# Detailed Migration Document for TARGET2-NL Participants

# Annex D – Monitoring and Coordination Procedures

# Table of Contents

**Detailed Migration Document**

**Annex D – Monitoring and coordination procedures**

## 1    Introduction

The main objective of this document is to detail the processes relevant for the monitoring, coordination and escalation of the migration stages. The processes will be defined based on the Business Process Model and Notation (BPMN) V2.0 standards.

The processes complement the information detailed in the main body of the Detailed Migration Document (DMD) as well as the activities described in DMD Annexes A, B and C related to Pre-Migration, Migration Weekend and Contingency Procedures.

Coordination and monitoring processes are common for all stages, if certain processes apply only for specific stages this is highlighted in the documentation of the process.

The following list of topics is within the scope of this document:

- Monitoring and coordination processes during the Pre-Migration stage, including the assessment process of the Pre-Migration Checkpoints (PMCPs)
- Monitoring and coordination processes during the Migration Weekend stage, including the assessment process of the Migration Weekend Checkpoints (MWCPs)

The following list of topics is outside the scope of this document:

- Escalation to the Crisis Managers as this is covered in the Info Guide.
- Reporting templates and communication means as they are covered in the Migration Communication Framework deliverable.

### 1.1    General description

The Annex D will detail the processes in three levels:

▶ 'Process actors and their roles' table specifies the responsibilities of all actors.

- The process actors involved, e.g. the Central Bank Migration Managers, TARGET Service Desk, the TARGET Services Coordinator, the Central Bank Settlement Managers, and the T2 Migration Coordinator.

▶ 'Process flow diagram' provides the overview of the different actions/activities to be performed during the process and the relationship between different process actors. The general principles/standards for developing a process diagram are:

- Each process can be triggered either by one or a combination of:
  - Business event(s) (e.g. a certain migration step is completed);

- ◆ Identified risk(s) (e.g. enter into a contingency scenario); or

- ◆ Time event(s) (e.g. "10 minutes before a Migration Check Point").

- ▪ The title of an activity should be short, precise and, to the extent possible, self-explanatory.

- ▪ Each process diagram shall show the interactions between process actors, all activities that produce a document or deliverable, all activities that lead to one or more decision points (e.g. complex "IF-statements"), all decision points that lead to a split of activities, deadlines or conditions that could trigger an exception handling.

▶ 'Process description' elaborates the process diagram by providing details on the starting/end point and on all activities to be performed during the process, such as the necessary principles/procedures, tooling aspects (if applicable), etc.

The Annex D contains a separate chapter for each of the main process types and sub-chapters for the processes to be described.

## 1.2    General Principles

This chapter details the general principles that apply for the monitoring and coordination processes in the context of the T2 migration.

- In case of migration related incidents that occurred during the Pre-Migration stage / Migration Weekend for which escalation needs to be triggered, the Settlement Managers will escalate the incidents to the Crisis Managers in accordance with Incident management process described in the Info Guide. It needs to be ensured by the TARGET Services Coordinator that, all relevant parties (CB Migration Managers and Settlement Managers from all involved T2 Actors) are kept informed about the status and possible solutions for such an incident. It is the responsibility of each Settlement Manager, with the support of the CB CB Migration Manager, to collect any required information and to brief his/her Crisis Manager on the event leading to the crisis.

- The Central Bank T2 actors who are required to confirm a Pre-Migration Check Point or a Migration Check Point according to the Pre-Migration Schedule, or respectively the Migration Weekend Playbook must participate in the corresponding conference calls.

- It is up to each Central Bank  to decide which role (CB Migration Manager or Settlement Manager) is actually participating to the conference call, but it has to be ensured that the views of the CB Migration Manager and the  CB Settlement Manager within each institution are aligned and the institution is speaking with one voice.

- If a required CB T2 actor is not able to participate in a conference call due to technical reasons, the CB T2 actor must inform the T2 Migration Coordinator by other means e.g. e-

mail. In this case, the excused Migration Manager must accept any decision taken during the conference call.

