UKLP Go-Live Readiness

A CSA review of Xoserve's Final GONG submission

Client   Xoserve
Date: May 2017
Version: 1.0

Baringa
Brighter together

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Executive Summary

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Context

▶ The final GONG submission marks the fourth assessment point that build towards a final Go/No-Go decision for Project Nexus on the 19th May 2017

▶ In order to assess progress towards the final milestone at each of these points, a set of Industry wide assessment criteria was agreed via PNSG governance. Xoserve have submitted a status against these criteria at each GONG assessment point

▶ Xoserve have continued to review their status against established internal GONG criteria. These internal criteria have been mapped to the PNSG criteria to provide a consistent view of readiness

▶ Ofgem have requested that Baringa provide commentary against Xoserve's readiness and validate the level of risk that Project Nexus is carrying towards Go Live. This report builds on the view presented by Baringa at GONG 3 and presented to PNSG on the 6th April.

Scope

▶ Presented upon completion of the Final GONG portal submission, this assessment reports on whether GONG associated activities have been completed as expected and provides an updated position on any risks to the Final Go Live Decision that exist, with associated mitigating actions

▶ In addition, this report makes a recommendation on whether Xoserve are on track to achieve Go-Live. The following specific questions are to be answered:

1. Have Xoserve achieved their own internal go live readiness criteria?
2. Have Xoserve demonstrated that they have achieved the GONG criteria associated with Success Factor 1 - Solution Meets Industry Requirements?
3. Have Xoserve demonstrated that they have achieved the GONG criteria associated with Success Factor 2 - Solution is Stable?
4. Have Xoserve demonstrated that they have achieved the GONG criteria associated with Success Factor 3 - Solution is Sustainable?
5. Have Xoserve demonstrated that they have achieved the GONG criteria associated with Success Factor 4 - Solution Enables a Positive Consumer Experience?

▶ The above analysis contributes to an overall conclusion on the accuracy of Xoserve's own assessment of risk profile as the Programme continues towards Go Live

▶ This report represents an updated version of the report submitted for G3 and discussed at PNSG on 4th May. Updates are marked in Blue text.

▶ Data points quoted within this report are as at the Final GONG check point (11th May 2017) unless otherwise stated.

Our Approach

▶ Baringa have been independently reviewing Xoserve's GONG management process since its inception in 2015

▶ Baringa's assessment of risk has been established based on our involvement in this process, and a detailed review of the data submitted against each GONG criteria

▶ Where required, additional deep dive reviews of supporting documentation, or workstream activity, have been performed to support the assessment of risk. This, however, has not been performed across all criteria, only those where the perceived risk profile requires it.

Executive Summary

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▶ In conclusion, Baringa agree with the risk profile submitted by Xoserve as part of the final portal submission and continue to assess the status for Go Live as Green/Amber

▶ Analysis performed has uncovered no critical risks/issues that should stop progression towards Go Live at this time

▶ Good progress has been made through IDR 3, and in clarifying arrangements for PIS release / environment management in order to build confidence of Industry stakeholders

▶ Data remains a key area of risk as the Programme moves into Cutover. Defect numbers continue to improve, and progress continues against identified EBF and Meter Read data fix risks. Key actions are being tracked to continually assess fix capacity during cutover, and be clear on windows and mechanisms for fix post Go Live

▶ A number of pressures exist on the stability of the solution as the Programme pushes to include final changes/defects judged to be critical for Go Live. A small number of defects and Change Requests are still to be deployed. Whilst it is technically feasible to still deliver code changes up to go live, it is critical to adhere to robust internal and external governance and evidencing of associated regression test activities. The risk of deployment must be weighed against the operational risk of delaying deployment until post Go Live

▶ Solution sustainability has been identified as an area of risk through the G2 and G3 reports, on the basis of a lack of progress in local work instruction definition as well as gaps in the PIS structure and ways of working. Both areas have seen positive progress since the last assessment, with LWI definition nearing completion and a course of workshops underway to close ways of working gaps

▶ The internal Go/No-Go process operated by Xoserve has been robust in quantifying the areas of residual risk, taking into account key actions that are needed to be performed ahead of Go Live

▶ Baringa are comfortable that the set of key recommendations made within the conclusions of the G3 report have been embedded within Programme plans and are receiving appropriate management focus to ensure delivery.

