

# Detailed Contingency Activities for information purposes to participants of TARGET2-NL

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## 1 Introduction

The purpose of this deliverable is to describe in detail the procedures and activities for the retained contingency scenarios from the Contingency Procedures deliverable. The procedures are 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). In this context and for future references in this document, unless otherwise specified, T2 refers specifically to CLM and RTGS and the common component.

### 1.1 Scope

The following topics are within the scope of this document:

- The scope of scenarios is limited to scenarios relevant to the production migration activities to the new TARGET System which were identified in the main document of the Contingency Procedures deliverable.
- The description and sequencing of activities related to the execution of the contingency measures during the migration for Central Banks, T2 participants and the Eurosystem.
- Dependencies between the T2 Actors and their roles during the execution of the migration scenario script.

The following topics are outside the scope of this document:

- Scenarios including only the TARGET Service Desk and Network Service Provider
- The rationale for including the selected scenarios and the scenarios assessment (these are available in the Contingency Procedures deliverable)
- Coordination, communication and escalation procedures are described in the MOP, Communication framework and in the Detailed Migration Document Annex D – Monitoring and Coordination Procedures.

This document is to be treated as part of the Contingency Procedures document; however, in order to facilitate handling, it is currently dealt with under a separate versioning.

## 1.2 Actors

The following table details the actors whose activities are in scope of this annex document.

Actor	Description
<b>Actor triggering the contingency situation</b>	Any actor facing an issue that will initiate the contingency situation (CB, T2 Participant, T2 Coordinator, T2 Migration Coordinator, TARGET Service Desk).
<b>T2 Participant (T2P)</b>	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.
<b>Central Banks (CB)</b>	CBs migrating to T2 in the actual migration weekend involving all participating account holders including banks as well as ancillary systems. Hereby, CBs are fulfilling one or multiple of the following roles: 1. System Entity and 2. RTGS System Owner.
<b>National Service Desk (NSD)</b>	National Service Desk of migrating Central Banks supporting all T2 Participant activities.
<b>TARGET2 Service Desk (TSD)</b>	Eurosystem actor supporting all T2 migration and production activities.
<b>T2 Migration Coordinator</b>	Eurosystem actor responsible for the monitoring and coordination of the migration activities.
<b>TARGET Coordination Desk</b>	Eurosystem actor responsible for the monitoring and coordination of the operational activities.
<b>MTRSG</b>	Migration and Testing Sub-Group composed of CB, T2 Operator and NSP and Eurosystem representatives.
<b>CB Migration Manager</b>	The Migration Manager is the main point of contact of a migrating CB during the pre-migration and the migration weekend stages.
<b>Settlement Managers (SM) /Crisis Managers (CM)</b>	CB representatives in charge of managing the production system and crisis situations.

<b>Network Service Provider (NSP)</b>	Covers the two VAN (Value Added Network) providers “SIA/Colt” and “SWIFT”.
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Table 1 - Overview of actors

### 1.3 Detailed contingency scenario descriptions

The Chapter **Error! Reference source not found.** of this document present the flow of activities to be performed by the different actors in case a contingency situation or a migration specific incident materialises.

This description is done in three steps:

- The first part provides a background and short description of the scenario.
- The second part presents the flow of activities to be executed for the particular situation using BPMN 2.0 notation standards.
- The BPMN diagram is then supported by a table listing the activities by actor. For each of these activities, an activity code is used. Section 1.**Error! Reference source not found.** provides a detailed description for each activity code used in the diagrams.
- The last part includes descriptions of the different variations of the contingency procedures.

### 1.4 Activity Description

The following ID scheme is used for the activity codes in the activity tables:

Part	Abbreviation	Description
1	CS	Contingency Scenario
2	PM / MIG	Pre-Migration / Migration Weekend
3	01 / 02 / 03...	Refers to the scenario number
4	CBM / TSD / MC / CM / MTRSG / SM	CB Migration Manager / TARGET Service Desk / T2 Migration Coordinator / Crisis Managers / Migration Testing Readiness Sub-Group / Settlement Managers /
5	1 / 2 / 3... e.g. CM.1	Crisis Manager first activity

Table 2 - Activity Description ID scheme

The activity codes in the activity tables are made of the above five parts.

## 2 Contingency Scenarios and Procedures

### 2.1 Scenarios overview

The table below provides an overview of the retained scenarios identified in the main document of the Contingency Procedures and the amount of possible variations.

