output is a GREEN because the MP is aware of what else it needs to do and has a plan in place to deliver it. This will require no further action except to feedback to the Supplier on their assessment.

EXAMPLE 3:

Question	Response Guidance	Response	Supporting Evidence Provided	Evidence required?	RAG
What changes do YOU need to make to support the system separation and any associated TIBCO components (inclusive of the EMMA)?	Free text	<u>NONE</u>	<i>Suggested Evidence: Plans, details of reporting</i>	Y	

This response has been scored RED because there has been no response to the question nor was any evidence provided, despite chasing and seeking clarifications from the MP, none has been forthcoming. Therefore, an assessment cannot be undertaken.

The default position where an assessment can't take place is RED, to reflect the worst-case scenario – should it need to be managed.

In this example:

- This MP is a large Supplier.
- The impact to the market based on this response is unknown, and as such is considered high.

EXAMPLE 4:

Question	Response Guidance	Response	Supporting Evidence Provided	Evidence required?	RAG
What progress have you made in preparation for the changes?	Free text	Minimal progress at present, though this is in line with our project plan to meet the required deadline successfully.	<u>NONE</u>	Y	

This response has been scored AMBER because the MP has not provided a satisfactory response. The response highlights a need for to be provided.

In this example:

- This MP is a large Supplier.
- The impact to the market based on this response is considered medium.
- However, as the MP recognises the need for further management, and the response infers this will be done, it has been assessed as an AMBER rating.

## SELF-ASSESSMENT EXIT CRITERIA

The table below describes the exit criteria for all MPs to have successfully completed the Self-Assessment Assurance Technique.

Assurance Technique & Timeline	Market Participant	Coverage	Exit criteria
Self-Assessment	ESBN	<b>Project Management:</b> <ul style="list-style-type: none"> <li>▪ Project governance</li> <li>▪ Implementation plans</li> <li>▪ Testing strategies</li> <li>▪ Risk management</li> <li>▪ Issue management</li> <li>▪ Authorisation procedures and sign off</li> <li>▪ Resourcing</li> </ul>	<b>Delivery of:</b> <ol style="list-style-type: none"> <li>1. Best practice project management methodology in delivering the changes</li> <li>2. Implementation plan, delivery timetable &amp; associated resourcing plan</li> <li>3. Testing strategy and plan               <ol style="list-style-type: none"> <li>a. Any testing outcomes already performed</li> <li>b. Any risk or issues arising</li> </ol> </li> <li>4. Risk &amp; Issue management process (including escalation route)</li> <li>5. Project authorisation process &amp; sign off procedures</li> </ol>
	Suppliers	<b>Awareness of the changes:</b> <ul style="list-style-type: none"> <li>▪ Planning &amp; Impact assessment</li> <li>▪ Planning &amp; Action</li> <li>▪ Project Management Methodology</li> </ul>	<b>Delivery of:</b> <ol style="list-style-type: none"> <li>1. Confirmation of understanding of the changes for System Separation</li> <li>2. Confirmation of readiness (or planned readiness) to implement the changes</li> <li>3. Actions taken (or to be taken) to cater for the changes</li> </ol>

## Timelines

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Task	Target	Actual
PQs issued to MPs	7 May 2021	7 May 2021
All PQs received by Gemserv for assessment	28 May 2021	28 May 2021
Gemserv issues Self-Assessment Report to CRU	14 June 2021	14 June 2021
Anonymised Self-Assessment Report issued to the Market	5 July 2021 <sup>1</sup>	29 June 2021

Gemserv is dependent on MPs providing the PQ responses in a timely manner to perform the risk assessments. There were no late responses.

Two MPs were not required to respond:

- One Supplier no longer operates in the RoI Retail Market.
- One Supplier is withdrawing from operating in the Retail Market.

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<sup>1</sup> depending on decision date and status by the CRU.

# Self-Assessment Results

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Overall, the findings from the responses and assessments show a varying degree of capability and readiness or expected readiness for implementation of the changes.

Through the responses we saw that the size of a company and volume of registrations correlated to the depth of and breadth of responses and documentation to support their readiness plans. This has been true of all PQ responses during a Self-Assessment Phase to date.

As always, we also experienced variation in the responses coming with supporting evidence. 14% of responses did not come with supporting evidence and as such were scored as having a higher level of risk than those who did not. The quality of evidence also varied of those responses that came with it. We saw that evidence from the larger MPs tended to be of higher quality and volume than the smaller MPs, which is to be expected considering resource, budget, and timing constraints of smaller MPs. Despite that, Gemserv has assessed the level of risk of the Retail Market not being ready to go live with these changes is low.