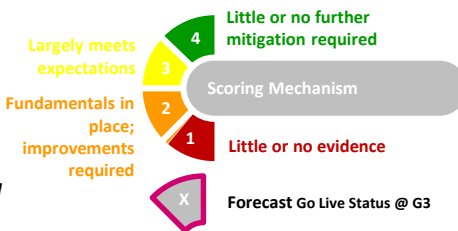# Question 1 - Have Xoserve achieved their internal Go live readiness criteria?

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▶ Summary findings documented below are based on a review of ongoing GONG management processes and Xoserve GONG status as submitted for the final gate on 11th May 2017. RAG statuses denote the forecast position at go-live i.e. 1st June

Sub-Question	Go-Live RAG	Current Findings	Recommendation
Status against each internally defined criteria and the associated risk to Xoserve's ability to go live and the potential impact on Market Participants.		• 219 internal criteria have been defined • Status as at Final Portal Submission: 105 Accepted, 15 complete, 64 Green, 32 Amber, 3 Red • Positive progress has been made on securing Business Acceptance of completed criteria and centralising supporting evidence • Evidence is now centrally captured for 97 / 120 completed criteria • Red items are related to Archiving, MI and Operational Reporting – these are not judged as a material risk to go-live • Baringa have reviewed the detailed statuses across the full criteria set and only 5 disparities of status have been identified. **See appendix A1.1** • No further criteria are judged to be RED status.	• Continue focus to close evidence gaps • Close tracking of remaining criteria aligned with 'Go-Live' need date.
The effectiveness of the internal go live decision making process and governance.		• 'Go' decision made by Xoserve Executive team on 10th May • Internal GONG process fully embedded, tracked daily and reported through programme governance channels • Risk impacts associated with red / amber criteria have been assessed as part of the internal Go / No Go decision making process • For each risk area, a detailed set of actions has been defined to mitigate risk carried into Go-Live with clear action owners and clarity over which are considered critical • Action items formalised via governance and to be tracked via Xoserve PMO.	• N/A
How the Xoserve internal go live readiness criteria maps to the industry GONG framework highlighting any areas of misalignment.		• No areas of misalignment - Criteria are fully mapped to external criteria • All required Industry evidence has been added to internal criteria tracking • Internal decision making process aligned with the industry process timeframes.	• N/A

Final GONG Summary Position

▶ Baringa assess Xoserve's Final GONG status as GREEN/AMBER on the basis that the Programme continues to hit Cutover plan milestones and key risk mitigations are put in place ahead of, and post Go Live

▶ There are not judged to be any showstopper issues that would prevent Go Live at this stage

▶ Data Migration is still a key risk area within the GONG criteria with defects needing rapid triage and resolution within cutover timelines. A positive trend in defect numbers has continued, however, and planning has been undertaken to manage data issues encountered at cutover and practiced via two successful Implementation Dress Rehearsals

▶ Previously identified sustainability risks are being mitigated. Key activities are still required, however, to ensure that PIS operations run smoothly

▶ *The below RAG scoring and commentary is a summary of an assessment against a series of specific questions posed by Ofgem. Detailed questions and responses are covered on slides 7-13.*

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4 — Little or no further mitigation required
3 — Largely meets expectations
Scoring Mechanism
2 — Fundamentals in place; improvements required
1 — Little or no evidence
X — Forecast Go Live Status @ G3

Success Factor 1 - Solution meets industry requirements

Findings

✓ MT Regression Test exited with improved clarity on defect position
✓ Continued positive trend seen in Data Migration defect rates
✗ Meter Read (MR) and EBF data risks persist. Fix activities, however, are tracking to plan.

Recommendations

▶ Finalise plans for cutover DM defect resolution - Fix windows & capacity
▶ Confirm Code stability impacts / Reg. test evidence of IDR defects
▶ Conclude Meter Read and EBF fix plan.