Scenario ID	Stage	Scenario Description	Variations
CS.PM.01	Pre-Migration	NCBs failure to timely capture reference data	1
CS.PM.02	Pre-Migration	T2 participants failure to timely capture reference data	1
CS.MIG.01	Migration Weekend	NCBs failure to perform business as usual	1
CS.MIG.02	Migration Weekend	T2 participants failure to perform business as usual	3

Table 3 - Overview of contingency scenarios and variations

### 2.2 CS.PM.01 – NCBs failure to capture reference data

#### 2.2.1 Background

This scenario covers the situation whereby a NCB fails to carry out the required activities during Pre-Migration. This results in inability or delays the ability to timely reach a pre-defined checkpoint (ref. DMD Annex A - Pre-Migration Schedule). Should this scenario materialize, the affected NCB actor at hand must inform the TSD and T2 Migration Coordinator. The details of the procedures are described in the Detailed Migration Document Annex D – Monitoring and Coordination Procedures. If the issue is unresolved by the time it has been escalated to the Crisis Managers, the contingency procedures can be activated.

## 2.2.2 BPMN

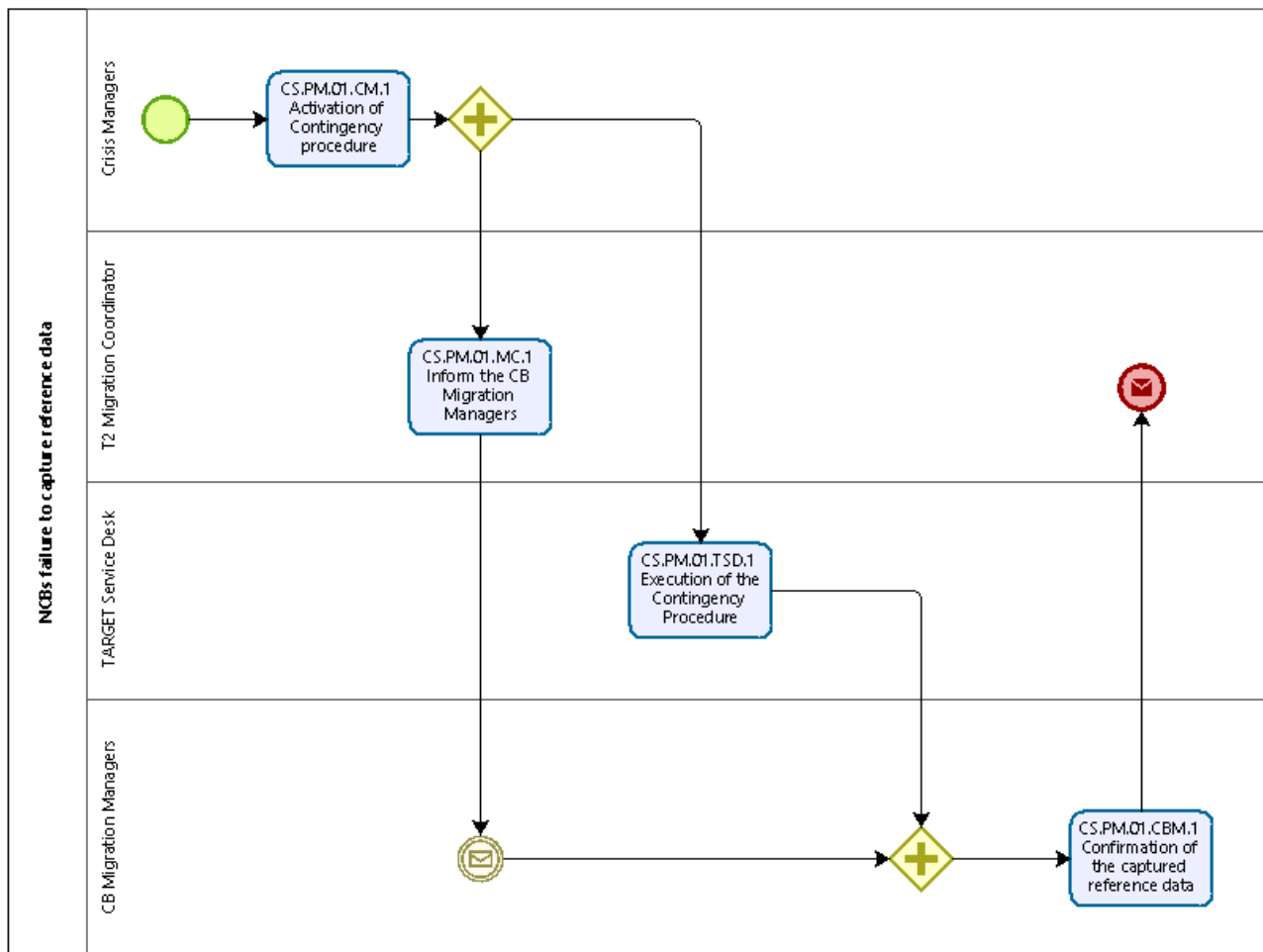


Figure 1 - BPMN: CS.PM.01 - NCBs failure to capture reference data

## 2.2.3 Activities

Activity Name	Actor(s)	Activity code	Activity Description
Activation of Contingency Procedure	Crisis Managers	CS.PM.01.CM.1	Crisis Managers agree on which contingency procedure to activate and inform the Settlement Managers and T2 Migration Coordinator if they were not in the same call.
Inform the CB Migration Managers	T2 Migration Coordinator	CS.PM.01.MC.1	The T2 Migration Coordinator informs the CB Migration Managers of the activation of Contingency Procedure

<i>Activity Name</i>	<i>Actor(s)</i>	<i>Activity code</i>	<i>Activity Description</i>