## Risk Score

Overall, the outcome of the risk assessments has resulted in the level of risk for the Retail Market being capable and ready to go live with the changes at this stage, being classed as low risk (GREEN) across all MPs. This table details the scores (RAG Score) for the categories of small Supplier, large Supplier, TSO, and DSO and each's RAG status.

MP Type	RAG Score
Small Supplier	1.42
Large Supplier	1.77
TSO	2.42
DSO	5.79

## Discussion

Overall, positive progress has been made despite the Covid-19 pandemic and associated governmental restrictions for public safety.



Gemserv has assessed the market risk, overall to be GREEN. That is to say that *the Retail Market, as a whole, is progressing well in the preparations that MPs are required to undertake to enable a successful go live.*

Progress is positive and on track, as is expected at this stage of the project to deliver System Separation. It was expected that the changes should not be complex or burdensome for Suppliers and the TSO and this has been proven through the responses received from all MPs.

Suppliers who do not use Webforms tended to be lesser concerned with these changes, as the impact to their processes, procedures and systems are non-existent or very minimal at most. Suppliers who do use Webforms are aware and prepared, or plan to be prepared for cut over in a timely manner.

The DSO is very well planned and is advancing through the project delivery plan well and working with its counterpart in the NI Market to ensure alignment. All of the response and evidence provided by the DSO at this time has been positive, informed, and full. With that in mind, Gemserv considers that the DSO has demonstrated its approach to delivering the changes and provided all appropriate supporting documentation well.

The responses did not throw up any areas of concern at this point, though there were a couple of questions raised that will need to be addressed and communicated. These are:

1. Will there be any volume or performance testing of the EMMAs and TIBCO hub with Suppliers during IPT?
  - *Gemserv will assess the DSO's performance and volume testing when we perform the Formal Assessment of the DSO. There is no plan at present to 'volume' test during IPT. As per the assurance approach, IPT will test that the changes made have not negatively impacted the robustness of the core Retail Market processes and design.*
  
2. What would be the resolution timeline or SLA from ATOS should a defect be identified during testing and post implementation? Will there be a responsible point of contact for Atos?
  - *Gemserv will ensure that there is a response provided to MPs for these questions in collaboration with RMDS, the DSO and Atos.*

## Participant Specific Outcomes

The progress and actions taken by Suppliers so far provides sufficient confidence that Gemserv proposes no further action is required to seek further assurance from them at this stage.

In line with the Assurance Approach for the System Separation changes, Gemserv will deploy the Formal Assessment technique against the DSO and will perform this activity in alignment with the assurance delivery plan and in collaboration with the DSO. We expect to undertake the Formal Assessment during week commencing 12 July 2021.

You can find full detailed scores identified by Supplier and DSO at the Appendices

Appendix 1: Risk Assessment Results – DSO

Appendix 2: Risk Assessment Results – All Suppliers

Appendix 3: Risk Assessment Results – Small Suppliers

Appendix 4: Risk Assessment Results – Large Suppliers

Appendix 4: Risk Assessment Results - TSO

## Exit Criteria Assessment

Overall, Gemserv received and assessed a PQ response for all MPs and the following Self-Assessment Criteria has been fulfilled.

### DSO

The DSO has met the exit criteria for Self-Assessment.

No	Exit Criteria Description	Outcome
1.	Delivery of a best practice project management methodology in delivering the changes	Pass
2.	Delivery of an Implementation plan, delivery timetable & associated resourcing plan	Pass
	Delivery of a Testing strategy and plan	
3.	a. Any testing outcomes already performed b. Any risk or issues arising	Pass
4.	Delivery of a Risk & Issue management process (including escalation route)	Pass
5.	Delivery of a Project authorisation process & sign off procedures	Pass

### Suppliers & TSO

Of 26 Suppliers (eight small and 18 large), all have met the exit criteria for Self-Assessment. The TSO has also met this exit criteria for Self-Assessment.

No	Exit Criteria Description	Outcome
1.	Confirmation of understanding of the changes for System Separation.	Pass
2.	Confirmation of readiness (or planned readiness) to implement the changes.	Pass
3.	Actions taken (or to be taken) to cater for the changes.	Pass

## Gemserv's Opinion

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It is Gemserv's opinion based on the outcomes of the risk assessments and the fulfilment of the exit criteria that overall, the Retail Market and its MPs have satisfactorily demonstrated their awareness, readiness, and capability for the delivery of the System Separation changes in the RoI.