Success Factor 2 - Solution is stable

Findings

✓ Non functional testing execution complete
✓ Minimal changes expected in the Low Level Cutover Plan (LLCP) between IDR3 & Cutover
✗ Business Readiness Test actions require resolution ahead of Go Live
✗ CRs and defect fix deliveries extend to go-live.

Recommendations

▶ Residual action required to close out NFR traceability, Post GL DR & Pen. test plans
▶ Implement granular reporting to close out all BRT actions
▶ Confirm contingency options, and formalise regression test plans for defects & CRs aligned to cutover deployment.

Success Factor 3 - Solution is sustainable

Findings

✓ Training / KT progresses to plan
✓ Improved clarity on Post Go-Live (PGL) release & governance definition
✓ LWIs nearing completion
✓ Greater clarity provided on PIS environment provisioning including industry agreement over the approach
✓ Review of Govn. Stability Period ToRs in progress
✗ Wider post-freeze governance continues to be defined, but progress is slow
✗ PIS process / WoW gap analysis ongoing.

Recommendations

▶ Establish the principles and processes that will determine prioritization across break/fix and planned defect releases
▶ Allocate a dedicated Project Manager to PGL activity to ensure cohesion between streams and with wider Programme PIS activity
▶ Complete PIS operational gap analysis to finalise WoW details.

Success Factor 4 - Solution enables a positive consumer experience

Findings

✓ Market Trials Info. Library maintained
✓ Command Centre testing in progress
✓ Day 1 FOM in place and Xoserve people transition agreed for all teams
✓ Detailed Wipro PIS org structure released
✓ Day 1 internal MI req.'s defined (PIS & Bus Ops) and in collation - Some MI gaps to be filled via manual workarounds
✗ Technical set up activities for the offshore Exceptions support team & associated reporting is working to challenging timelines
✗ PIS workshops may identify point resourcing gaps.

Recommendations

▶ Confirm date for sharing relevant content from the PIS exit criteria with Industry
▶ Gain greater detail of 3rd party processes to provide confidence in WoW across suppliers
▶ Conclude final Exceptions team set up actions (licenses, contractual work pack, access roles) within appropriate service providers
▶ Embed exceptions RCA processes.

Question 2 - Have Xoserve demonstrated that they have achieved the GONG criteria associated with Success Factor 1 - Solution Meets Industry Requirements?

▶ Summary findings documented below are based on a review of ongoing GONG management processes and Xoserve GONG status as submitted for the final gate on 11th May 2017. RAG statuses denote the forecast position at go-live i.e. 1st June

Sub-Question	Go-Live RAG	Current Findings	Recommendation
a) Whether the data requirements and the approach to data migration has been documented, reviewed and updated where appropriate.		• Data migration approach baselined via DMG in March 2016 • Source to Target documents created yet not rigorously maintained which has led to testing inefficiencies.	• Continue to focus on Data defects rather than shift focus to retrospective document updates.
b) The final position on Data transformation rules and confirmation that they have been communicated to all Market Participants.		• All externally impacting Transition Rules agreed via UK Link Committee • T-Rule details available on Xoserve.com.	• Continued engagement with industry to close out cleanse activity.

c) The final bulk and the applicable delta data load for each assessment has demonstrated that data has loaded and produced an acceptable volume of fall out MPRN's which has been assessed by the relevant Market Participants.		• Bulk 2 complete with zero defects
		• A fix plan has been developed for all remaining Delta defects (31 post IDR3). Timelines are constrained and a risk remains that some defects may be unresolved ahead of cutover and therefore need managing via the Fallout Management Approach
		• The data fix mechanism to address Meter Read data issues has been tested and validated and production data fix activity is in progress
		• Cutover Fall Out Management Approach utilised successfully during IDR2 & 3 to determine appropriate remedial action for issues identified during the phase.
			• Finalise planning activities for managing data issues arising in cutover. Plans to cover the following
			  • Capacity levels (based on forecast defect rates)
			  • Establishing 'need dates' by data attribute to prioritise fix activities
			• Confirm windows for data fix activities post Go Live for resolving fall out issues.

d) Whether Xoserve have demonstrated that they have achieved the applicable Market Trials exit criteria and have completed all internal functional testing.		• Market Trials Exit approved via PNSG with caveats and MTR contingency phase now closed • Functional testing remaining for Change Requests due for deployment at cutover • UAT closure report completed and approved.	• Formalise regression test plans for CRs aligned to cutover deployment and ensure evidence is comprehensively validated to minimise stability risks.

