Consequential Change Market Trials Test Approach Document

Central Switching Service Programme

Consequential change testing Overview

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Programme	CSSC

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1.   Introduction

1.1 Purpose of this document

The purpose of this document is to, primarily, confirm the approach to be followed throughout the execution of the Xoserve Consequential Change. It should, however, be noted that where relevant , reference will be made to the SI managed external testing phases for CSS ; external SIT(system integration testing) ,UEPT (User Entry process Testing)and E2E testing for the CSS (Central Switching Service) Programme.

For the purposes of clarification :

Consequential change managed via Xoserve will be referred to as : Consequential Change Market Trials (CC Market Trials)

Testing required to support the CSS Programme and managed by the SI (NetCo) will be referred to as : CSS External Testing

As a key contributor to, and major participant in, the development of the industry approach, it is anticipated that this document and its contents will be used to inform and influence decisions made to ensure that all aspects of CC Market Trials ; Consequential Change (CC) and Regression testing are effective and provide the appropriate outcomes.

This document has been produced to reflect the management and operation of the consequential changes made to UK Link and other Xoserve systems and the interaction with industry systems as a result of the new CSS processes.

This document will be updated primarily from discussions and agreements made at the Consequential Change Market Trials Workgroup (CCMTWG) attended by multiple parties, predominantly shippers and/or their representatives,

However, where relevant, the Approach may need to reflect agreements made at the following groups:

- Ofgem CSS Testing Work Group
- Ofgem CSS Data Work Group

Before inclusion in this document, these will be tabled at the CCMTWG

The combined Testing regime of CSS external testing and Consequential Change Market Trials is intended to validate the integration of newly developed systems and interfaces across the industry, of which Xoserve are a fundamental part; as well as testing the new and updated functionality being introduced to enable the updated Switching service whilst ensuring that critical existing functionality is protected.

2. Context

Fig 1.
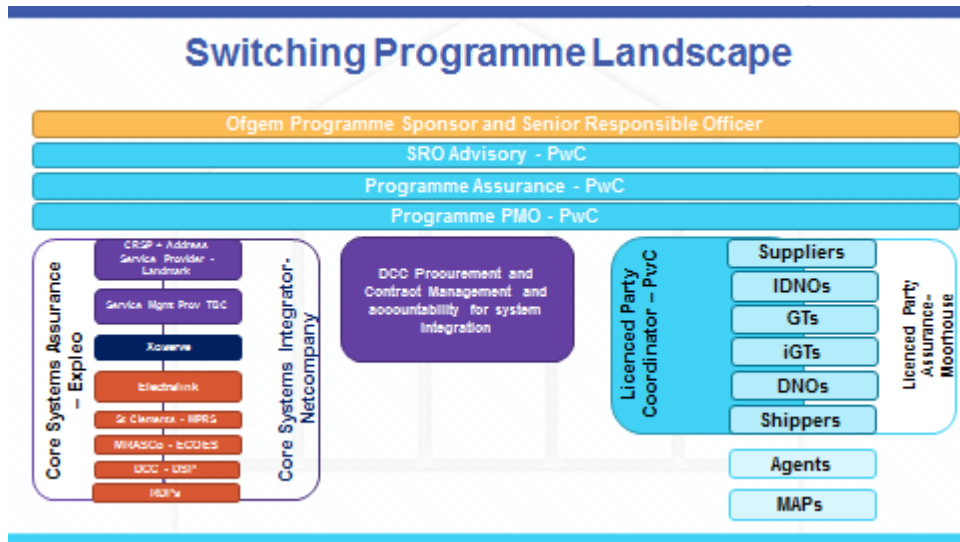
Fig 2
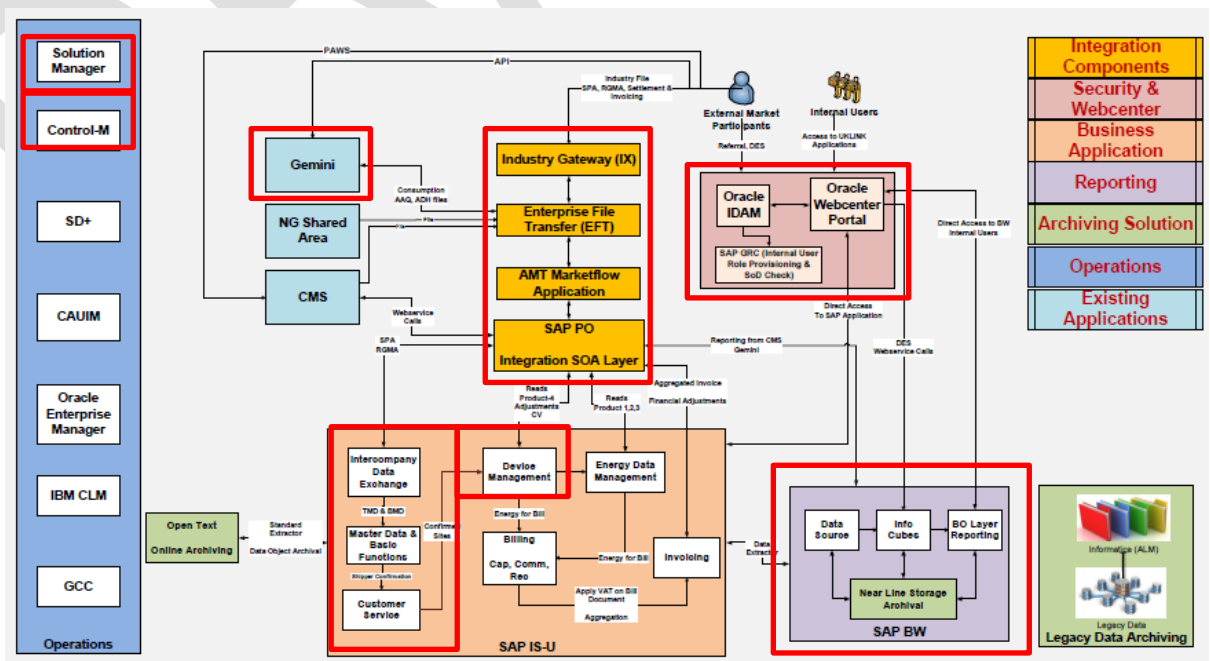
Impacted Systems

