

**Detailed Migration Document for
PARTICIPANTS OF TARGET2-NL
Provided for information purposes
Annex C - Contingency Procedures**

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1 Introduction

The objective of this deliverable is to identify and develop a detailed set of activities that can be activated in response to a critical contingency scenario impacting actors involved in the migration to the new TARGET System, (i.e. during the Pre-Migration and Migration Weekend stages). These activities are the contingency procedures.

1.1 Background

The big-bang migration approach for the T2-T2S Consolidation migration requires a careful analysis of the possible outcomes that can reasonably be projected to occur in a given situation when a key actor has to perform a specific critical activity during a defined time period. Despite the various measures implemented to mitigate these risks¹, the analysis and the provision of contingency measures are required since the non-readiness or failure to complete critical activities by some actors has to be considered.

1.2 Scope

In Scope

- The scope of this document is to identify the contingency scenarios relevant to the migration to the new TARGET System.
- These contingency scenarios cover situations where one or multiple participants are unable to complete specific critical activities that prevent them from achieving a specific milestone.
- These contingency scenarios are covered in the following stages:
 - o Pre-Migration stage
 - o Migration Weekend stage
- This document covers a preliminary assessment of the retained contingency scenarios aiming at identifying the need of detailed procedures, specific tooling or testing.

Out of scope

- Any incident impacting the execution of activities not directly linked to any production activities is not considered in the scope of this document and will be monitored as part of the regular project monitoring.

¹ The following list illustrates the multiplicity and variety of measures: the close monitoring of the community readiness, the reinforcement of the communication on the readiness criticality in different public fora, the early provision of the specifications, the use of the MyStandards to allow an early validation of the messages by the participants, the provision of dedicated training, the long testing period for participants, the in-depth testing stage by the Eurosystem, and the pre-migration activities before the go-live week-end

- The details of the coordination, communication and escalation procedures are described in the Info Guide, the Communication framework of the Migration to the new TARGET System, Testing and Readiness Strategy document and in the Detailed Migration Document Annex D Monitoring and Coordination Procedures, and therefore not included in this document.

1.3 Organisation of the document

This document presents the identified contingency scenarios for the different stages of the migration to the new TARGET System.

For each of the identified scenarios, an assessment is conducted with the objective to identify the situations that would require a dedicated mitigating action (specific tool or procedure) and specific testing. Any scenario that has been excluded from the detailed assessment are described in the section 3.1 Excluded scenarios.

The descriptions of the detailed contingency procedures and related tools are described in the separate supporting document Detailed Contingency Activities. For each retained contingency scenario there is a detailed sequencing and steps for each activity to be executed as well as the roles of the involved actors.

1.4 Relationship to other documents

This document refers to contingency situations that can happen from the Pre-Migration stage until the end of the Migration Weekend stage.

Additional information on the overall migration can be found in the Detailed Migration Document.

Detailed processes and activities of the pre-migration can be found in the Pre-Migration Schedule.

The detailed activities performed for the migration weekend are described in the Migration Weekend Playbook document.

The Detailed Contingency Activities provides additional detailed information to this document and the retained scenarios.

1.5 Stakeholders

Actor	Description
Actor triggering the contingency situation	Any actor facing an issue that will initiate the contingency situation (CB, T2 Participant, T2 Coordinator, T2 Migration Coordinator, TARGET Service Desk).
T2 Participant	T2 direct participants including ancillary systems, holding an account in the books of one or more CBs and interacting with T2 directly via A2A or U2A mode.
National Service Desk (NSD)	National Service Desk of migrating Central Banks supporting all T2 Participant activities.
TARGET Service Desk (TSD)	Eurosystem actor supporting all migration and production activities.
TARGET System Migration Coordinator	Eurosystem actor responsible for the monitoring and coordination of the migration activities.
TARGET Coordination Desk	Eurosystem actor responsible for the monitoring and coordination of the operational activities.
MTRSG	Migration and Testing Sub-Group composed of CB, T2 Operator and NSP and Eurosystem representatives.
CB Migration Manager	The Migration Manager is the main point of contact of a migrating CB during the pre-migration and the migration weekend stages.
Settlement Managers/Crisis Managers	CB representatives in charge of managing the production system and crisis situations.
Network Service Provider (NSP)	Covers the two VAN (Value Added Network) providers "SIA/Colt" and "SWIFT".