- In case there is no participation from an institution which is required for a conference call for a PMCP or MWCP (and whose absence has not been confirmed by the T2 Migration Coordinator), the T2 Migration Coordinator will first contact the Migration Manager, Settlement Manager and subsequently Crisis Manager until a representative of that institution is reached.

- Any T2 process actor involved in the migration, whose participation in the conference calls is considered as optional, may participate in the conference calls as an observer.

- Each CB should ensure that its Settlement Manager is up-to-date on the progress of the migration execution and that there is no status gap between the CB Migration Managers and Settlement Managers.

- Throughout the execution of the Pre-Migration stage or Migration weekend, all relevant parties (CB Migration Managers and Settlement Managers from all involved T2 Actors) need to be kept informed about the status and progress of the migration activities by the T2 Migration Coordinator. Therefore, identified delays (anticipated or actual) for reaching a Pre-Migration or a Migration Check Point on the critical path need to be reported to the T2 Migration Coordinator immediately. The identified delay could either be an anticipated delay or an actual delay.

- In case a required T2 actor cannot confirm a PMCP or an MWCP at the planned point in time, they must provide information on the progress, cause and expected impact on their activities.

- For any identified delay (as mentioned in Table 1 - Escalation timings for Pre-Migration and Migration weekend) in reaching a Pre-Migration or a Migration Check Point on the critical path (compared to the agreed planning in the Pre-Migration Schedule / Migration Weekend Playbook).

## 2    Monitoring and coordination processes

This chapter details the processes for monitoring purpose, from the Activities status update to the Reaching of a Migration Check Point.

## Annex D – Monitoring and coordination procedures

### 2.1 Assessment of a Checkpoint

In principle the conference call, to formally assess whether a Pre-Migration or Migration Checkpoint or Post-Migration Checkpoint has been reached, should be attended by the CB Migration Manager of all involved T2 actors as well as the TARGET Service Desk, TARGET Services Coordinator and the T2 Migration Coordinator.

For the conference calls to assess PMCP0 (Green-Light to start Pre-Migration) and MWCP0 (Green-light to start migration weekend), Settlement managers of all migrating NCBs must participate.

For other PMCPs the T2 actors identified for the specific PMCP in the Pre-Migration schedule must participate in the conference calls. For other MWCPs all T2 actors identified for the specific MWCP in the Migration Weekend Playbook must participate in the conference calls.

 The diagram below presents the actors and their respective activities and the sequence by which they should be carried out according to the processes described in table 2.
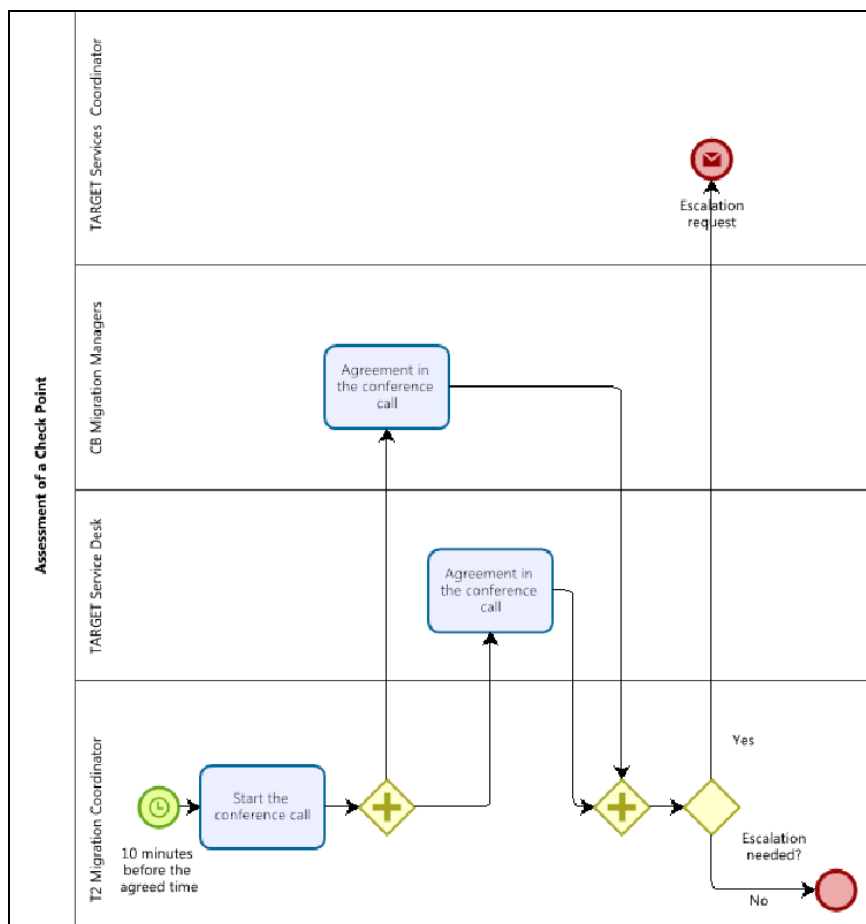