Switching Interface Flow Document
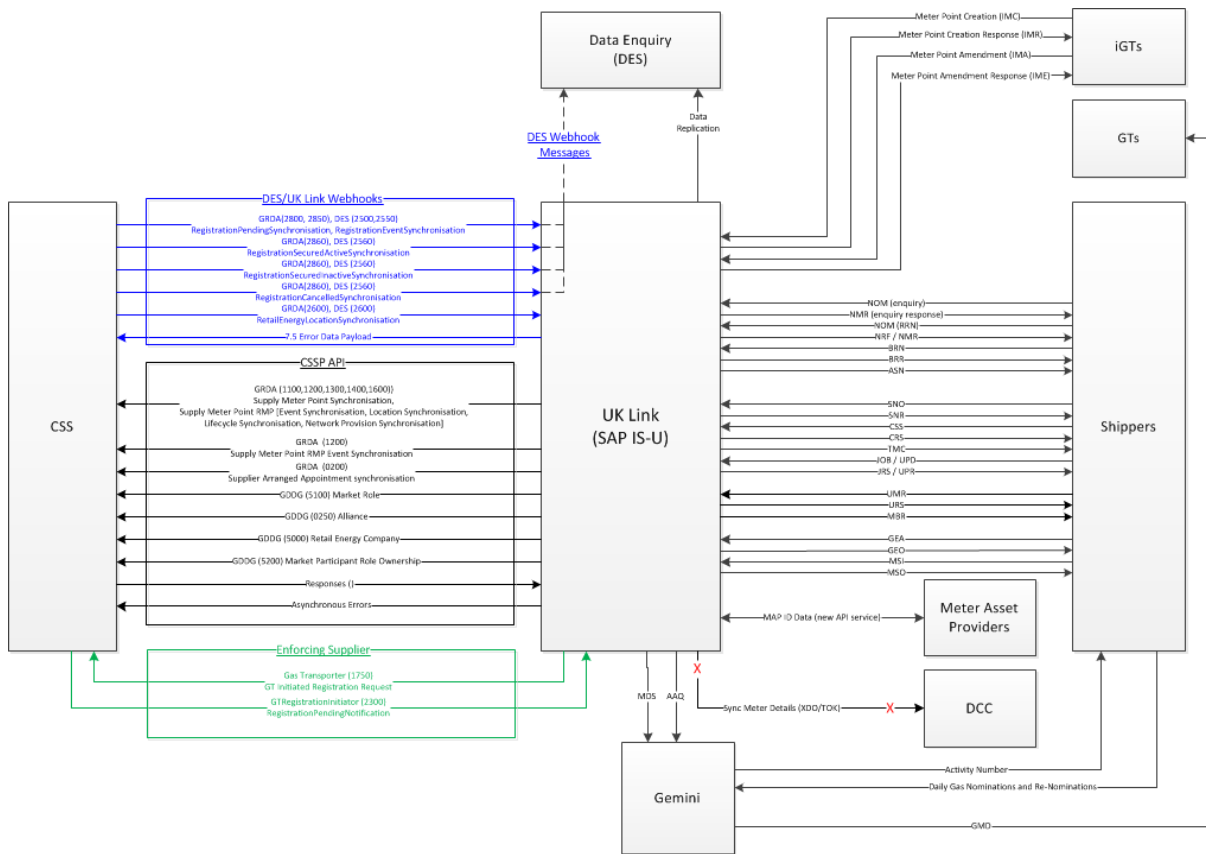
Consequential Change Market Trials will constitute of 2 elements, both managed by Xoserve :

- Consequential change : Testing any new or changed file formats , created due to CSS (but not with direct interaction with) , ensuring that they operate and new logic also operates as expected
- Regression testing : testing of agreed critical functionality to ensure that changes made due to CSS have not impacted current functionality. It should be noted that this will be limited to the functionality which is considered to have been indirectly impacted and does not include an extensive testing of UK Link

It should, however, be noted that the E2E testing managed by the SI(NetCo) will incorporate some of the processes tested within consequential change and alignment will be required(subject to formal agreement).