Execution of Contingency Procedure	TARGET Service Desk	CS.PM.01.TSD.1	TSD to act on behalf until the issue on the NCB side is resolved
Execution of other Contingency Procedure	N/A	N/A	Other mitigating actions (depending on the root cause and time of the Pre-Migration)
Confirmation of the captured reference data	CB Migration Manager	CS.PM.01.CBM.1	The CB Migration Manager confirms the completion of the reference data capture to the T2 Migration Coordinator and TSD.

Table 4 - Activity table for CS.PM.01 - NCBs failure to capture reference data

#### 2.2.4 Contingency variation

##### Contingency variation:

- The required services to timely complete pre-migration activities by an NCB are unavailable. The root cause may be U2A cannot be accessed, the A2A channel is not available or other technical or human root causes preventing access. The contingency activities can be triggered if the issue has not been resolved within the limits of the standard and escalation procedures described in the DMD Annex D - Monitoring and Coordination Procedures.

### 2.3 CS.PM.02 – T2 participants failure to capture reference data

#### 2.3.1 Background

This scenario covers the situation whereby a T2 participant fails to carry out the required activities during Pre-Migration and this inability delays the ability to timely reach a pre-defined checkpoint (ref. DMD Annex A - Pre-Migration Schedule). Should this scenario materialize, the affected T2 participant must inform the NCB/NSD in accordance with the instructions provided by the NCB. The T2 participant should also notify its NCB/NSD if the problem has been resolved and the capturing of reference data can resume. The details of the procedures are described in the Detailed Migration Document Annex D – Monitoring and Coordination Procedures. If the issue is unresolved by the time it has been escalated to the Crisis Managers, the contingency procedures can be activated.