Question 2 - Have Xoserve demonstrated that they have achieved the GONG criteria associated with Success Factor 1 - Solution Meets Industry Requirements? (Continued)

▶ Summary findings documented below are based on a review of ongoing GONG management processes and Xoserve GONG status as submitted for the final gate on 11th May 2017. RAG statuses denote the forecast position at go-live i.e. 1st June

Sub-Question	Go-Live RAG	Current Findings	Recommendation
e) The final defect position evaluating the volume and impact of all internal defects that remain open as well as the proposed fix plan post go live.		• Defects continue to be assessed via the established industry governance process in order to determine fix necessity / allocate to a Post Go Live release (PGL). • Clarity required over whether any IDR defects require retrospective communications via the established governance process • Pre Go Live required (Non Data) defect position @ 11/05 – 39 defects open • Final defect fix deployments now extending towards go-live • 129 non-data defects have been assigned to a Post Go Live release and will be subject to break fix priority decisions post Go Live.	• Employ defect burndown tracking to monitor defect closure trajectory • Confirm any IDR defect wash-up communication • Reassess fix necessity of 'late' defects to safeguard stability.
f) The extent of manual activity/ workarounds that will be maintained post go live and whether the resources and processes to support them are in place		• 149 work arounds are recorded within the BC&R consolidated workaround tracker (includes internal and external workarounds) • 117 have undergone analysis to assess Operational Impacts of which only 28 have been identified as having any FTE impacts and only 2 deemed to have a High impact • 24 are yet to have any Ops IA confirmed, but the impact is expected to be very low.	• Conclude BC&R assessment of workarounds which are pending industry approval to safeguard overall 'workarounds complete' milestone • Expedite industry governance approval of remaining external workarounds.
g) The final requirements traceability matrix to determine whether a clear mapping exists between requirements, design and test cases so that it can be demonstrated that all requirements have been completely tested.		• Source Rule coverage mapped within Programme's traceability toolset • Change Request impacts on SR coverage is being iteratively assessed.	• The Change Request baseline has now been set and so a final traceability baseline can now also be completed.

Question 3 - Have Xoserve demonstrated that they have achieved the GONG criteria associated with Success Factor 2 - Solution is Stable?

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Sub-Question	Go-Live RAG	Current Findings	Recommendation
a) Whether Xoserve have demonstrated that they have achieved the applicable exit criteria and have completed all internal non-functional testing. For example (but, not limited to): PT, Gas Day Testing, Volume Testing, Large File Testing, Security Testing		• Non Functional Requirement (NFR) traceability validation exercise is 88% complete. A close out plan is in place and governance finalisation is due on 16/5 • Required volumetrics evidenced via Performance Test / Gas Day Testing and frameworks are in place to support scalability • BW Report performance validation exercise nearing conclusion. As at 05/05 - acceptable performance validated for 90% reports. 2% are pending test and 8% will be monitored during PIS • Final Pen Test complete - 50 observations identified. 33 resolved ahead of go live. 4 exceptions and 13 PGL fixes pending IS Ops review and approval • Post go-live DR testing plans are in the process of being defined.	• Close out NFR traceability inc. required governance to approve any requirement compromises • Finalise IS Ops approval of post go-live DR testing and Pen test remedial actions.
b) Whether Xoserve have appropriately maintained their Nexus Solution and maintained code stability between the completion of MT Regression and go-live. This includes: • How any Nexus change requests have been impact assessed and implemented between MT Regression and go-live should they be required. • The approach for impact assessing any business as usual changes, SAP upgrades (service packs or patches), projects or production 'fixes' (incident management) and, if required, how they will be deployed; • How internal regression will be managed prior to and go-live. • The outcome of any SAP Go Live readiness assessment and the status of any associated recommendations		• Change Control processes remain in force to ensure only go-live critical CRs are progressed • CR delivery schedules now extend up to Go-Live – clarity is needed on the regression testing activities to be undertaken for these CRs • The Release Deployment Board (RDB) (the Xoserve governance mechanism for deployments) has now transitioned to Production arrangements (CAB) and accordingly controls are tightening • Regression Test Working Group (Xo internal) is now established and test stats are reported via the weekly industry defect calls • At 11/05 all completed regression test cases had passed successfully • SAP CQC findings reviewed and pre-go live remedial action plan agreed. Plan focused on ensuring critical items are addressed and any stability impacts are minimized.	• Ensure the breadth of the Regression Test Working Group (RTWG) covers all change sources notably remaining CR deliveries • Finalise action plan for closing remaining SAP CQC findings during the PIS phase.