Fig 3 **CSS Market Trials Framework**
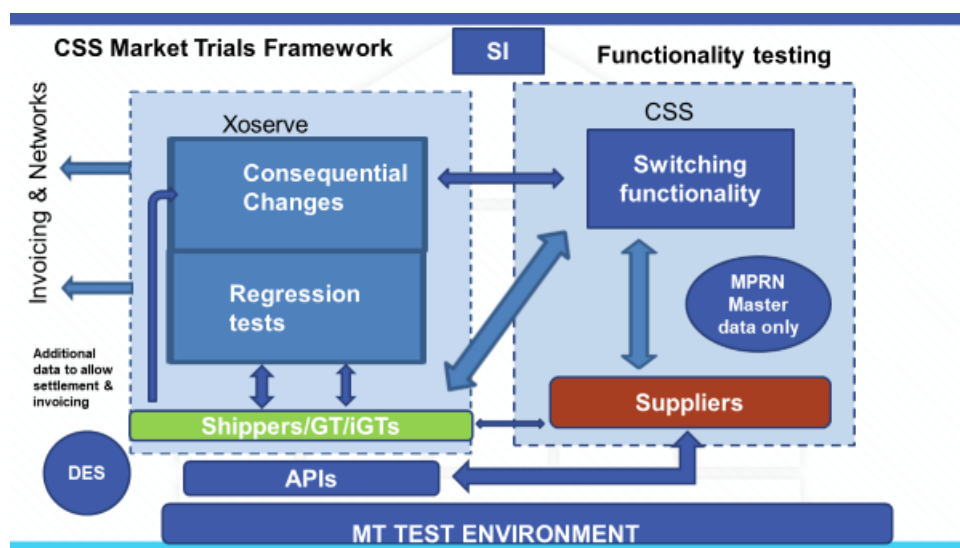
3. Objectives & Scope

3.1 The objectives of CC Market Trials are:

- To fully prepare external parties and Xoserve for the introduction of the new and updated files aligned to the Consequential changes due to the CSS programme ensuring that new logic is applied within UK Link and associated systems where appropriate and to verify that Xoserve's and industry systems work as intended

- To provide an opportunity for all participants to prove the systems and processes work by verification of their test scenarios through the execution of test cases.

- The ultimate objective is to provide evidence that the system and supporting business processes function as expected and, where appropriate, support the E2E process developed through the CSS programme.

- To provide the opportunity for Stakeholders and Xoserve to identify, address and resolve any issues prior to implementation to ensure the system is ready for Go Live.

- To ensure the appropriate levels of testing to minimise risk to the CSS programme whilst ensuring that existing functionality has been protected.

- To provide the outcome of Consequential Change testing to inform the overall CSS Go Live decision.

- To provide all participating Stakeholders with the opportunity for familiarisation of new interfaces and, where relevant, all connectivity options in a production like environment testing functional data

- To validate all record content in new and revised files recognising any revised logic being applied. It will be expected that all appropriate validation rules will apply.

Consequential Change testing is considered voluntary by Ofgem, however, to ensure that both CSS E2E and Go Live are protected, agreement will be reached on a minimum number of participants required. At the point of publication of this document, the minimum number has not yet been determined.

3.2 In scope :

The impacts of the CSS programme are significant to existing Xoserve systems , however, have now been substantially agreed and documented, the details of which can be found in the UK Link File format summary 20190827 as detailed below. Any changes to this will be processed in the normal route and discussed with market participants with the DSG

UK%20Link%20File%
20Format%20Change

UK Link File format summary 20190827

It should be noted that this is subject to change and organisations should continue to reference the Xoserve website (link to be included)

The following meter points are confirmed as being out of scope of the CSS switching processes:

- – Sites directly connected to the National Transmission System (NTS Sites)

- – LPG Supply Meter Points

- • Discussions are still ongoing with Ofgem regarding the following:

- – Shared Supply Meter Points

- – Supplier Exempt Sites

On this basis, it may be considered that these areas will be part of the Consequential Change Regression testing to be carried out by the industry. This will be discussed and agreed through the CCMTWG in line with the testing scope for all CC processes. Once agreed, this document will be updated

Consequential change falls into several categories and impacts several market sectors. The breakdown is as follows :

Market Participants impacted	
Impacted Party	Impacted File Format Count
Shipper	32
iGT	4
Smart DCC	2
Gemini	2
Total	44

Type of change	
Change Type	**Impacted File Format Count**
Change to current file format	7
Decommission	2
New API	5
New Interface File	4
Process Change	23
Awaiting decision on Shared Supply Meter Points	6
Total	**47**

Fig 4. Xoserve systems

Figure 4 provides an overview of which Xoserve systems are in scope during Consequential Change Market Trials

SYSTEM	Consequential Change	Regression
AMT Market flow	√	√
SAP ISU	√	√
UK Link Web Portal	√	√
Data Enquiry Service (DES)	√	√
Information Exchange (IX)	√	√
Gemini	√	√
Network Adapter service	√	
APIs	√	
Business Warehouse (SAP BW)	√	√

Ofgem has agreed that, for the CSS programme, the Network Connectivity options are :

- IX (upgraded version)
- Network Adapter
- Internet

Market participants must make the decision regarding their option choice by 31st January 2020 and on this basis, this document will assume that all 3 options will also be required for Consequential Change.