### 2.3.2 BPMN

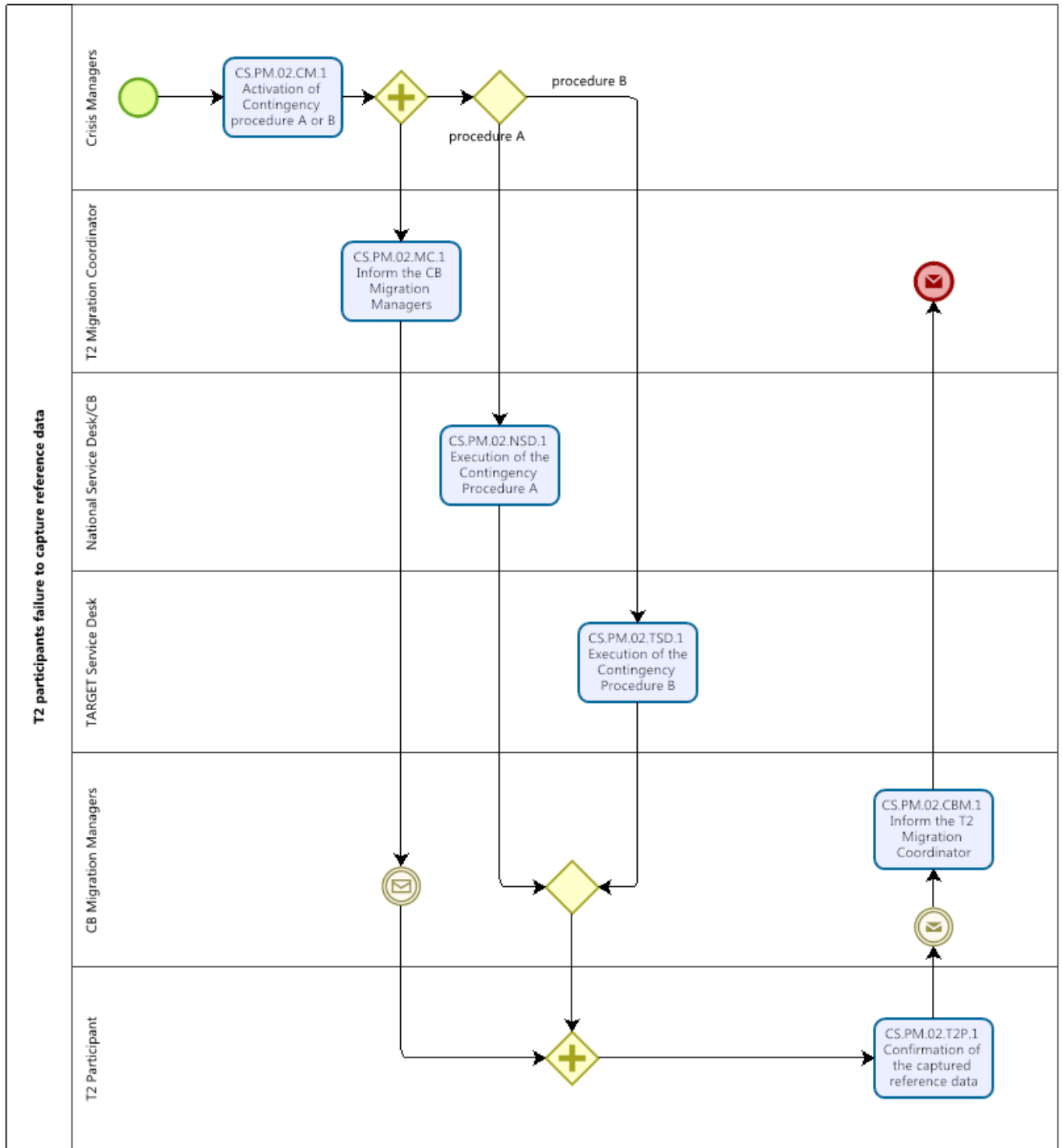


Figure 2 - BPMN: CS.PM.02 – T2 participants failure to capture reference data

### 2.3.3 Activities

<i>Activity Name</i>	<i>Actor(s)</i>	<i>Activity code</i>	<i>Activity Description</i>
Activation of Contingency Procedure A or B	Crisis Managers	CS.PM.02.CM.1	Crisis Managers agree on which contingency procedures to activate and informs the Settlement Managers and T2 Migration Coordinator (if they were not in the same call)
Inform the CB Migration Managers	T2 Migration Coordinator	CS.PM.02.MC.1	The T2 Migration Coordinator informs the CB Migration Managers of the activation of Contingency Procedure
Execution of Contingency Procedure A	NSD/CB	CS.PM.02.NSD.1	NSD/NCB to act on behalf until the issue on the T2 participant side is resolved (should this be the case, the NCB should be notified as early as possible)
Execution of Contingency Procedure B	TARGET Service Desk	CS.PM.02.TSD.1	TSD to act on behalf until the issue on the NCB side is resolved
Execution of other Contingency Procedure	N/A	N/A	Other mitigating actions (depending on the root cause, scope and time of the Pre-Migration)
Confirmation of the captured reference data	T2 participant,	CS.PM.02.T2P.1	The T2 participant confirms the completion of the reference data capture to its respective CB Migration Manager.
Inform the T2 Migration Coordinator	CB Migration Manager	CS.PM.02.CBM.1	The CB Migration Manager informs the T2 Migration Coordinator of the successful reference data capture.

Table 5 - Activity table for CS.PM.02 – T2 participants failure to capture reference data

### **2.3.4 Contingency variation**

#### **Contingency variation:**

- The required services to timely complete pre-migration activities by a T2 Participant are unavailable. The T2 participant will contact the NSD of the NCB who decides on the course of action. Depending on the NCB the NSD may decide to act on behalf via GUI or upload A2A messages on a limited basis on behalf of the T2 participant. The contingency activities can be triggered if the issue has not been resolved within the limits of the standard and escalation procedures described in the DMD Annex D - Monitoring and Coordination Procedures.

## **2.4 CS.MIG.01 – NCBs failure to perform business as usual**

### **2.4.1 Background**

In this scenario, a technical or human error prevents the NCB to carry out its scheduled activities during the Migration Weekend. The failure is identified after the migration of balances, the reconciliation activities and the Migration Weekend Checkpoint 3 is reached (Migration managers confirm the initiation of liquidity distribution ref. Migration Weekend Playbook deliverable). In this case the monitoring and coordination procedures should be followed and if the issue is not resolved within the predefined limits (DMD Annex D), the contingency procedure is activated by the Crisis Managers.