2 Contingency Scenarios and Procedures

This section presents the contingency scenarios identified for the various stages.

For each identified scenario, an assessment of the criticality is made. This assessment is based on the nature of the incident (people, process, systems), the time at which the incident occurs (stage) and the mitigating actions in place.

The identified scenarios are described following the following pattern:

- High level context

- Actors involved
- Activities/Migration Check Points (PMCP, MWCP) at risk
- Definition of the Criticality/Priority and the rationale defined
- Testing requirements
- Procedure requirements
- Need for specific contingency tool to be developed

Not all scenarios have the same criticality nor require prior testing before the actual pre-migration or migration activities take place.

At the end of this section, a table will summarize the identified contingency scenarios and their assessments.

Detailed procedures and related contingency tool requirements are described in separate documents.

This list of scenarios and contingency procedures form the basis by which the Detailed Contingency Activities are developed.

2.1 Scenarios overview

Main scenarios identified:

Scenario ID	Stage	Scenario Description
CS.PM.01	Pre-Migration	NCBs failure to capture reference data
CS.PM.02	Pre-Migration	T2 participants failure to capture reference data
CS.MIG.01	Migration Weekend	NCBs fail to perform business as usual
CS.MIG.02	Migration Weekend	CMPs fail to perform business as usual

2.2 Scenarios assessment

CS.PM.01	NCBs failure to capture reference data
Description	A NCB fails to capture the required reference data during Pre-Migration which would allow them to carry its activities (access rights configuration, standing orders for reservation etc.). The detailed activities are described in the Pre-Migration Schedule.
Actors	NCB, TSD
Activities at risk	Reference data capture activities between Pre-Migration Checkpoint 3 (System

CS.PM.01	NCBs failure to capture reference data	
	access granted to all T2 participants) and Pre-Migration Checkpoint 6 (Reference data capture part 3 completed) during Pre-Migration (subject to the final version of the Pre-Migration Schedule).	
DMD reference	<ul style="list-style-type: none"> 4.1 - Pre-Migration activities 	
PMS reference	<ul style="list-style-type: none"> 3.1.3 - Reference data capture part 2 (CB for its community) 	
MWP reference	<ul style="list-style-type: none"> N/A 	
Mitigating actions	<ul style="list-style-type: none"> TSD may act on behalf of the NCB 	
Criticality – Priority	Medium	
Testing required	Yes	<ul style="list-style-type: none"> CBT/UT testing Pre-Migration (Dress-) Rehearsal No special testing is required to demonstrate that this activity can be performed by the NCB/NSD (contingency test) as it is already part of the Pre-Migration activities to capture reference data.
Detailed procedure	Yes	<ul style="list-style-type: none"> If the inability to capture the reference data delays the ability to timely reach the checkpoint, the NCB and T2 Migration Coordinator will follow the procedures described in the DMD Annex D – Monitoring and Coordination Procedures.
Contingency tool	No	The existing procedures and tools (DMT and CR-10) can be used by the NCB and TSD to capture the reference data.

CS.PM.02	T2 participants failure to capture reference data	
Description	A T2 participant fails to capture the required reference data during Pre-Migration which would allow them to carry out its activities (access rights configuration, standing orders for reservation etc.). The detailed activities are described in the Pre-Migration Schedule.	
Actors	T2 participant, NCB, TSD	