For the Network adapter service offered by Xoserve, there are also 3 options and again, for the purposes of this document, it will be assumed that all 3 options will also be required for Consequential Change.

The following table in Fig 6 indicates the market participants expected to take part in CC Market Trials

Fig 6 Market Participants

Stakeholders	SHIPPERs	GTs	iGTs	DMSPs	MAP
Early Volunteer Consequential Change	√	√	√	√	√
Core Consequential Change	√	√	√	√	√
Regression	√	√	√		

Details regarding registration will be detailed later in this document

3.3 Non-functional Scope

Xoserve has recognised that some areas of non-functional testing should be included in Consequential Change Market trials and will take the opportunity to execute testing in the following areas:

- Xoserve managed system interfaces will be monitored throughout the MT period;

- Security penetration testing will have been completed prior to the commencement of CC Market Trials

- Audit and Controls - audit and controls will reflect production and will follow SAP audit & controls routines;

- Maintenance and Supportability - Environments will be supported throughout the period of Market Trials to reflect production protocols

- Operational Reporting - Will be managed by the Xoserve team and reported to all organisations and into the CSS programme where appropriate

3.4 Out of scope :

- All CSS processes directly agreed within the CSS programme
- Adapter testing as this will be managed and tested through a separate project, however, the use of an adapter service whilst testing agreed processes is in scope
- Any other changes made to Xoserve systems external to the CSS programme and Consequential Change such as, but not exclusively, June and November releases
  - It should be noted that whilst these will not be tested during Consequential Change Market Trials, the updated code will be released into the environment and tests will be carried out using the updated code. Release management will be agreed with industry.
- The management and re-test of defects found within normal BAU activities

- Provision of advice or remedies relating to systems owned or managed by external parties.

- Performance and load stress testing as this will be managed through the CSS programme

- SI test phases

4. Introduction

Fig 7 – provides the high level timeline for testing with an indication of the assurance bodies

Activity	2020									2021							
	April	May	June	July	August	September	October	November	December	January	February	March	April	May	June	July	August
UEPT													UEPT EXECUTION 08Mar-01Sep21				
E2E								xos environment prep		environment ready			E2E EXECUTION 28Apr- 01Sep21				
Consequential Change Market Trials (CCMT)									CCMT volunteer phase 01Dec20-03Jan21	CCMT 04Jan21 - 05Mar21		08Mar21 - 16Apr21 contingency					
									industry regression testing								
		voluntary engagement			phased engagement			full engagement & preparation									
Xoserve preparation		Xoserve preparation															

 Any change to the Consequential Change timelines will be in agreement with market participants with final approval through the CCMTWG, however, must be aligned to the CSS timelines. Where there is significant change to the CSS timelines , consideration must be given to the impacts on Consequential Change and will, in the first instance, be discussed through the CCMTWG (Consequential Change Market Trials Workgroup)

4.1 Testing dates :

For completeness and ensure full understanding CSS testing dates are also detailed , however, for information only and to ensure that Consequential Change industry testing aligns with any conflicts being easily recognised.

SI(NetCo) managed

External testing will be carried out over 3 phases :

External SIT 14th April 2020- 7th September 2020

UEPT 8th March 2020 – 1st September 2021

E2E 28th April 2020 – 1st September 2021

Xoserve Managed

Consequential Change Market Trials :

Environment and co-ordination preparation : 17th August 2020 – 30th November 2020

Early Volunteer Phase : 1st December 2020 – 3rd January 2021

Core CCMT : 4th January 2021 – 5th March 2021

Contingency : 8th March 2021 – 16th April 2021

Regression testing : 1st December 2020 – 5th March 2021

Consequential Change testing

Preparation activity will take place from 14th April , however, testing execution will only start post the implementation of UK Link June Code Release. All UK Link code will be available from 17th August 2020 having gone through rigorous Xoserve testing and new code deployed post the June release to enable testing on updated code. Code for API Secondary interfaces and DES will be deployed at a later date after full internal testing has been completed . As part of the Entry criteria for CC Market Trials, it is anticipated that there will be a requirement to provide detail of any outstanding Xoserve defects, their status and potential impact which will be used to inform the GNG decision.

Following the agreement of the processes to be tested, the support framework will be finalised. The support will be available throughout the Consequential Change period and will cover all areas. The Support Framework underpins all testing activity (see section ****)

Whilst Regression testing is seen as a part of the testing activities, it is expected that this will be limited and priority will be given to Consequential Change testing

Parties should ensure that their testing schedules reflect the following :

- the phase they are taking part in and how this supports their readiness for CSS E2E testing and /or Go Live, where relevant.
- test variants should be scheduled dependant on participant
- testing schedules and level of testing will be driven by the participant and not by Xoserve.
- All test scenarios and test scripts will be written by each participant organisation and scheduled accordingly.
- Where there is a requirement for Xoserve to assist in the testing, processes will be in place to enable this to happen.(process to be agreed)
- Where a process has been classed as priority through the CCMTWG ,the appropriate test cases should be treated accordingly.