## 2.4.2 BPMN

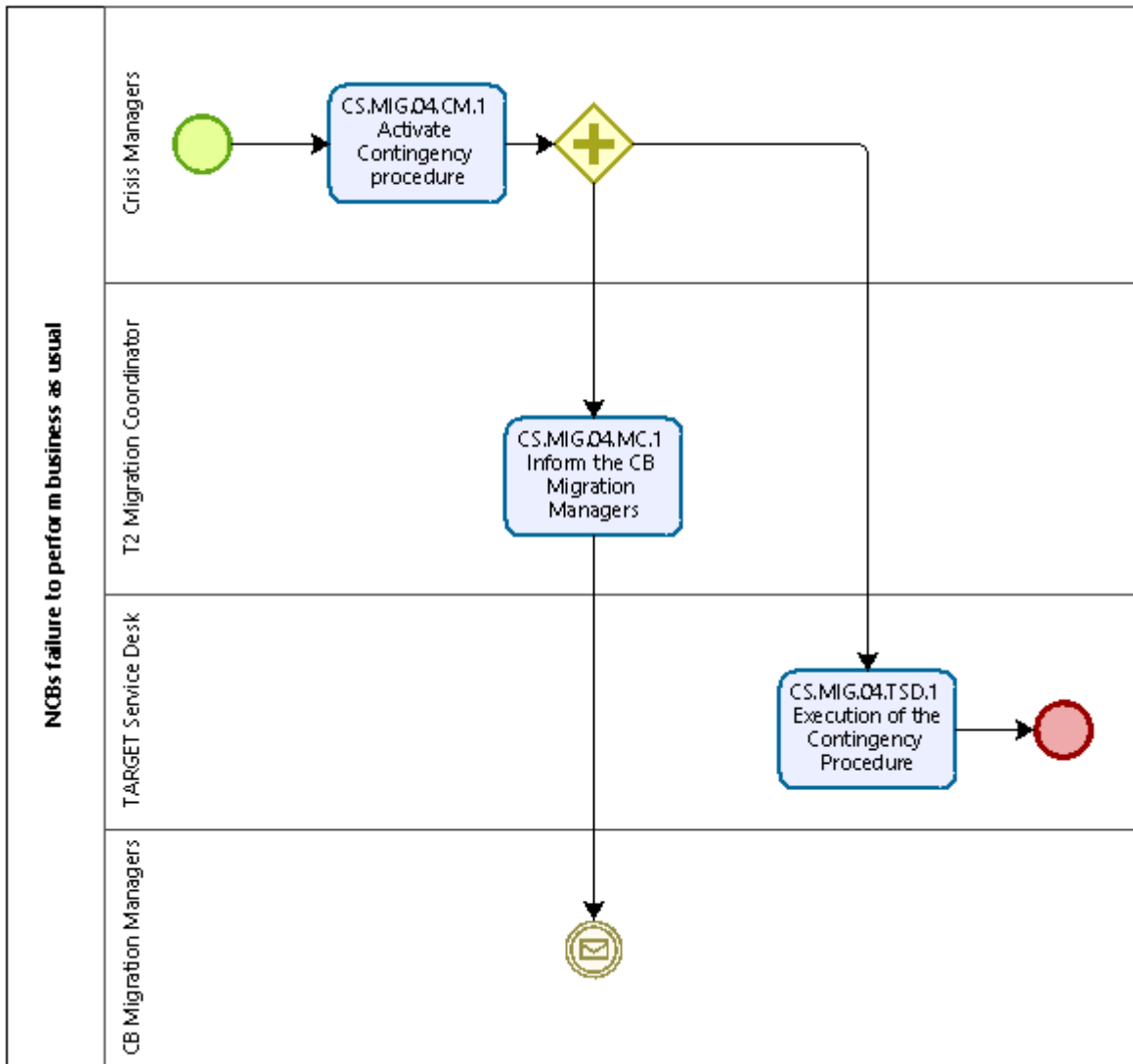


Figure 3 - BPMN: CS.MIG.01 – NCBs failure to perform business as usual

## 2.4.3 Activities

Activity Name	Actor(s)	Activity code	Activity Description
Activate contingency Procedure	Crisis Manager	CS.MIG.01.CM.1	Crisis managers activate the contingency procedure (and informs the Settlement Managers and T2 Migration Coordinator if they were not in the same call).
Inform the CB Migration Managers	T2 Migration Coordinator	CS.MIG.01.MC.1	The T2 Migration Coordinator informs the CB Migration Managers of the activation of Contingency Procedure