Gemserv does not require any further information, evidence, or action from MPs. It is Gemserv's opinion that we progress to the next stage of the Assurance Approach – perform the Formal Assessment on the DSO.

## Appendix 1: Risk Assessment Results - DSO

Areas	Q No.	Question	DSO Rating
General Understanding & Awareness	1	What progress have you made towards being able to implement the changes for the System Separation and the upgrade to the TIBCO Components?	9
Project Governance & Resourcing	2	Please provide the latest Project Board Report and Meeting Minutes in regard to the changes.	8
	3	Please provide details of your project progress against your project plan, to deliver the changes.	8
	4	Please provide the latest version of the PID to deliver these changes.	10
	5	Do you have any concerns on the potential impact of Covid-19 restrictions on your ability to be ready for cutover?	4
Implementation Plans	6	How will you ensure that you have sufficient staff to perform the relevant testing and implementation, particularly in the light of the Covid-19 pandemic?	4
	7	How will you demonstrate that all project deliverables have been delivered successfully and completely?	4
	8	What contingencies have been planned for and how have these been built into the timelines?	9
Testing Strategies	9	What progress have you made in executing testing?	9
	10	Please provide any exit reports for testing already taken place.	0
	11	Please provide details of any defects and issues that have already arisen	4
	12	Have you identified any key concerns arising from testing so far?	8
	12	What progress have you made in address these concerns and defects from your testing phases?	4
	14	Please describe your strategy and plans around readiness for IPT, in particular describe any impact that external influences may have (e.g., Covid-19)?	4
Risk & Issue Management	15	What risks and issues have been identified and how have they been mitigated? Please include any escalations and reporting process.	9
	16	Has the programme team identified any key concerns and if so, what are they?	4
Cut over, Contingency & Assurance	17	How is the project team seeking internal assurance that the changes will have or have been developed to best practice and will be fit for purpose? Please provide any relevant findings or observations arising from any internal audit.	4
	18	Please describe your strategy and plans around cut-over and in particular, the roll back plan will be should cut-over not be successful.	4
	19	Please describe your plans for the hypercare period following cutover.	4
<b>Average Score</b>			<b>5.79</b>

## Appendix 2: Risk Assessment Results – All Suppliers

			Small Supplier Average	Large Supplier Average
Areas	Q No	Question	Rating	Rating
General Understanding & Awareness	1	To what extent are you <u>aware</u> of the System Separation and the upgrade of TIBCO Components changes?	0.00	0.44
	2	To what extent do you <u>understand</u> the nature of these changes?	3.00	0.56
	3	To what extent have you <u>assessed</u> how the changes will affect your processes, systems, and infrastructure?	1.00	1.56
	4	What progress have you made in preparation for the changes?	3.25	2.11
	5	To what extent will you be <u>ready</u> for cut over?	1.50	1.17
Planning & Project Management	6	Please provide the latest project governance structure or project implementation document you have in place to deliver these changes	0.67	3.61
	7	How far have you progressed through your project plan?	4.25	4.28
	8	Do you foresee any delays in progressing your project plan, or any potential changes that will have to be made to it? Please provide details.	2.00	1.33
Technical & Procedure Changes	9	What changes do YOU need to make to support the system separation and any associated TIBCO components (inclusive of the EMMA)?	2.75	3.28
Issues Management	10	Have you identified any risks and issues and if so, how do you plan (or are currently undertaking actions) to mitigate these?	0.00	2.11
	11	Do you wish to raise any concerns about <u>any internal</u> identified risks or issues?	0.00	0.56
	12	Do you wish to raise any concerns about <u>any external</u> risks or issues to the implementation of these changes?	0.00	2.00
<b>Average Score</b>			<b>1.42</b>	<b>1.77</b>