Whilst the testing should be considered as component testing and is a testing phase in its own right , some organisations may be testing consequential change in preparation for CSS E2E and/or Go Live. Where consequential change processes are expected to be part of the CSS E2E testing , this will be indicated and all participants aware. Participants may also feel there is a requirement to carry out an element of Consequential Change E2E testing and this will be agreed during the process discussions and the scope agreed. It should, however, be noted that this may need to be reflected in the timelines and will need to be seriously considered.

If using the IX network, test files **must** be prefixed by '**TN'** to denote that it is a CC test file and to avoid confusing with both production files (using PN). Whilst validation is in place, it is the participant's responsibility to only place test data into test files and use the TN prefix.

Files should be placed in the appropriate IX export folder (See Section **). The EFT will poll this folder at a frequency of every 5 minutes and transfer any files to Xoserve's IX inbox and onto AMT Market flow where the file will be consumed, then transferred through to SAP-ISU and full validation.

If using the internet and API , test IP addresses must be used and will be provided.

They will be in the form of : **********************

Formal agreement will be reached at the CCTWG of the processes to be tested ; both for CC testing and Regression testing. An updated copy of these will be maintained on the CC section of the Xoserve.com website

Through the CCMTWG , it will be agreed the breadth of the testing i.e LSP/SSP/GT and iGT as well as, and not limited to, data loggers, imperial, metric and SMART meters.

Positive and negative testing should be carried out throughout the testing period

Negative tests, either purposefully created through a negative test or through incorrect formatting will prompt AMT Market flow to respond with a rejection file (ERR, FRJ), however, it should also be noted that new rejection codes are now in place and it expected that these will be tested

REJ_CODE	Proposed Description	Impacted File
MPO00700	Nomination is not allowed for the MPRN	NOM, SNO
CSS00001	Confirmation cannot be submitted for CSS sites	CNF, CSS
CSS00002	Supplier change cannot be submitted for CSS sites via GEA process	GEA
CSS00003	Withdrawal request or objection cannot be submitted for CSS sites	WAO
CSS00004	MSI cannot be submitted for CSS sites	MSI
CSS00005	Shipper Supplier combination provided is not valid	IMC & IMA

All existing rejection codes will continue, however, will not be detailed in this document and should not be considered as a test only as a potential result.

Audit log files will be available to stakeholders on the files sent via the IX network from their respective IX servers during CC testing .

Given that the rejections process is automated, Xoserve has no plans to issue any further rejection information to Users.

4.2 Process definition

Currently participation in Consequential Change, although essential to the success of CSS E2E, is classed as voluntary, therefore, it would seem that categorising processes may be advisory rather than mandatory

A list of processes is attached, however, this is draft and is to be used an initial start for discussion. It should be noted that these processes are out for review and are subject to change.

MT Processess
V0.2.xlsx

Draft MT Processes V0.2

Agreement of these processes will be made through the CCMTWG

These processes will also be utilised to determine the lower level detail and determine the involvement of all parties. A co-ordination schedule will then need to be agreed to ensure that all parties are able to carry out the activities when required

For the purposes of testing, Xoserve will be required to operate a stub and act as a supplier and CSS to enable tests to be completed.

4.3 Test Schedule principles

As part of the process development, it has been acknowledged that Xoserve will be required to operate as a shipper, iGT and/or CSS. In order for this to happen, a clear schedule of activity must be agreed between the organisations . The basic principles are :

	Principle
1	All organisations must provide Xoserve one week's notice for all activity
2	Cut off point for cancelling or amending any activity is [3pm] of the previous day
3	Each test step requiring Xoserve initiation will require a written request
4	Xoserve will only carry out written requests
5	Requests must be completed on the agreed template with ALL mandatory information – incomplete requests will be returned and may result in a delay
6	Only requests sent on the template into the .Box will be accepted
7	Confirmation of receipt will be sent by Xoserve
8	Confirmation of completion will be provided by Xoserve
9	Any changes to the schedule requested by phone will not be carried out unless followed up in writing through a revised template into the .Box
10	Xoserve will work with all participants to ensure a balanced schedule

Each organisation will work with Xoserve on an individual basis to ensure that an effective schedule is in place prior to the start of CCMT. This can then be adjusted based on the above principles

4.4 Decision making around entry to Consequential Change Market Trials

In the event that a defect on a critical process is outstanding at the end of Xoserve testing or there has been insufficient time to re-test the code , this may not be considered as a direct failure of the CC MT entry criteria. However, this will depend on the impact of the defect(s) and the plans in place to resolve and re-test.

If a change is identified on a file format which means that the revised version will not be available until later in CCMT, a decision will be made at the time of the GNG decision if testing should continue on the available version or testing should wait until the revised version has been delivered.

A release management plan will be in place to incorporate CCMT as well as CSS external testing and this will be detailed within the Release Management section *******

4.5 The key attributes of CC Market Trials

Consequential Change Market Trials testing comprises of functional testing, based on component testing across the interfaces between Xoserve and the organization. Tests will be carried out to ensure that processes operate as designed and reflect production activity. Users are able to test any valid file appropriate to their organisation type and should test appropriate supply point types (LSP/SSP) and meter types

Consideration should be given to testing different meter types and ancillary equipment

Where a process requires Xoserve initiation or manual intervention, agreement must be reached in advance of testing to ensure testing is managed effectively. The process for doing this will require definition and agreement. Xoserve will not be responsible for test failures if scheduling has not previously been agreed.