Question 3 - Have Xoserve demonstrated that they have achieved the GONG criteria associated with Success Factor 2 - Solution is Stable? (Continued)

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▶ Summary findings documented below are based on a review of ongoing GONG management processes and Xoserve GONG status as submitted for the final gate on 11th May 2017. RAG statuses denote the forecast position at go-live i.e. 1st June

Sub-Question	Go-Live RAG	Current Findings	Recommendation
c) Xoserve's post go-live business continuity and IT disaster recovery procedures and whether they have been appropriately tested.		• 4 rounds of Disaster Recovery & failover testing have now been completed and planning is underway for a further test post go-live • Functional testing successfully completed following failover with no issues encountered • Xoserve's existing 22 BCM have been reviewed and reduced to 13 core scenarios (as a result of new UK Link platform introduction) • Residual Business Continuity / Crisis Management actions are being tracked as Go Live critical – Residual scenario testing is underway, with Crisis Management manual being iteratively updated • Business readiness testing (BRT) has now completed (16 workshops held and 150 scenarios tested), with c250 open actions remaining open and being tracked through to completion, prioritised for Go Live. Progress in closing these is currently slow, but PIS ways of working review workshops are expected improve the completion rate • Central mgmt. support is in place to monitor the ongoing risk position based on action closure.	• Agree the plan/scope of further DR process refinement through Internal Governance – Carrying out residual activity within PIS if possible • Implement granular 'burn down' style reporting to close out all BRT actions • Complete planned residual testing & workshops in critical areas in line with planned dates ahead of Go Live.
d) Xoserve have documented a detailed system cutover plan that has been approved and successfully rehearsed in IDR 2 and IDR 3.		• LLCP rebaselined ahead of IDR3 including IDR2 lessons learned • Key variations between IDR2/3 and cutover are known and understood – The perceived risk that these place on Cutover processes is low • At the time of writing 35 lessons have been captured in IDR3 (as of 11/05) – 10 of these relate to LLCP updates • Data migration (defects) represents the key risk to cutover success with Delta defects still being encountered, and a decision on whether to fix or risk greater fall out in Production.	• Produce a summary of changes to LLCP post IDR3 • Track remaining Lessons learned to completion, providing status through Cutover entry tracking.
e) The materiality of unresolved Data migration defects.		• As at 11/05 there are 97 open data defects (compared with 131 at 21/04) • Dedicated EBF test cycles have been commissioned to address outstanding EBF defects • ETL fixes are complete for 72 of the 97 open defects and plans are in place to establish fixes for the remainder yet timelines to do so are highly constrained • Acceptance criteria utilised effectively to assess defect materiality with profiling input from the Auto Validation solution • Fall Out Management Approach devised to enable material defects identified at cutover to be addressed – approach tested during IDR2 and 3.	• See 2c for recommendations concerning managing data issues at cutover.

Question 4 - Have Xoserve demonstrated that they have achieved the GONG criteria associated with Success Factor 3 - Solution is sustainable?

