

**California Public Utilities Commission
Year 2000 Program Assessment Checklist & Survey for Jurisdictional Companies¹**

Company Name: _____

Address: _____

Type of Utility: _____

Utility No. _____

Name of individual with primary responsibility for addressing the Year 2000 problem in your company: _____

Title: _____

Address: _____

Telephone No.: _____

Fax No.: _____

Email address: _____

**PLEASE DIRECT YOUR RESPONSES TO THE APPROPRIATE INDUSTRY
DIVISION AT THE CPUC, ATTENTION Y2K COORDINATOR**

Preliminary Questions

If the company's ONLY computerized systems are related to billing or other administrative tasks, please check this box , STOP HERE and return this page.

If the company has computerized service delivery systems under its control, please complete the remainder of this survey. For the purposes of this question, include embedded systems necessary to delivery of the utility services you provide. If you do not know whether you have embedded systems necessary to delivery of the utility services you provide, please complete the remainder of this survey.

I certify that the responses provided to this survey are true and correct, and that I have the authority to represent the company on these issues.

By: _____

Title: _____

Company: _____

¹ Modeled primarily on the U.S. GAO's Year 2000 Program Assessment Checklist

For each question below which requires a “yes” or “no” answer, please check the corresponding box if your answer is “yes”. For questions which require an additional response, please provide your responses on separate sheets of paper.

Awareness

- Has the company defined and documented the potential impact of the Year 2000 problem? Please provide a summary of these efforts to the CPUC.
- Has the company conducted a Year 2000 awareness campaign with respect to:
 - Employees?
 - Customers?
 - Vendors?

Please summarize your efforts and provide the CPUC with copies of sample documentation relating to any such awareness campaign which could be helpful to an evaluation of your effort.

- Has the company assessed the adequacy of its program management policies, capabilities, and practices, including configuration management, program and project management, and quality assurance?
- Has the company developed and documented a Year 2000 strategy? Please summarize your strategy.
- Is the Year 2000 strategy supported by executive management?
- Has the company established an executive management council or committee to guide the Year 2000 program?
- Has a program manager been appointed and a Year 2000 program office been established and staffed? Who is the manager and what is his/her title and level in the company? How many employees and contractors are dedicated to this effort?
- When did you begin your effort to become Year 2000 compliant and what is your estimated completion date for your compliance plan?
- Summarize the resources you anticipate will be necessary for your company to remedy your Year 2000 issues.
- Has the company identified technical and management points of contacts in core business areas?

- Does your particular industry have an organization that is providing Y2K guidance and information? If so, please identify the organization.

Assessment

- Has the company defined Year 2000 compliance? Please provide your definition. Describe what tests or standards your company uses to determine "Y2K compliant" status.
- Has the company defined Year 2000 readiness? Please provide your definition. Describe what tests or standards your company uses to determine "Y2K ready" status.
- Do you (or does your parent company) have a Year 2000 Compliance statement? If so, please attach. If not, do you plan to have one in the future? When?
- What is the date at which you expect to be fully Year 2000 ready?
- What is the date at which you expect to be fully Year 2000 compliant?
- Has the company identified core business areas and processes?
- Has the company assessed the severity of potential impact of Year 2000-induced failures for core business areas and processes? Please describe such potential impacts and the respective severity of each.
- Has the company conducted a comprehensive enterprise-wide inventory of its information systems?

The company has

- system inventory listing components and interfaces for each system
- comprehensive plan to identify and eliminate obsolete code
- Has the company developed a comprehensive list of automated systems?

The company's list identifies

- links to core business areas or processes*
- platforms, languages, and database management systems*
- operating system software and utilities*

- telecommunications*
- internal and external interfaces*
- owners*
- the availability and adequacy of source code and associated documentation*

Has the company analyzed its automated systems and identified for each system?

- non-repairable items (lack of source code or documentation)
- conversion or replacement resources required for each platform, application, database management system, archives utility, or interface

Has the company prioritized its system conversion and replacement program?

The company's prioritization process includes

- service delivery systems prioritized ahead of billing and administrative systems*
- ranking by business impact*
- ranking by anticipated failure date*
- identification of applications, databases, archives, and interfaces that cannot be converted because of resource and time constraints*

Has the company established Year 2000 project teams for business areas and major systems?

Has the company developed a Year 2000 program plan? If so, please provide the CPUC with a copy of the plan.

The company's program plan includes

- schedules for all tasks and phases*
- master conversion and replacement schedule*
- assessment and selection of outsourcing options*
- assignment of conversion or replacement projects to project teams*
- risk assessment*
- contingency plans for all systems*

Has the company identified and mobilized required resources and capabilities? Please describe.

Has the company developed validation strategies and testing plans for all converted or replaced systems and their components?

- Has the company analyzed and identified requirements for a Year 2000 test facility?
- Has the company identified and acquired Year 2000 tools?
- Has the company considered implementation scheduling issues?

The company's program plan addresses

- where conversion will take place (data center or off-site location)*
- time needed to place converted systems into production*
- conversion of backup or archived data*

- In priority order identify the top twenty hardware and the top twenty software systems for whose operation your company is responsible that directly and immediately support the utility services you offer.

- For each of the systems identified in response to the prior question, provide your company's assessment of its Year 2000 compliance, identify components of the systems that are internally produced and those that are not internally produced.