Testing will be carried out using the IX , the internet or the adapter ; or a mixture

4.6 Industry Partnering

In previous programmes , industry partnering has been used as a mechanism to operate the transfer of ownership process. Where used previously, consideration must be given to any improvements which may make it work more effectively. This will be discussed and agreed through the CCMTWG and the findings updated in this document.

Due to the nature of the testing, it is also important to ensure that there is a balance of testing with all parties being given the same opportunity to test. This will include all parties ; shippers , GTs and iGTs

The approach must therefore be determined and agreed across all parties to ensure that CC has been tested appropriately prior to participation in E2E or prior to Go Live

4.7 File Transfer Principles

The file transfer principle for CC Market Trials is dependent on the 'IX folder' being used for live file transfer activities. Each organisation will have a 'BGT01' and 'General' folder within each IX node they own. The principle is:

- **Scenario 1** – If the 'BGT01' folder is used to transfer live/ production files then the 'General' folder should be used for Market Trial file transfers; and

- **Scenario 2** – If the 'General' folder is used to transfer live/ production files then the 'BGT01' folder should be used for Market Trial file transfers.

In most instances Scenario 1 will apply to Shipper participants whilst Scenario 2 will apply to Non-shipper participants, though not for all instances. The position will be verified with all parties prior to the start of testing.

File transfers to and from industry participants will be via the EFT system. Formatting instructions are included within the attachments below.

Organisations falling into Scenario 1 should refer to the IX/EFT instructions in the attachment below:

Market Trial File
Transfer Approach Sc

Please note that this document may change and you should refer to the CC Market Trials section on Xoserve.com to ensure that the latest version is being referenced

Organisations falling into Scenario 2 should refer to the IX/EFT instructions in the attachment below:

Market Trial File
Transfer Approach - S

Please note that this document may change and you should refer to the CC Market Trials section on Xoserve.com to ensure that the latest version is being referenced

- The current file transfer polling schedule mechanism will be used (the current process scans for files every 5 minutes).

- Files generated from Xoserve to the stakeholders (including ERR, FRJ file types) will be delivered to the existing Import folders at the stakeholders IX server with a '**TN**' prefix.

4.8 **API Transfer**

A test IP address will be provided for all parties and the guide for use provided prior to the start of CCMT

As 3 connectivity options are now available; IX, the adapter and APIs, the complications of 2 parallel environments with 2 parallel testing phases are being worked through and options will be shared with the industry for consideration.

5. Critical Path (Lifecycle) & Support schedule

Following the agreement of the processes to be tested and any E2E requirement, a lifecycle will be included in this document. The support schedule and framework will be developed to reflect the activity to be carried out, however, it is expected that the following support will be in place :

- SPA
- RGMA
- DES
- Gemini
- Invoicing (if required)
- API
- Xoserve Adapter

All activity throughout CC Market Trials will take place in "real time" and there will be no accelerated timelines, therefore, it is essential that all parties understand the lifecycle and requirements to ensure that full testing can take place.

The Critical path will identify the full lifecycle of activity and the support in place across the CC Market Trials

6. Release Management

It is acknowledged that as all parties progress through testing, changes may be identified by industry stakeholders and Xoserve; this may occur either before the start of CC Market Trials, during CCMT or as a result of CSS E2E.

It is already known that UK Link changes are planned for June20 and November20 and which will impact the CCMT. As a result of this , the date of test execution for CCMT will start post the June Release.

All parties strongly prefer that change is kept to a minimum (and this is backed by good programme practice), but in some instances this will be inevitable

A robust Release Management plan will be in place in order to manage known changes and then ultimately changes as testing progresses , also incorporating defect fixes. The CSS programme will also have a Release Management plan and it is essential that releases across all phases are complimentary and environments are kept in line.

All appropriate code will be deployed to both environments; CCMT environment and CSS E2E environment, enabling consistent testing across all agreed consequential change processes to be included in E2E

Provision of the Release Plan is outstanding at present and will be incorporated into this document once available.

7. CC MARKET TRIALS READINESS AND COMPLETION

7.1 Readiness

Whilst participation in CCMT is voluntary, it will be necessary to ensure readiness prior to testing. Areas will include but not exclusively :

- Acknowledgement of participation by an agreed date
- Acceptance of data within the terms agreed by the CCMTWG
- Load data as provided by Xoserve
- Completion of the appropriate connectivity testing
- Provision of contact details
- Confirmation of test phases participating in (CC and/or regression)
- Phase participating in – phase Early volunteer or Core

 Xoserve will be required to ensure that:

- Functional processes have successfully completed a requisite User Acceptance Test prior to CCMT testing
- Integrated environment is in place to enable the full suite of testing
- Provide the procedure for managing and communicating defects
- Data has been provided by Xoserve and loaded by stakeholders
- Appropriate access has been provided to all parties
- URL's provided that stakeholders need to access
- IP Addresses provided
- Assurance has been provided through Xoserve's assurance provider