▶ Summary findings documented below are based on a review of ongoing GONG management processes and Xoserve GONG status as submitted for the final gate on 11th May 2017. RAG statuses denote the forecast position at go-live i.e. 1st June

Sub-Question	Go-Live RAG	Current Findings	Recommendation
a) The completeness of the Design documentation specifically covering how the critical industry processes will operate.		• Business Process Design Documents and Functional spec.'s exist for all business processes • Design document updates due to CR/defects have been undertaken by Functional Leads, yet Business review is pending. This is not judged to be Go Live critical.	• Define a clear plan for any residual activities Post Go Live, to be managed via PIS action tracking.
b) The end-to-end process guides and documents confirming that they have been updated and are available to the Market Participants as required.		• LWI updates & workarounds status is improving (72 out of 95 now complete) but there are still dependencies on constrained business resource availability • Additional management focus has been added to increase delivery rates • Workarounds with external impacts are approved via industry governance.	• Strengthen links between Market Trials team (Performing initial Workaround engagement) with the Business operational teams. • Continued mgt focus on LWI and resourcing across SME and Bus Ops teams.
c) Completeness of the Knowledge transfer activity from Programme to key operational teams (key users) and IT Support teams.		• Training Needs Analysis complete • System training scheduled for all users & in progress • Dependency risk exists on LWI/manual workaround readiness to ensure all KT can be completed by Day 1, as well as an associated risk that Training materials/KT may be inaccurate/ incomplete due to design changes and workarounds not being clearly cascaded.	• N/A – LWI/Workaround recommendations covered in b).
d) The Post go-live release plan and change management processes address immediate post go-live fixes (across industry processes, where applicable).		• 6 Post Go Live streams of activity have been defined, with accountable owners and high level plans defined • Post Go Live Release approach presented to Market Participants and Industry Governance milestones agreed to build confidence • Greater clarity provided on PIS environment provisioning with engagement with Industry through working groups and PNDG.	• Continue to deliver the PGL plans in line with committed Industry timelines • Establish the principles and processes that will determine prioritization across break/fix and planned defect releases • Establish the process linkages between Post Go Live defect/break fix releases and future releases to ensure that deprioritised items are allocated to a Future release • Ensure PGL planning activities are fully aligned with industry governance milestones.

Question 4 - Have Xoserve demonstrated that they have achieved the GONG criteria associated with Success Factor 3 - Solution is sustainable? Baringa (Continued)

▶ Summary findings documented below are based on a review of ongoing GONG management processes and Xoserve GONG status as submitted for the final gate on 11th May 2017. RAG statuses denote the forecast position at go-live i.e. 1st June

Sub-Question	Go-Live RAG	Current Findings	Recommendation
e) The suitability of ongoing data governance processes confirming that they have been defined and are operational.		• The Data Management Group is the first group Project Nexus Governance forum which will transition to its Interim form. • The group is already broadly operating as it will under interim arrangements i.e. Xoserve led.	• N/A
f) The cutover and post go-live governance to determine if it provides an appropriate framework to support decision making in the event of an issue at go-live and during the Hypercare period.		• Governance processes for cutover are expected to replicate those demonstrated in IDR3 • The Industry Issue Resolution Group is now active in the run up to Go Live with Incident Management processes tested in IDR3 • Crisis Management & Command Centre testing is progressing well and building confidence with both Xoserve and Industry stakeholders • Additional control points have been added to Cutover Governance processes as a result of the IDR3 iGT File processing issue encountered • The Governance freeze for June is positive in providing a stable position for Go Live – Work continues to impact assess / update ToRs to ensure that changes to Xoserve governance interaction points are understood • Wider post-freeze governance continues to be defined, but progress is slow due to resource focus on critical path delivery activities. This is being tracked via published Xoserve PGL plans.	• Establish internal Xoserve governance and control structures to manage dependencies and changes to PGL workstream plans • Allocate a dedicated Project Manager to PGL activity to ensure cohesion between streams and with wider Programme PIS activity • Continued Xoserve delivery to the communicated PGL governance plans to ensure a smooth transition post governance freeze.
g) The Post go-live / Hypercare IT support processes to determine whether the resources are available and arrangements are in place and understood.		• PIS structure maturity still represents an area of risk to Xoserve's readiness for Go Live • PIS Programme manager has now been appointed improving progress across risk areas • A series of PIS Operational gap analysis workshops continue with a risk that gaps in low level processes, handoffs and roles and responsibilities will be identified with limited time to resolve ahead of Go Live • Exceptions management process including root cause analysis processes continue to improve in maturity – With final review and approval required • Scalability factored into exceptions resourcing model to enable resource levels to flex based exceptions volumes.	• Complete PIS operational gap analysis and ensure a clear plan for all residual actions • Review and approve the Exception RCA processes.