- For each of the systems identified in response to the prior question that are not assessed as Year 2000 compliant, set forth your schedule for (a) initiating remediation or replacement; (b) unit testing of compliance; (c) internal system integration testing for compliance; and (d) where appropriate, testing with interconnecting utilities. Explain the transactions that will be used in conducting those tests. Identify any systems which you intend to make Year 2000 ready but do not intend to make Year 2000 compliant, and explain why. Of these systems, identify the systems which are currently year 2000 ready, and set forth your schedule for making the remaining systems year 2000 ready.

- For each of the systems identified in response to the prior question that are not assessed as Year 2000 compliant or Year 2000 ready, set forth your schedule for (a) developing contingency plans in case remediation plans are delayed or fail, including failure just before or after the change in date to the year 2000, and including the leap year date of February 29, 2000; and (b) testing of those contingency plans.

- Has the company addressed interface and data exchange issues?

The company has

- analyzed dependencies on data provided by other organizations*
- contacted all entities with whom it exchanges data*
- identified the need for data bridges or filters*

- made contingency plans if no data are received from external sources*
- made plans to determine that incoming data are valid*
- developed contingency plans to handle invalid data*

In assessing potential Y2K problems, which of the following best describes the anticipated impact for your utility operations? (check one) please add additional information where appropriate:

- We will identify and correct all Y2K problems before Jan. 1, 2000.
- We will be 100% compliant and/or ready sometime after Jan. 1, 2000 with no significant disruptions to service or billing.
- We will be 100% compliant and/or ready sometime after Jan. 1, 2000 with some significant disruptions to service or billing.
- We will be 100% compliant and/or ready sometime after Jan.1, 2000 but our assessment is not accurate enough to identify all problems that may significantly affect service or billing.
- We are not following a compliance plan that calls for prior assessment of potential Y2K problems.

What is your plan for monitoring for potential problems after January 1, 2000?

Has the company initiated the development of contingency plans for critical systems? Please provide a copy of your contingency plan .

Does the impact assessment document identify Year 2000 vulnerable systems and processes outside the traditional information resource management area that may affect the company's operations? Please provide the CPUC with documentation of such identified impacts.

The assessment document addresses the impact of potential Year 2000 induced failure of

- telecommunication systems, including telephone and data networks switching equipment*
- building infrastructure*

Renovation

Is the company meeting its budget and schedule in the conversion of targeted applications, platforms, databases, archives, or interfaces?

Is the company meeting its budget and schedule in developing bridges and filters to handle non-conforming data?

- Is the company meeting its budget and schedule in the replacement of targeted applications and system components?
- Is the company documenting all code and system modifications and using configuration management to control changes?
- Is the company scheduling unit, integration, and system tests'?
- Is the company meeting its budget and schedule in eliminating targeted applications and system components?
- Is the company communicating the changes to its information systems to all internal and external users?
- Is the company tracking the conversion and replacement process and collecting and using project metrics to manage the conversion and replacement process'?
- Is the company sharing information among Year 2000 projects?

The company is disseminating

- "lessons learned"*
- best practices*

- What actions remain to be taken for your computer hardware to be fully Year 2000 compliant?
- What actions remain to be taken in order for your infrastructure to be fully Year 2000 compliant?
- What actions have you taken to identify and test embedded chips within your infrastructure?
- What specific embedded chip Year 2000 problems have you found and in what way could they affect the services you provide?

Validation

- Has the company developed and documented test and validation plans for each converted or replaced application or system component?
- Has the company developed and documented a strategy for testing contractor-converted or replaced applications or system components?

- Has the company implemented a Year 2000 test facility?
- Has the company implemented automated test tools and scripts?
- Has the company performed unit, integration, and system tests on each converted or replaced component

The company's testing procedures include the following types of tests

- regression*
 - performance*
 - stress*
 - forward and backward time*
- Is the company tracking the testing and validation process and collecting and using test metrics to manage the testing activities?
 - Has the company initiated acceptance tests?

Implementation

- Has the company defined its transition environment and procedures?
- Has the company developed and documented a schedule for the implementation of all converted or replaced applications and system components?
- Has the company resolved data exchange issues and intercompany concerns? Has the company dealt with database and archive conversion?
- Has the company completed acceptance testing?
- Has the company implemented contingency plans?
- Has the company updated or developed disaster recovery plans?
- Has the company reintegrated the converted and replaced systems and related databases into the production environment?

Program and Project Management

- Has the company established a Year 2000 program management structure?

The company has

- appointed a Year 2000 program manager and established a Year 2000 program team*
- identified technical and management representatives from each core business area*

- Based on the assessment of its program management capabilities, has the company developed and implemented policies, guidelines, and procedures to manage a major program?

The company's policies, guidelines, and procedures include

- configuration management*
- quality assurance*
- risk management*
- project scheduling and tracking*
- metrics*
- budgeting*

- Is the company monitoring the Year 2000 program to ensure that projects are following required policies and procedures for configuration management, project scheduling and tracking, and metrics?

- Have you addressed Y2K compliance and/or readiness with external suppliers, contractors, and other business partners or vendors?

- Have you determined if your suppliers and vendors are Year 2000 compliant and/or year 2000 ready? If no, why not? If yes and your suppliers and vendors are not Year 2000 compliant, what negative impact can this have on your provision of utility service?

- What facilities and equipment have vendors certified as Year 2000 compliant?

- What facilities and equipment have vendors certified as Year 2000 ready?