7.2 CC Market Trials Entry and Exit criteria

7.2.1 Entry criteria will include :

- Xoserve UAT will be completed prior to the start of CCMT
- confirmation from each organisation that they are ready to participate
- the above readiness criteria have been completed.
- No P1/P2 defects from Xoserve internal testing
- Full defect management process is in place
- All participants have completed a successful "ping" test

Any additional entry criteria will be agreed through the CCMTWG

7.2.2 Exit criteria will include :

- No outstanding P1/P2 defects
- All priority test cases have been completed
  - o It must be noted that Xoserve will not monitor test cases and it will be the participants responsibility to confirm that all priority test cases have been completed
- The agreed number of participants has taken part in consequential change testing

Any additional exit criteria will be agreed through the CCMTWG

It is intended to develop, through the CCMTWG, a set of entry and exit criteria to ensure that consequential changes are fit for purpose. As Consequential Change Market Trials will be performed in 2 phases, consideration will need to be given to the phasing and any consideration which may need to be given prior to entry to CSS E2E.

8. REGISTRATION PROCESS

Prior to taking part in CC Market Trials, any stakeholder wishing to participate will be required to register their interest via the Xoserve registration process.

Information required at this point includes:

- Name of organisation;

- Primary and secondary contacts – including full name, telephone and email contact details.

- Confirmation of the intention to participate and in which phase : CC1, CC2 , Regression

Any change in stakeholder registration details should be sent to : .box.xoserve.CCMT

A registration of interest will be required in January 2020 , regardless of phase , to ensure that all parties are included in the data cut

9. TEST ENVIRONMENT AND DATA

9.1 Test Environment

During CCMT, the Market Trials test environment will include the following components:

- IX production and a test instance of the EFT mechanism will be used to support file transfers;

- AMT Marketflow will be available to validate file formats; and

- Office365 will be available to support those file types which can be submitted via email.

- SAP ISU with appropriately tested code deployed

- SAP BW

- DES

- Gemini

- API platform

- Xoserve Adapter

The CCMT environment will be a separate environment to that used for CSS External testing due to the parallel testing and data requirements, therefore, testing between CC and CSS external testing will be separate.

9.2 **Data**

In order to be able to carry out testing across all relevant areas, it is essential that data is consistent. With the event of GDPR, it is also essential that all parties demonstrate responsibility in the sharing and use of data.

An agreement is being reached on data strategy within the CSS programme and it is anticipated that Consequential Change Market Trials will follow the same rules to ensure that, as an industry, GDPR rules are adhered to. This will enable consistent use of data for Consequential Change Market Trials and for CSS E2E testing .

It is anticipated that the following will be in place :

- Security framework including focus on security of environments, transport mechanisms, usage and retention policies

- DPIA in line with the one determined by the CSS programme

The basis of any agreement is that any sharing of data will be covered by the DPIA, security frameworks and agreement of transfer mechanisms (including their own security). This will remove the requirement to anonymise data and provision of data by Xoserve and would be managed under these strict rules.

For CCMT, to ensure that all parties use the same data and enable full testing to take place, Xoserve will be carrying out a full data cut on **18th January 2020** (to be confirmed) and the data portfolios will be derived from this cut.

All parties are expected to use the data provided by Xoserve via the extract being provided , however, if there are any issues with this approach, organisations should contact Xoserve directly using : .box.xoserve.CCMT.

The data extract will be carried out using the conditions agreed at the CCMTWG and a proportion of the full portfolio will be used for the purposes of testing. The data cut for UK Link system and Gemini will be aligned to ensure that testing can be appropriately fulfilled.

At this time, there is no intention to provide a dummy portfolio to any organisation

In line with the security framework and to comply with GDPR rules, all data will be transferred by SFTP.

9.2.1 **Data Load**

Xoserve data load activities will start in August and run through to October. Progress updates will be provided on the load throughout this period during weekly progress calls with primary and secondary contacts. As with any data load, there may be MPRNs which cannot be loaded and Xoserve will provide a report to all parties of those MPRNS which cannot be used for testing. It is anticipated that this will be available at the end of the load process, therefore, should be available by [XXXXX]. These are classed as "fall out " reports.

Where there are data defects which impact on the load, these will be advised to all impacted parties.

It should be noted that data portfolios will ONLY be provided for those organisations who have registered by Tuesday 31st March 2020. Any organisations requesting data post this date will be considered on a case by case basis and no guarantees will be given on provision.

In line with any agreement made through the CSS security framework, all data used for CC Market Trials in all systems will be purged [one month] after completion of Consequential Change Market Trials Phase 2

9.2.2 Data Alignment

The data cut taken by Xoserve on 18th January 2020 will be the only data used and will be provided to all confirmed participants on 16th October 2020

Data Backups will take place as follows :

Back up frequency - Daily @ 11.00pm

Retention of daily backups 14 days

Retention of weekly backups - on Sunday of 4th week

Retention of monthly backups - on the first Sunday for 3 months

10. DEFECT AND QUERY MANAGEMENT

10.1 Defect management

Further to the Ofgem recommendation on the co-ordination of Consequential Change, it has been confirmed that Consequential Change within Xoserve will be managed through it's own defect management plan and will not be managed through a centralised CSS programme defect management process. Due to the dependency on the Ofgem recommendation, the Xoserve Defect Management Plan has yet to be fully developed. This is currently underway and will be shared through the CCMTWG with this document being updated at a later date.