<i>Activity Name</i>	<i>Actor(s)</i>	<i>Activity code</i>	<i>Activity Description</i>
Execution of Contingency Procedure	TARGET Service Desk	CS.MIG.01.TSD.1	TSD to act on behalf until the issue on the NCB side is resolved
Execution of other Contingency Procedure	N/A	N/A	Other mitigating actions (depending on the root cause)

Table 6 - Activity table for CS.MIG.01 - NCBs failure to perform business as usual

#### 2.4.4 Contingency variation

##### Contingency variation:

- The required services to timely complete the migration weekend activities by an NCB are unavailable. The root cause may be U2A cannot be accessed, the A2A channel is not available or other technical or human root causes preventing access to the relevant systems. The contingency activities can be triggered if the issue has not been resolved within the limits of the standard and escalation procedures described in the DMD Annex D - Monitoring and Coordination Procedures.

## 2.5 CS.MIG.02 – T2 participants failure to perform business as usual

### 2.5.1 Background

In this scenario, a technical or human error prevents the T2 participant to carry out its scheduled activities during the Migration Weekend. The failure is identified after the migration of balances, the reconciliation activities and the Migration Weekend Checkpoint 3 is reached (Migration managers confirm the initiation of liquidity distribution ref. Migration Weekend Playbook deliverable). In this case the monitoring and coordination procedures should be followed and if the issue is not resolved within the predefined limits (DMD Annex D), the contingency procedure is activated by the Crisis Managers.

### 2.5.2 BPMN

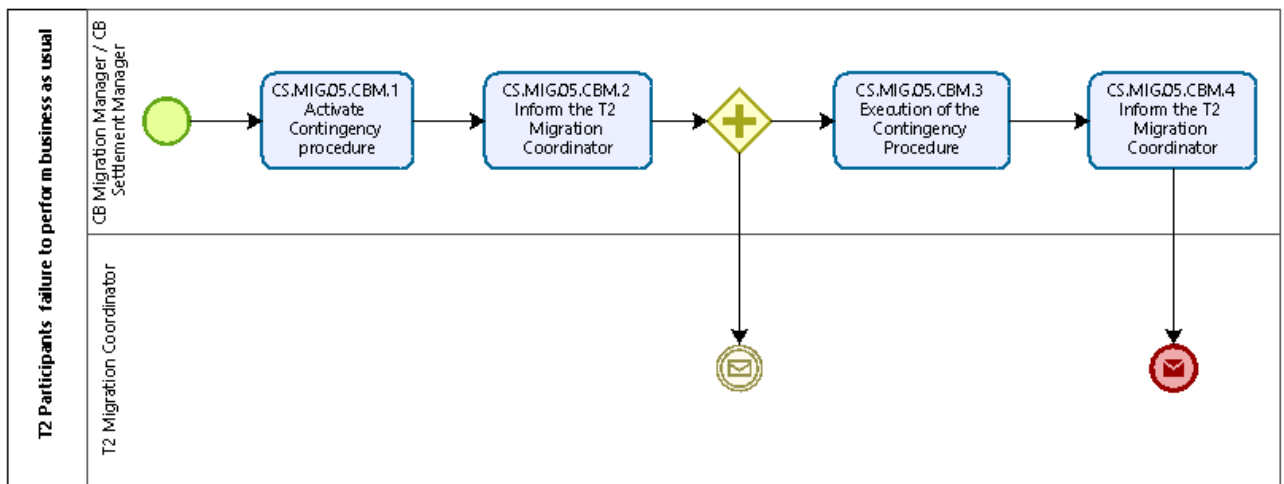


Figure 4 - BPMN: CS.MIG.02 – T2 participants failure to perform business as usual

### 2.5.3 Activities

Activity Name	Actor(s)	Activity code	Activity Description
Activate contingency procedure	CB Migration Manager / Settlement Manager	CS.MIG.02.CBM.S M.1	The CB Migration Manager or Settlement Manager activates the contingency procedure.
Inform the T2 Migration Coordinator	CB Migration Manager	CS.MIG.02.CBM.2	The CB Migration Manager informs the T2 Migration Coordinator of the activation of Contingency Procedure
Execution of Contingency Procedure	CB Migration Manager, Settlement Manager	CS.MIG.02.CBM.3	The CB Migration Manager or Settlement Manager executes the contingency procedure and/or notifies the T2 participant of the procedure.