## Appendix 3: Risk Assessment Results – Small Suppliers

		ANON ID	37	39	41	42	66	79	85	95		
Areas	Q No.	Question	Rating	Rating	Rating	Rating	Rating	Rating	Rating	Rating	Average Rating	Section Average
General Understanding & Awareness	1	To what extent are you <u>aware</u> of the System Separation and the upgrade of TIBCO Components changes?	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>1.75</b>
	2	To what extent do you <u>understand</u> the nature of these changes?	2.00	4.00	2.00	2.00	4.00	4.00	2.00	4.00	3.00	
	3	To what extent have you <u>assessed</u> how the changes will affect your processes, systems and infrastructure?	2.00	0.00	2.00	2.00	0.00	0.00	2.00	0.00	1.00	
	4	What progress have you made in preparation for the changes?	0.00	0.00	0.00	2.00	8.00	8.00	0.00	8.00	3.25	
	5	To what extent will you be <u>ready</u> for cut over?	0.00	0.00	0.00	0.00	4.00	4.00	0.00	4.00	1.50	
Planning & Project Management	6	Please provide the latest project governance structure or project implementation document you have in place to deliver these changes	0.00	0.00	0.00	4.00	0.00	0.00	0.00	0.00	0.50	<b>2.25</b>
	7	How far have you progressed through your project plan?	2.00	0.00	2.00	4.00	8.00	8.00	2.00	8.00	4.25	
	8	Do you foresee any delays in progressing your project plan, or any potential changes that will have to be made to it? Please provide details.	0.00	0.00	0.00	4.00	4.00	4.00	0.00	4.00	2.00	
Technical & Procedure Changes	9	What changes do YOU need to make to support the system separation and any associated TIBCO components (inclusive of the EMMA)?	2.00	4.00	2.00	0.00	4.00	4.00	2.00	4.00	2.75	<b>2.75</b>
Issues Management	10	Have you identified any risks and issues and if so, how do you plan (or are currently undertaking actions) to mitigate these?	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
	11	Do you wish to raise any concerns about <u>any internal</u> identified risks or issues?	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
	12	Do you wish to raise any concerns about <u>any external</u> risks or issues to the implementation of these changes?	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
<b>Average Score</b>			<b>0.67</b>	<b>0.67</b>	<b>0.67</b>	<b>1.50</b>	<b>2.67</b>	<b>2.67</b>	<b>0.67</b>	<b>2.67</b>	<b>1.52</b>	

## Appendix 4: Risk Assessment Results – Large Suppliers

This Table has been split into two parts, to help the reader view the results. Part 1 shows the first 9 Suppliers in the table. Part 2 shows the second 9 Suppliers in the table and the Average for the Large Suppliers.

### PART 1

		ANON ID	88	50	72	10	54	51	67	9	3	28
Areas	Q No.	Question	Rating	Rating	Rating	Rating	Rating	Rating	Rating	Rating	Rating	Rating
General Understanding & Awareness	1	To what extent are you <i>aware</i> of the System Separation and the upgrade of TIBCO Components changes?	0.00	0.00	0.00	0.00	0.00	0.00	2.00	0.00	0.00	0.00
	2	To what extent do you <i>understand</i> the nature of these changes?	0.00	0.00	0.00	0.00	0.00	0.00	2.00	0.00	0.00	0.00
	3	To what extent have you <i>assessed</i> how the changes will affect your processes, systems and infrastructure?	2.00	0.00	8.00	2.00	0.00	0.00	8.00	0.00	0.00	0.00
	4	What progress have you made in preparation for the changes?	2.00	2.00	8.00	2.00	2.00	0.00	8.00	0.00	2.00	0.00
	5	To what extent will you be <i>ready</i> for cut over?	0.00	0.00	0.00	0.00	0.00	0.00	2.00	0.00	0.00	17.00
Planning & Project Management	6	Please provide the latest project governance structure or project implementation document you have in place to deliver these changes	0.00	0.00	9.00	0.00	4.00	0.00	8.00	0.00	0.00	9.00
	7	How far have you progressed through your project plan?	0.00	2.00	8.00	0.00	2.00	0.00	8.00	10.00	2.00	9.00
	8	Do you foresee any delays in progressing your project plan, or any potential changes that will have to be made to it? Please provide details.	0.00	0.00	8.00	0.00	0.00	0.00	8.00	0.00	0.00	0.00
Technical & Procedure Changes	9	What changes do YOU need to make to support the system separation and any associated TIBCO components (inclusive of the EMMA)?	4.00	4.00	9.00	4.00	2.00	4.00	0.00	9.00	4.00	0.00
Issues Management	10	Have you identified any risks and issues and if so, how do you plan (or are currently undertaking actions) to mitigate these?	4.00	0.00	4.00	4.00	0.00	8.00	0.00	4.00	0.00	0.00
	11	Do you wish to raise any concerns about <b>any internal</b> identified risks or issues?	4.00	0.00	2.00	4.00	0.00	0.00	0.00	0.00	0.00	0.00
	12	Do you wish to raise any concerns about <b>any external</b> risks or issues to the implementation of these changes?	9.00	0.00	4.00	9.00	0.00	0.00	0.00	4.00	0.00	0.00
<b>Average Score</b>			<b>2.08</b>	<b>0.67</b>	<b>5.00</b>	<b>2.08</b>	<b>0.83</b>	<b>1.00</b>	<b>3.83</b>	<b>2.25</b>	<b>0.67</b>	<b>2.92</b>