CS.PM.02	T2 participants failure to capture reference data	
Activities at risk	Reference data capture activities between PMCP3 and PMCP6 during Pre-Migration (i.e. T2.PM.T2P.DCA.SOR.RES)	
DMD reference	<ul style="list-style-type: none"> 4.1 Pre-Migration activities 	
PMS reference	<ul style="list-style-type: none"> 3.1.6 – Reference data capture part 3 (T2 participants) 	
MWP reference	<ul style="list-style-type: none"> N/A 	
Mitigating actions	<ul style="list-style-type: none"> NCBs may act on behalf of the T2 participant (1st line) TSD may act on behalf of the NCB (2nd line) <p>The tools to be used by the NCBs and/or the TSD are the same as the ones they will be using to capture their own reference data.</p>	
Criticality Priority	– Medium	
Testing required	Yes	<ul style="list-style-type: none"> CBT/UT testing Pre-Migration (Dress-) Rehearsal No special testing is required to demonstrate that this activity can be performed by the NCB/NSD (contingency test) as it is already part of the Pre-Migration activities to capture reference data.
Detailed procedure	Yes	<ul style="list-style-type: none"> If the inability to capture the reference data delays the ability to timely reach the checkpoint, the T2 participant and CB Migration Manager must follow the procedure described in the DMD Annex D – Monitoring and Coordination Procedures. The T2 participant must communicate the data required for the completion of its pre-migration activities to the NCB in a dedicated email. The detailed contingency communication means are subject to the bilateral relationship between the T2 participant and its Central Bank.
Contingency tool	No	<ul style="list-style-type: none"> The existing procedures and tools (DMT) can be used by the NCB and TSD to capture the T2 participant reference data.

CS.PM.02	T2 participants failure to capture reference data	
		<ul style="list-style-type: none"> The T2 participant can use the GUI functionality (CR-10) to load A2A messages for the capturing of reference if its A2A channel is down.

CS.MIG.01	NCB failure to perform business as usual	
Description	NCB failure to complete mandatory migration weekend activities (described in the MWP) and processing of central bank operations (CBO) – ref. CLM UDFS 5.3.1	
Stage	Migration Weekend	
Actors	NCBs, TSD	
Activities at risk	Migration weekend activities Processing of CBO	
DMD reference	<ul style="list-style-type: none"> 5.3 Migration Weekend Activities 	
PMS reference	<ul style="list-style-type: none"> N/A 	
MWP reference	<ul style="list-style-type: none"> T2.MW.CB.CLM.LD - CLM liquidity distribution T2.MW.CB.CL.REC - CB reconciliation of migrated credit lines T2.MW.CB.BR - CB balance reconciliation 	
Mitigating actions	<p>The TSD can support the NCBs in performing different type of central bank operations on behalf of the NCB</p> <p>The request to get support from the TSD will follow a defined escalation procedure.</p>	
Criticality – Priority	High	
Testing required	Yes	<ul style="list-style-type: none"> Scheduled special testing during CBT/UT and/or as Operational testing
Detailed procedure	Yes	<ul style="list-style-type: none"> If any delay is caused by the NBCs failure to perform business as usual, the escalation procedure described in the DMD Annex D – Monitoring and Coordination Procedures will be followed.

CS.MIG.01	NCB failure to perform business as usual	
		<ul style="list-style-type: none"> • The NCB must communicate the data required for the completion of its migration weekend activities to the TSD in a dedicated email. • TSD to act on behalf of the NCB
Contingency tool	No	

CS.MIG.02	T2 participant failure to perform business as usual	
Description	T2 participants fail to perform business as usual (activities described in the MWP) in both A2A and U2A (for its own activities or in its function as co-manager)	
Actors	T2 participant, NCBs, TSD	
Activities at risk	CLM and RTGS Liquidity Transfers	
DMD reference	<ul style="list-style-type: none"> • 5.3 Migration Weekend Activities 	
PMS reference	<ul style="list-style-type: none"> • N/A 	
MWP reference	<ul style="list-style-type: none"> • T2.MW.T2P.CLM.LD 	
Mitigating actions	If a participant's own means are exhausted or their use is not efficient, the participant may ask for the support of its NCB, which in such a situation can perform a limited number of payments on behalf of the affected participant.	
Criticality – Priority	High	
Testing required	Yes	<ul style="list-style-type: none"> • Special testing during CBT/User testing • Dress rehearsals are not included. ECB and 4CB have evaluated that testing of this scenario is not required during Dress Rehearsals but that this should be tested before the Pre-Migration.
Detailed procedure	Yes	<ul style="list-style-type: none"> • If any delay is caused by the CMPs failure to perform business as usual, the escalation procedure described in the DMD Annex D – Monitoring and Coordination Procedures will be followed.