Figure 1 - Assessment of a Check Point BPMN

### 2.1.1 Process actors and their roles

| Process Actor | Process Role |
|---|---|
| T2 Migration Coordinator | • Convenes and moderates the conference call<br>• Updates MWCP / PMCP / POMCP status in the related plan and the Migration Information Centre (MIC). |
| CB Migration Managers / Settlement Managers / T2 Migration Coordinator / TARGET Service Desk / Crisis Managers / TARGET Services Coordinator | • Assess whether the conditions to reach a Checkpoint have been met.<br>• CB Migration Managers to take decision in case of migration related incidents and to consider whether the matter deserves to be escalated to the Settlement Managers. If required, the Settlement Managers will escalate the incident to the Crisis Managers in accordance with the Incident Management process described in the Manual of Operational Procedures. |

Table 1 - Assessment of a Check Point Process Actors and Roles

### 2.1.2 Process description

The CB Migration Managers / Settlement Managers conference call is used to handle the following situations:

- Confirm Pre-Migration or Migration Check Points.
- Take decision in case of a delay from the planned end time of the Pre-migration or a Migration Check Point is identified.

For the check points the Migration Weekend Playbook and the Pre-Migration Schedule foresee always two activities:

- Actor's PMCP/MWCP/POMCP confirmation: each migrating actor taking part in this PMCP/MWCP/POMCP confirms that all its internal activities are successfully completed for this PMCP/MWCP/POMCP; this activity takes some time.
- PMCP/MWCP/POMCP: when all actors have confirmed the PMCP/MWCP/POMCP during the conference call, the PMCP/MWCP/POMCP milestone can be agreed as being completed.

| S.No | Activity | Actor | Timeline | Process description |
|---|---|---|---|---|

| S.No | Activity | Actor | Timeline | Process description |
|------|----------|-------|----------|---------------------|
| 1. | Start the conference call | TARGET Service Desk, T2 Migration Coordinator, Migration Managers | 10 minutes before MCP current timing OR Upon incident and/or identified delay of at least 10 minutes on the critical path activity impacting a PMCP/MWCP | - The T2 Migration Coordinator informs via MIC the participants of the conference call starting time and topic. -The T2 Migration Coordinator will convene the conference call as a result of an incident identified by the TSD or CB Migration Manager. Participants for the call are notified by email (by MIC during Migration Weekend) by the T2 Migration Coordinator with information on the conference call starting time and topic. |
| 2. | Agreement in the conference call | TARGET Service Desk, T2 Migration Coordinator, Migration Managers | n/a | In the conference call participants discuss the relevant topic and agree on the topic at hand, i.e. PMCP/MWCP/POMCP reached, or follow up actions out of an identified delay (including potential escalation to Settlement Managers in the timeframe given in Table 1). |
| 3. | Close the conference call Update the MIC | T2 Migration Coordinator | n/a | At the end of the conference call, the T2 Migration Coordinator summarises the agreement and updates the MIC accordingly. |

Table 2 - Assessment of a Check Point - Process description

## 2.2 Pre-Migration and Migration Activity Monitoring

This process applies to Pre-Migration activities as well as Migration Weekend activities. The only difference is the time perspective, days for Pre-Migration, hours and minutes for the Migration weekend. As part of this process is also the confirmation, by each T2 actor, that the conditions to meet a Pre-Migration or Migration or Post-Migration Checkpoint are internally fulfilled.