Question 5 - Have Xoserve demonstrated that they have achieved the GONG criteria associated with Success Factor 4 - Solution Enables a Positive Consumer Experience?

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▶ Summary findings documented below are based on a review of ongoing GONG management processes and Xoserve GONG status as submitted for the final gate on 11th May 2017. RAG statuses denote the forecast position at go-live i.e. 1st June

Sub-Question	Go-Live RAG	Current Findings	Recommendation
a) Whether Appropriate FAQs and messages have been captured and disseminated to appropriate internal and external stakeholders. This may include messages to key customers around Non-effective days.		• Market Trials Information Library maintained to provide Market Participants with key business process details • Comms Single Point of Contacts now agreed • External Comms Approach inc. Crisis Mgt response drafted & in review • Improving clarity of Internal/External Comms process for PIS incidents, but further detailed WoW to be confirmed • Template Comms for key incidents in development • Command Centre live scenario testing in May to test comms approach.	• Comprehensive comms approach required detailing roles and responsibilities, handoffs, channels of communication and to be communicated with wider PIS teams • WoW to be agreed between Internal comms teams & nominated Industry Reps for each Governance group • Agree minor changes for existing industry governance forums to ensure their suitability during the governance stability period.
b) The Hypercare exit criteria and the degree to which they will support a controlled exit from Hypercare and are focused on system stability.		• PIS exit criteria have now been agreed between the Programme and Xoserve operational stakeholders.	• Confirm date for sharing relevant content from the PIS exit criteria with Industry • Begin industry engagement activities for defining industry level Project Nexus exit criteria – PGL activity.
c) The readiness of the new Organisational structure.		• People Transition in progress for Day 1 FOM, with many individuals already placed into new Day 1 roles • Detailed Wipro PIS org structure released and in final sign off to ensure that SMEs are embedded across the right PIS teams • Clarity on R&R/ways of working (WoW) across PIS teams (Xoserve/TCS/Wipro) growing but further work is still required • Day 1 internal MI requirements defined (PIS & Bus Ops) and in collation - Some MI gaps are likely to be filled via manual workarounds for Go Live • Reporting manager assigned to support MI delivery for Go Live • Technical set up activities for the offshore Exceptions support team & associated reporting is working to challenging timelines.	• Add more focused resource to lead WoW across PIS teams • Assignment of dedicated resource from Wipro to support generation of operational reports and delivery of associated CRs • Gain greater detail of 3rd party processes to provide confidence in WoW with Xoserve/TCS • Conclude final Exceptions team set up actions (IT licenses, contractual work pack, access roles) within appropriate service providers.
d) Business readiness activity focused on the People impacted by changes by the Project Nexus go-live have received appropriate training.		• 93/150 courses now run with 73% knowledge check pass rate (As of 08/05) • 214 people trained across sessions to date, equating to 3274hrs of learning • Process based Knowledge Transfer and training on LWI planned through to Go-Live in addition to formal system training curriculum • Role Accesses approved and in build during May ahead of Day 1.	• Continued mgmt. attention on SME & bus. resourcing to enable LWI & manual workaround definition & sign off • Tight mgt & timely notification to business change team of any workarounds agreed requiring training/KT.

Conclusions

▶ In conclusion, Baringa agree with the risk profile submitted by Xoserve as part of the final portal submission and continue to assess the status for Go Live as Green/Amber

▶ Analysis performed has uncovered no critical risks/issues that should stop progression towards Go Live at this time

▶ Good progress has been made through IDR 3, and in clarifying arrangements for PIS release / environment management in order to build confidence of Industry stakeholders

▶ Data remains a key area of risk as the Programme moves into Cutover. Defect numbers continue to improve, and progress continues against identified EBF and Meter Read data fix risks. Key actions are being tracked to continually assess fix capacity during cutover, and be clear on windows and mechanisms for fix post Go Live