Inform the T2 Migration Coordinator	CB Migration Manager	CS.MIG.02.CBM.4	The CB Migration Manager informs the T2 Migration Coordinator of the outcome.
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Table 7 - Activity table for CS.MIG.02 – T2 participants failure to perform business as usual

#### 2.5.4 Contingency variations

##### Contingency variations: 3

- Variation 1 - Upload A2A files via U2A (contingency procedure A)

In this variation 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 (CR-10).

- Variation 2 - Activation of backup payments (contingency procedure B)

With the CR-44, the NCB can activate backup payment functionality which allows participants 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).

- Variation 3 – NCB act on behalf (procedure C)

If the issue cannot be resolved through the use of the contingency procedure applied with variation 1 or variation 2, 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.

### 3 List of abbreviations

Abbreviation	Description
<b>A2A</b>	Application-to-Application T2S Access Mode
<b>MBT</b>	Migration of Balances Tool
<b>CSP</b>	Critical Service Provider
<b>BPMN</b>	Business Process Management Notation
<b>NSD</b>	National Service Desk
<b>TSD</b>	TARGET Service Desk
<b>TCD</b>	TARGET Coordination Desk (ECB)
<b>EMT</b>	ECB Migration Team
<b>NCB</b>	National Central Bank
<b>DMD</b>	Detailed Migration Document
<b>CMP</b>	Closely Monitored Participant
<b>RMP</b>	Regularly Monitored Participant
<b>MOP</b>	Manual of Operational Procedures
<b>NSP</b>	Network Service Provider
<b>PMCP</b>	Pre-Migration Check Point
<b>MWCP</b>	Migration Weekend Check Point
<b>T2P</b>	T2 Participant
<b>PMS</b>	Pre-Migration Schedule
<b>MWP</b>	Migration Weekend Playbook
<b>VAN</b>	Value Added Network
<b>U2A</b>	User-to-Application Access Mode

Table 8 - List of abbreviations

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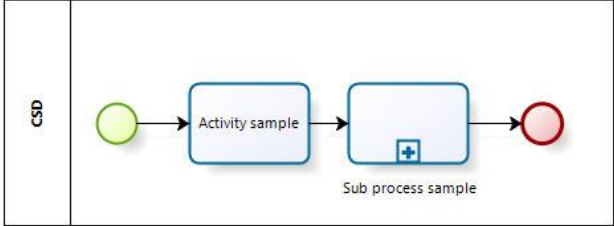

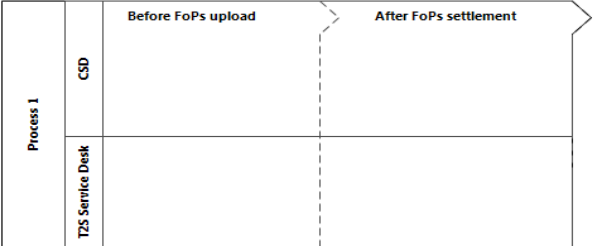
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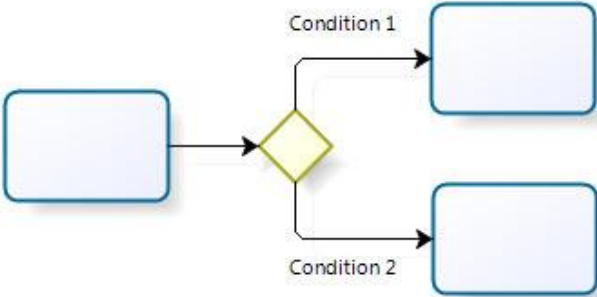
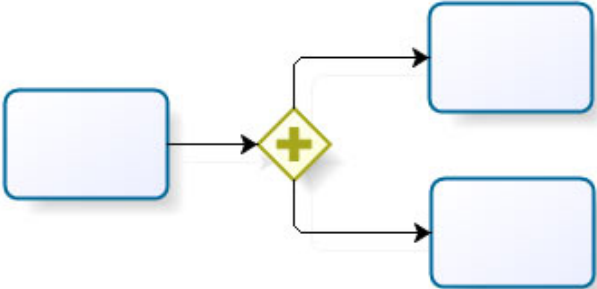
## 5 Activity Description Methodology – BPMN Notation