CS.MIG.02	T2 participant failure to perform business as usual	
		<ul style="list-style-type: none"> • The general act on behalf procedure is described in the Info Guide • The communication channel to be used is described in the Info Guide • The request to get support from the NSD will follow the Info Guide procedure
Contingency tool	Yes	<ul style="list-style-type: none"> • Upload A2A files via U2A CR-10 – A participant using NSP1 can create A2A messages but it's A2A channel is down, as contingency the NCB with NSP2 (or NSP1 if the CB itself does not have problems with NSP1) can upload A2A messages on behalf of the participant. • Activation of backup payments CR-44 – With this CR, the NCB can activate backup interbank payment orders which allows participants to also be able to (i) send customer payments U2A (pacs.008) and (ii) send U2A payments without code word BACP (i.e. this allows sending normal payments and not only simplified backup payments). • NCBs NSD to act on behalf of a participant

2.3 Contingency scenarios: Summary

Scenario ID	Scenario	Priority	Testing	Detailed procedure	Contingency tool
Pre-Migration Stage					
CS.PM.01	NCBs failure to capture reference data	MEDIUM	YES	YES	NO
CS.PM.02	T2 Participants failure to capture reference data	MEDIUM	YES	YES	NO
Migration Weekend Stage					
CS.MIG.01	NCB failure to perform business as usual	HIGH	YES	YES	NO

Scenario ID	Scenario	Priority	Testing	Detailed procedure	Contingency tool
CS.MIG.02	T2 participant failure to perform business as usual	HIGH	YES	YES	YES

3 Appendix

3.1 Excluded scenarios

Situation	Timing of occurrence	Rationale to exclude these situations from the assessment:
No availability of both VAN Providers	From prior the pre-migration period until the launch	<ul style="list-style-type: none"> History shows that availability (uptime) of NSPs is close to 100% VAN providers are aware of the technical requirements well in advance of the start of Pre-Migration and have the necessary experience to troubleshoot and remedy any issues that may occur. VAN providers have their own contingency measures.
Partial wide failure (one VAN provider and/or one of their services and/or geographical regions)	From prior the pre-migration period until the launch	<ul style="list-style-type: none"> History shows that availability (uptime) of NSPs is close to 100% VAN providers are aware of the technical requirements well in advance of the start of Pre-Migration and have the necessary experience to troubleshoot and remedy any issues that may occur. VAN providers have their own contingency procedures and mitigating measures.
Central Banks fail to complete testing and/or complete the dress rehearsals	Prior Pre-migration stage	<ul style="list-style-type: none"> Mitigated through the participation to the various testing phases/Dress rehearsals. Standard project monitoring and governance applies. Any significant deviation will be identified, and appropriated actions discussed through the agreed governance.
Central Banks fail to fully support their communities in	Prior Pre-migration stage	<ul style="list-style-type: none"> Standard project monitoring and governance applies.

Situation	Timing of occurrence	Rationale to exclude these situations from the assessment:
preparation of the Pre-Migration period		<ul style="list-style-type: none"> Any significant deviation will be identified, and appropriated actions discussed through the agreed governance.
4CB fails to deliver the production instance (root causes: late or no delivery of software and the required hardware upgrades)	Pre-Migration stage	<ul style="list-style-type: none"> Mitigated through the participation to the various testing phases/Dress rehearsals. Standard project monitoring and governance applies.
CSPs do not deliver their software timely preventing participants to start the Pre-Migration	Prior Pre-Migration stage	<ul style="list-style-type: none"> Connectivity testing to production will begin 3,5 months prior to the start of Pre-Migration. This should be sufficient time to solve any configuration or compatibility issues preventing the participant from connecting. Standard project monitoring and governance applies.
CMPs Pre-migration activities were not completed	Pre-Migration stage	<ul style="list-style-type: none"> Standard project monitoring (in this case, close monitoring from the CBs) and governance applies. Any significant deviation will be identified, and appropriated actions discussed through the agreed governance.
CRDM is not propagating to the respective services (i.e. T2, TIPS and T2S)	Pre-Migration stage	<ul style="list-style-type: none"> Reference Data propagation will take place more than once during pre-migration, i.e., possible problems to this extent would not show up during the migration weekend Standard project monitoring and governance applies.
Central Banks fail to capture the required reference data in the allocated timeframe	Pre-Migration stage	<ul style="list-style-type: none"> Mitigated through the intervention of the TSD TSD acting on behalf of NCB
CMPs fail to initiate system access to production	Pre-Migration stage	<ul style="list-style-type: none"> Standard project monitoring and escalation apply T2 Service Desk or NSP/VAN provides additional support
Central Banks fail to successfully initiate	Pre-Migration stage	<ul style="list-style-type: none"> Standard project monitoring and escalation apply