### 2.2.1 Process actors and their roles

| Process Actor | Process Role |
|---|---|
| T2 Migration Coordinator | • Monitors Pre-Migration and Migration Weekend execution.<br>• Update status in the related plan. |
| Actor | • CB having migration activities preceding this PMCP/MWCP/POMCP.<br>• TARGET Service Desk having migration activities preceding this PMCP/MWCP/POMCP. |
| TARGET Services Coordinator, TARGET Service Desk, CB Migration Managers and Settlement Managers | • Informed on the Pre-Migration, Migration Weekend or Post-Migration stage progress. |

Table 3 - Pre-Migration and Migration Activity Monitoring Process Actors and Roles

### 2.2.2 Process description

The monitoring activities provide means for the T2 Migration Coordinator to closely follow the progress and completion of activities, and to react on any potential delays as early as possible in the process. The monitoring is based on the information provided in the MIC by the T2 Operator and CB CB Migration Managers and the confirmation of CB Migration Managers on request of the T2 Migration Coordinator.

The diagram below presents the actors and their respective activities and the sequence by which they should be carried out according to the processes described in table 4.
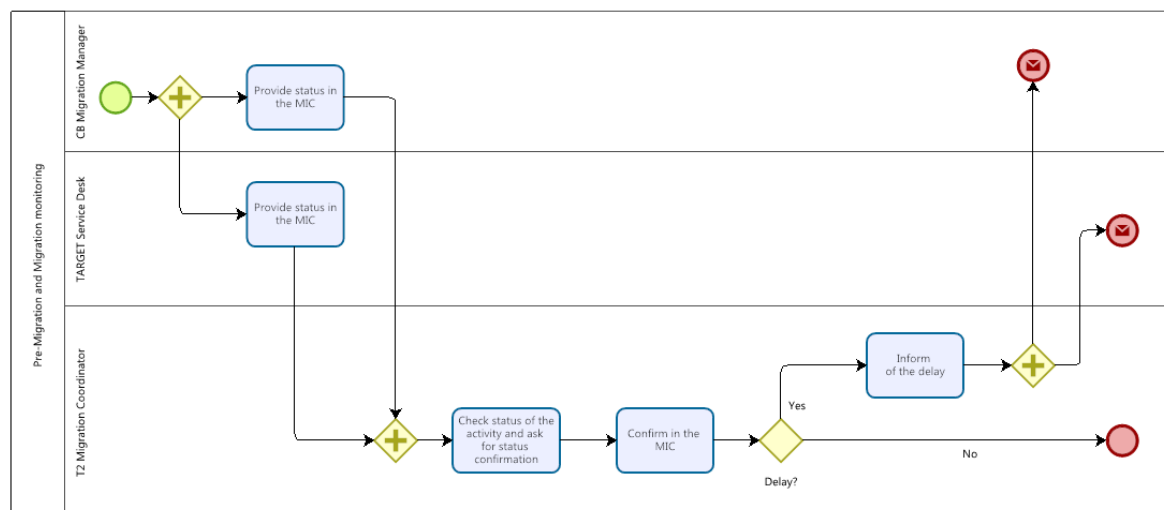