**PART 2**

		ANON ID	22	29	6	55	25	53	77	35		
Areas	Q No.	Question	Rating	Rating	Rating	Rating	Rating	Rating	Rating	Rating	Average Rating	Section Average
General Understanding & Awareness	1	To what extent are you <u>aware</u> of the System Separation and the upgrade of TIBCO Components changes?	4.00	0.00	2.00	0.00	0.00	0.00	0.00	0.00	0.44	1.17
	2	To what extent do you <u>understand</u> the nature of these changes?	0.00	0.00	2.00	4.00	0.00	0.00	0.00	2.00	0.56	
	3	To what extent have you <u>assessed</u> how the changes will affect your processes, systems and infrastructure?	4.00	0.00	2.00	0.00	0.00	0.00	0.00	2.00	1.56	
	4	What progress have you made in preparation for the changes?	0.00	4.00	2.00	0.00	0.00	4.00	0.00	2.00	2.11	
	5	To what extent will you be <u>ready</u> for cut over?	0.00	0.00	2.00	0.00	0.00	0.00	0.00	0.00	1.17	
Planning & Project Management	6	Please provide the latest project governance structure or project implementation document you have in place to deliver these changes	8.00	8.00	9.00	0.00	8.00	0.00	2.00	0.00	3.61	3.07
	7	How far have you progressed through your project plan?	8.00	9.00	9.00	0.00	4.00	4.00	2.00	0.00	4.28	
	8	Do you foresee any delays in progressing your project plan, or any potential changes that will have to be made to it? Please provide details.	8.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.33	
Technical & Procedure Changes	9	What changes do YOU need to make to support the system separation and any associated TIBCO components (inclusive of the EMMA)?	0.00	0.00	9.00	4.00	2.00	0.00	2.00	2.00	3.28	3.28
Issues Management	10	Have you identified any risks and issues and if so, how do you plan (or are currently undertaking actions) to mitigate these?	8.00	4.00	0.00	0.00	2.00	0.00	0.00	0.00	2.11	1.56
	11	Do you wish to raise any concerns about <u>any internal</u> identified risks or issues?	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.56	
	12	Do you wish to raise any concerns about <u>any external</u> risks or issues to the implementation of these changes?	0.00	4.00	0.00	0.00	2.00	4.00	0.00	0.00	2.00	
<b>Average Score</b>			<b>3.33</b>	<b>2.42</b>	<b>3.08</b>	<b>0.67</b>	<b>1.50</b>	<b>1.00</b>	<b>0.50</b>	<b>0.67</b>	<b>1.92</b>	

## Appendix 5: Risk Assessment Results – TSO

Areas	Q No	Question	TSO Rating
General Understanding & Awareness	1	To what extent are you <u>aware</u> of the System Separation and the upgrade of TIBCO Components changes?	4
	2	To what extent do you <u>understand</u> the nature of these changes?	4
	3	To what extent have you <u>assessed</u> how the changes will affect your processes, systems, and infrastructure?	4
	4	What progress have you made in preparation for the changes?	0
	5	To what extent will you be <u>ready</u> for cut over?	0
Planning & Project Management	6	Please provide the latest project governance structure or project implementation document you have in place to deliver these changes	9
	7	How far have you progressed through your project plan?	2
	8	Do you foresee any delays in progressing your project plan, or any potential changes that will have to be made to it? Please provide details.	2
Technical & Procedure Changes	9	What changes do YOU need to make to support the system separation and any associated TIBCO components (inclusive of the EMMA)?	2
Issues Management	10	Have you identified any risks and issues and if so, how do you plan (or are currently undertaking actions) to mitigate these?	2
	11	Do you wish to raise any concerns about <u>any internal</u> identified risks or issues?	0
	12	Do you wish to raise any concerns about <u>any external</u> risks or issues to the implementation of these changes?	0
			<b>2.42</b>

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