To assist the industry, it is intended to replicate the CSS defect management plan as closely as possible, however, raising in two systems will not be avoided.

10.2 Query Management

A limited Query Management service will be provided, however, this will only cover Consequential Change processes and changes.

The service will **not** cover :

- Existing UK Link queries which should be directed through existing Xoserve channels
- CSS queries as these should be directed through the SI query management process

A query can be any request for information or clarification of understanding.

CC Market Trials queries should be emailed to: [box.*********** @xoserve.com] and should not be raised via the Service Desk. Queries will be added to the CC Market Trials Query Log, and assigned a reference number which will be quoted in any correspondence.

The objective will be to respond to all queries within 10 business days, however, urgent queries, that are directly affecting an organisation's ability to continue with testing, being prioritised.

10.3 Defect and Query Reporting

10.3.1 Defects

A reporting framework is being developed by the DCC to cover any consequential change defects which may impact upon Go Live , however, details are, as yet, unknown. Any impacts on Consequential change will be incorporated into this document when known.

Defect reports will be defined and provided on an agreed basis , details of which will be shared within the full Defect Management plan.

10.3.2 Queries

Progress reporting will be part of CCMT and query reporting will also be part of this pack. The format of the reporting will be agreed at the CCMTWG , however, the basis of the query reporting is intended to be

- Weekly;
  - o Providing updates on the previous week:
  - o Number of queries raised;
  - o Number of queries closed; and
  - o Number of queries open.
    - Queries impacting multiple parties will be added to the central Q&A file , but those specific to individual organisations will only be shared with the specific organisation.

10.3.3 Progress Reporting

All reporting will be based on file formats, however, all industry participants will be responsible for carrying out the full testing of processes

To date , there has been no stated requirement from Ofgem on CCMT, however, due to the emphasis on protection of CSS E2E, stakeholder-specific reporting will be provided to Ofgem (or their Assurance Provider);

- Reports shared with other stakeholder groups will be anonymised;
- Provided on a daily basis (Monday to Friday) on the previous day's activity;
- Areas reported on will be the:
  - Number of parties taking part;
  - Number of files tested; successfully and unsuccessfully; and
  - Number of times each file has been tested.
- Defect reporting will be provided subject to the requirements of the DCC Defect Reporting Framework .
- Frequency of reports will be agreed with Ofgem

Defect details (if required) , such as count, status, severity and process-related impacts will be documented in the [daily] reports and shared with the stakeholders.

FIGURE 9 –PROGRESS REPORTING

Level	Report	Frequency
CC1/2	Files received for format testing: • Accepted files report stakeholder wise • Rejected files report stakeholder wise	[Daily] (excluding weekends / bank holidays)

11. Alignment to CSS programme

Although Consequential Change is an independent testing phase, some of the processes will be included in the CSS E2E testing, therefore , it is essential that there is alignment to the CSS programme in certain areas;

- Processes tested within CC must align to any agreement in CSS E2E
- Data must be consistent
- Data policy and strategy must be consistent
- Timelines must reflect both areas of testing
- Defect management must be as aligned as possible to minimise confusion
- Release management must be aligned to ensure consistent code across environments
- Reporting protocols and requirements align to ensure no confusion

12. Risks

Current Top 5 risks – to be updated

13. Assumptions

to be added

14. Dependencies

The start of CCMT is dependent on the following:

- Minimum threshold of Stakeholders(as agreed by Ofgem) reached and have achieved readiness criteria

- Xoserve complete all penetration testing relevant for CCMT

- Xoserve complete functional testing prior to the start of CCMT

- Data cut provision is agreed by a sufficient level of participants

- Adequate data is loaded successfully into Xoserve's system and fallout notified to impacted parties

- Adequate data is loaded by all parties to enable sufficient testing

- Data frameworks in place (DPIA and security frameworks) for Consequential Change to enable data sharing

- Defect Management Plan in place

15. APPENDIX

15.1 Definitions, Acronyms & Abbreviations

Term	Meaning
To be completed	

Term	Meaning

FULL RACI TO BE INCLUDED

Reviewers

Name	Role	Organisational Unit	Outcome (1, 2 or 3)
Market Participants via CCMTWG		Industry	

Approvers

Name	Role	Organisational Unit	Outcome (1, 2 or 3)
All members of Consequential Change Market Trials Working Group		Industry wide group	
Chan Dabare	Xoserve Programme Test Manager	CSS programme - Xoserve	

Distribution

This document has been distributed to, or its status and location for electronic retrieval made known to the following persons for information:

Name	Title	Date	Version

Document Control

Version	Status	Date	Author(s)	Summary of Changes
0.3	For review		Xoserve	Initial document for review
0.4	For review	29/11/19	Xoserve	Updated following review

0.5	For review	11/12/19	Xoserve	Updated
1.0	Draft for industry review	19/12/19	Xoserve	
1.1	Baselined document	07/02/20	Xoserve	Baselined by industry
1.2	Updated as agreed at CCMTWG 26Jun20	30Jun20	Xoserve	Updated with revised timelines required due to replan. Inclusion of test schedule principle

References

This document makes references to the following documents. These reference documents should be read in conjunction with this document.

File name	Location	Version