Figure 2 - Pre-Migration and Migration Monitoring Activities

| S.No | Activity | Actor | Timeline | Process description |
|------|----------|-------|----------|---------------------|
| 1. | Provide status in the MIC | TARGET Services Coordinator, CB Migration Manager | At actor's activity completion revised date/time OR Upon delay and/or incident | The CB or TARGET Service Desk updates the MIC |
| 2. | Check status of the activity and ask for status confirmation | T2 Migration Coordinator | n/a | T2 Migration Coordinator assesses the update by this actor. In case the status is not assessed as plausible, the T2 Migration Coordinator asks the actor for a status confirmation. |
| 3. | Update revised times in the MIC | T2 Migration Coordinator | n/a | T2 Migration coordinator confirms the status, making this information visible in the MIC. |
| 4. | Inform TARGET Services Coordinator/ TARGET Service Desk/ CB Migration Managers | T2 Migration Coordinator | In case of problem at a T2 Actor or in case the announced delay may threaten the (P)MCP completion | T2 Migration Coordinator informs the TARGET Services Coordinator/ TARGET Service Desk/ CB Migration Managers / Settlement Managers (Assessment of a Pre-Migration or Migration Checkpoint) |

Table 4 - Pre-Migration and Migration Activity Monitoring Activities

### 2.3    Escalation during Pre-Migration and Migration weekend

Escalations may be required during the Pre-Migration and Migration Weekend. In the T2 migration context, this procedure can be triggered by the T2 Migration Coordinator and by the TARGET Services Coordinator, if needed. The figure below presents the sequence of events and activities following the receipt of an escalation request from the CB Migration Managers.
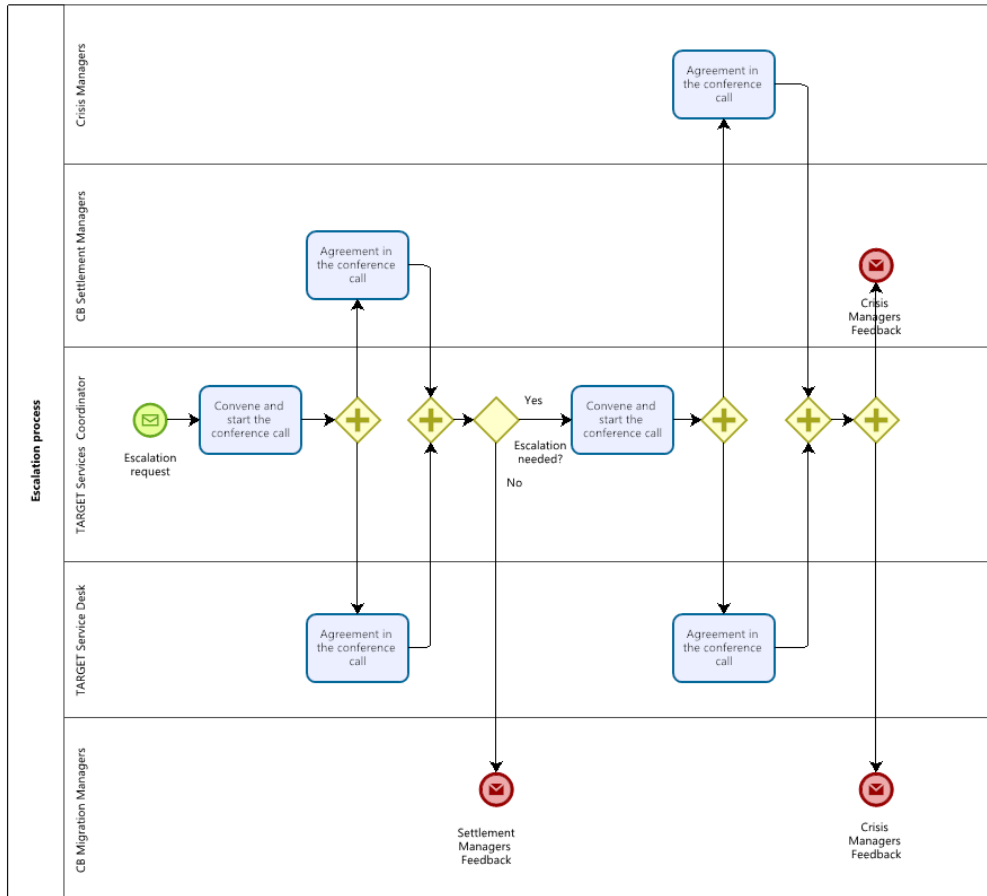
Figure 3 - Escalation BPMN