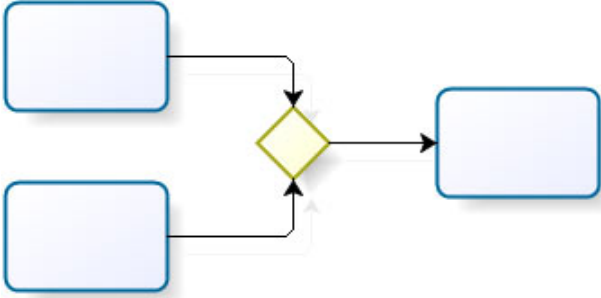
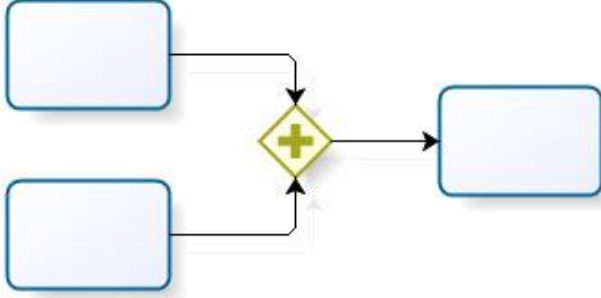

Table 1 - Overview of BPMN elements

Graphical Elements	Description
<p style="text-align: center;">Pool:</p> 	<p><b>Pool</b></p> <p>A pool groups activities into a process which is executed by one or several institutions. This could be T2 actors such as Central Banks as well as CSDs and Payment Banks (with a direct connection to T2).</p>
<p style="text-align: center;">Pool with activities:</p> 	<p>Pool with lanes: A pool can be split into lanes, e.g. to distinguish activities performed by Central Banks, CSDs and Payment Banks.</p>
<p style="text-align: center;">Pool with lanes:</p> 	<p>Pool with milestones: A pool can be split into milestones in order to represent time dependencies graphically.</p>
<p style="text-align: center;">Pool with milestones:</p> 	

Graphical Elements	Description
	<p><b>Activity</b></p> <p>An activity is the generic term for work being performed as part of the business process.</p> <p>There are two types of activities:</p> <p><b>Task:</b> An activity can depict a task i.e. an atomic unit of a process which cannot be divided any further</p> <p><b>Sub-process:</b> An activity can be a sub-process that could be divided into several tasks.</p>
	<p><b>Group</b></p> <p>A Group is a loose combination of activities and serves as a means to categorise or highlight activities. Similarly, groups are used to indicate T2 services belonging together.</p>

<p>Generic start event:</p>  <p>Start event timer:</p>  <p>Start event condition:</p>  <p>End event:</p>  <p>Intermediate event timer:</p>  <p>Intermediate event condition:</p>  <p>Intermediate event message:</p>  <p>Intermediate event signal:</p>	<p><b>Event</b></p> <p>An event indicates something “happening” at the beginning/end or in the course of the process flow.</p> <p>There are several types of events:</p> <p>Generic start event: The event that triggers the start of the process is not specific.</p> <p>Start event timer: The event that triggers the process is a specific point in time.</p> <p>Start event condition: The fulfilment of a condition initiates a process.</p> <p>End event: The process terminates.</p> <p>Intermediate event timer: The process awaits the end of a time span.</p> <p>Intermediate event condition: The process awaits the fulfilment of a business condition.</p> <p>Intermediate event message: The receipt of a message triggers subsequent activities.</p>
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Graphical Elements	Description
	<p>Intermediate event signal: The receipt of a signal triggers subsequent activities (e.g. an migration synchronisation point)</p>
	<p><b>Sequence Flow</b></p> <p>A sequence flow indicates the order in which activities are performed.</p>
<p>Decision:</p>  <p>Fork:</p> 	<p><b>Decision and Fork/Splitting the process flow</b></p> <p>There are two options for splitting the process flow:</p> <p>Decision: A decision indicates that the process can follow either one of two alternative process flows (“OR”-connection). In this case two or more conditions are described which determine the actual process flow.</p> <p>Fork: A fork indicates that the process will follow two process flows in parallel (“AND”-connection).</p>

Graphical Elements	Description
<p style="text-align: center;">Merge:</p>  <p style="text-align: center;">Join:</p> 	<p><b>Merge and Join/Combining the process flow</b></p> <p>There are two options for combining the process flow:</p> <p>Merge: A merge indicates that two process flows are combined into one as soon as the first alternate process flow reaches the gateway (“OR”-connection).</p> <p>Join: A join indicates that two process flows are combined into one only if both process flows have reached the gateway (“AND”-connection).</p>
	<p><b>Activity submitted to deadline</b></p> <p>An activity may be submitted to a deadline (e.g. time limit for an escalation body to take a decision): when the deadline is reached, the next activity in the process can commence.</p>