Situation	Timing of occurrence	Rationale to exclude these situations from the assessment:
access to T2		<ul style="list-style-type: none"> • T2 Service Desk or NSP/VAN provides additional support
CRDM is not propagating to the respective services (i.e. T2, TIPS and T2S)	Migration weekend stage	<ul style="list-style-type: none"> • Propagation is executed several times during the Pre-Migration stage; no such surprises can show up at the migration weekend. • Standard project monitoring and governance applies as described in the T2 MOP section 3 – Fundamentals of Incident Management • Any significant deviation will be identified, and appropriated actions discussed through the agreed governance.
Insufficient allocated time to perform the migration weekend (for the TSD)	Migration weekend stage	<ul style="list-style-type: none"> • Mitigated through the participation to the various testing phases/Dress rehearsals
CSP fail to deploy its software preventing participants from performing business as usual	Migration weekend stage	<ul style="list-style-type: none"> • CSPs will deploy their software well in advance of the Migration Weekend stage and prior to the Pre-Migration. If they fail to do so, or this is delayed, there is sufficient time to remedy this before the start of Pre-Migration. • Software adaptations after the migration of balances are the responsibility of the CMPs and their CSPs. CMPs must apply their own contingency procedures and mitigating measures. • Standard project monitoring and escalation will apply • Additional support from CSP and NCB/TSD
The mapping table is incomplete (missing account).	Migration Weekend stage	<ul style="list-style-type: none"> • There will be several mapping table submissions and validation cycles in the Pre-Migration Schedule and a final checkpoint to verify that all final mapping tables have been submitted to mitigate the risk of having an incomplete mapping table.
ECONS is activated on the final day of TARGET2.	Migration Weekend stage	<ul style="list-style-type: none"> • The migration weekend will not be started. • Standard operation and escalation

Situation	Timing of occurrence	Rationale to exclude these situations from the assessment:
		<p>procedures described in the DMD Annex D – Monitoring and Coordination procedures will be followed.</p> <ul style="list-style-type: none"> Migration will not go ahead before conditions allow it (i.e. ECONS is closed and balances are available to be migrated in TARGET2).
NCBs are unable to access data required to reconcile balances in T2	Migration Weekend stage	<ul style="list-style-type: none"> The TSD will provide all NCBs with a list of balances with the new account identifiers to verify and confirm the result of the account balance migration. NCBs that cannot access the required data and timely complete the migration weekend activities will follow the procedure in the DMD Annex D -Monitoring and Coordination Procedures. The root cause and consequences would not only affect the activity for the reconciliation of balances, but also the following migration weekend activities
TARGET Service Desk identifies discrepancy in the migrated balances	Migration Weekend stage	<ul style="list-style-type: none"> Mitigating actions can only be performed by TSD, no other actor is involved.
Delay due to the automatic or manual failure of the migration of the balances by the TARGET2 Service Desk	Migration Weekend stage	<ul style="list-style-type: none"> In case of delay (during pre-migration and migration weekend) the Monitoring and Coordination Procedures and escalations described in the DMD Annex D should be followed. Postponing activities regardless of the scope of the delay is not a contingency procedure.

3.2 List of abbreviations

Abbreviation	Description
A2A	Application-to-Application T2S Access Mode
MBT	Migration of Balances Tool
CSP	Critical Service Provider
BPMN	Business Process Management Notation
NSD	National Service Desk

Abbreviation	Description
TSD	TARGET Service Desk
TCD	TARGET Coordination Desk (ECB)
EMT	ECB Migration Team
NCB	National Central Bank
DMD	Detailed Migration Document
CMP	Closely Monitored Participant
RMP	Regularly Monitored Participant
MOP	Manual of Operational Procedures
NSP	Network Service Provider
PMCP	Pre-Migration Check Point
MWCP	Migration Weekend Check Point
T2P	T2 Participant
PMS	Pre-Migration Schedule
MWP	Migration Weekend Playbook
VAN	Value Added Network
U2A	User-to-Application T2S Access Mode