Escalation will also be triggered by default if there is a considerate delay in the Pre-Migration and Migration Weekend Checkpoint planned end times. The thresholds, roles of the involved actors, processes and expected timings are detailed in the tables below:

- Escalation timings

| Events | Pre-Migration | Migration Weekend |
|---|---|---|
| Convene the CB Migration Managers / conference call | When a delay of one T2 business day from the planned end time of a Pre-migration Check Point is identified | When a delay of at least thirty minutes from the planned end time of a Migration Check Point is identified (i.e. delay on any critical path activity) |

**Detailed Migration Document**

**Annex D – Monitoring and coordination procedures**

| Events | Pre-Migration | Migration Weekend |
|---|---|---|
| Trigger for the escalation to Settlement Managers or Crisis Managers | When a delay of one T2 business day from the planned end time of a Pre-Migration Checkpoint is identified and has not been resolved by the time of the call. The CB Migration Managers or Settlement managers will agree on the form of the escalation. | When a delay of at least thirty minutes from the planned end time of a Migration Check Point is identified (i.e. delay on any critical path activity) |
| Crisis Managers feedback to CB Migration Managers / Settlement Managers expected | Before the end of the T2 business day on the day of escalation | As soon as possible |

Table 5 - Escalation timings

- Escalation actors

| Process Actor | Process Role |
|---|---|
| Settlement Manager | Settlement Managers to take decision in case of migration related incidents and to consider whether the matter deserves to be escalated to the Crisis Managers. If required, the Settlement Managers will escalate the incident to the Crisis Managers in accordance with the Incident Management process described in the Manual of Operational Procedures. |
| TARGET Services Coordinator | Convenes and starts the conference call with Settlement managers and TARGET Service Desk<br>Convenes and starts the conference call with Crisis Managers, and TARGET Service Desk |
| Crisis Managers | Crisis Managers to take decision on the way forward to resolve the issue and provides feedback to CB Migration Managers and Settlement Managers. |
| TARGET Service Desk | Provide information on the assessment of a checkpoint or incident |

Table 6 - Escalation timings actors

**Annex D – Monitoring and coordination procedures**

- Escalation events

| S. No | Events | Actor | Timeline | Process description |
|---|---|---|---|---|
| 1 | Convene and start the Settlement Managers conference call | TARGET Services Coordinator | - When a delay of one T2 business day from the planned end time of a Pre-migration Checkpoint is identified<br>- When a delay of at least thirty minutes from the planned end time of a Migration Checkpoint is identified (i.e. delay on any critical path activity)<br>- Following the agreement in a conference call with CB Migration Managers in the assessment of a checkpoint. | The TARGET Services Coordinator has received a request for escalation and convenes and starts the conference call with CB Settlement Managers and TARGET Service Desk. |
| 2 | Agreement to escalate to Crisis Managers | Settlement Managers | The agreement and decision to escalate will be taken in the conference call. | Settlement Managers may agree and decide to escalate to crisis managers. If a decision cannot be reached, the issue will be escalated to Crisis Managers |
| 3 | Convene and start the Crisis Managers conference call | TARGET Services Coordinator | Following the agreement in the conference call with Settlement Managers. | The TARGET Services coordinator will notify the Crisis Managers and convene and start the conference call. |
| 4 | Crisis Managers feedback to CB Migration Managers / Settlement Managers expected | Crisis Managers | During Pre-Migration: before the end of the T2 business day on the day of escalation<br>During Migration Weekend: as soon as possible | Following their conference call, Crisis managers will provide feedback to Settlement Managers and CB Migration Managers |

Table 7 - Escalation timings events

# 3 Index of tables and figures

## 3.1 Index of tables

## 3.2 Index of figures