▶ A number of pressures exist on the stability of the solution as the Programme pushes to include final changes/defects judged to be critical for Go Live. A small number of defects and Change Requests are still to be deployed. Whilst it is technically feasible to still deliver code changes up to go live, it is critical to adhere to robust internal and external governance and evidencing of associated regression test activities. The risk of deployment must be weighed against the operational risk of delaying deployment until post Go Live

▶ Solution sustainability has been identified as an area of risk through the G2 and G3 reports, on the basis of a lack of progress in local work instruction definition as well as gaps in the PIS structure and ways of working. Both areas have seen positive progress since the last assessment, with LWI definition nearing completion and a course of workshops underway to close ways of working gaps

▶ The internal Go/No-Go process operated by Xoserve has been robust in quantifying the areas of residual risk, taking into account key actions that are needed to be performed ahead of Go Live

▶ Baringa are comfortable that the set of key recommendations made within the conclusions of the G3 report have been embedded within Programme plans and are receiving appropriate management focus to ensure delivery.

Appendix A

Supporting information for Question 1

A.1.1 Internal GONG Criteria Comparison (09/05/2017)

The table below details the Xoserve internal GONG criteria status at 09/05 (the data cut used to populate the final GONG portal submission) and compares it to a Baringa assessment across the same criteria. For Ambers / Reds a detailed set of actions has been defined to mitigate risk carried into Go-Live

		A. Solution, System and Data		B. Business Readiness											C. Transition Readiness					D. Industry Readiness			E. Other				
		G		G											G					G			G				
		Solution Integrity	Delivery pre requisites	Leadership	Governance	Ways of Working	Process	Structure	Capability (including Training, Engagement)	Management Information	Performance Management	Service Management	Exceptions	Business Benefits	Transition and Cutover	Facilities & Assets	Post Implementation Support	BAU Operations	Go Live Controls	Comms and Training	Data Cleanse	Transition	Accreditation	Reporting	Licences	Contracts	SAP Findings
Prog. RAG		G	G	G	G	A	G	G	G	R	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	A
	B	35	16	9	4	1	4	7	2	0	1	6	5	1	7	0	8	2	1	3	1	0	1	1	1	4	0
	G	5	6	1	0	0	2	5	5	0	1	5	1	0	7	2	7	5	0	3	1	2	0	0	0	6	0
	A	7	3	0	1	2	4	1	2	0	0	1	2	0	0	0	6	1	0	0	0	0	0	1	0	0	1
	R	0	1	0	0	0	0	0	0	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0
CSA RAG		G	G	G	G	A	G	G	G	R	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	A
	B	34	16	8	4	1	4	7	2	0	1	6	5	1	7	0	8	2	1	2	1	0	1	1	1	4	0
	G	6	6	1	0	0	2	5	5	0	1	5	1	0	6	2	7	5	0	3	1	2	0	0	0	6	0
	A	7	3	1	1	2	4	1	2	0	0	1	2	0	1	0	7	1	0	1	0	0	0	1	0	0	1
	R	0	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

RAG Counts Comparison

Prog.	CSA
120	117
64	64
32	36
3	2

Explanation of Status Differences (Programme vs Baringa status)

- **Environment and Code management procedures has been agreed and signed-off (B vs G)** – GONG actions outlined suggest residual activity is required ahead of Go Live to ensure ECMS alignment of processes
- **Trial Day 1 Business Scenario Testing against Op Model (leadership roles) (B vs A)** – Command centre tests still to be completed, and Business Readiness Test actions require closure
- **All final code packages have been handed over, approved, locked down and are under correct change control (G vs A)** – Lack of clarity on code lock down point given late delivery of Change Requests
- **PIS Operational reports ready (R vs A)** – Outlined GONG mitigation actions, and early indications from MI gap analysis, suggest the risk profile for Operational reporting is not significant
- **Industry communication on PIS procedures issued (B vs A)** – Marked complete based on comms of PIS approach. Given the level of increased clarity on Industry Governance, and Incident management processes, it is judged that there is additional comms and engagement required to close this out fully ahead of Go Live.

Appendix B

Historic CSA Recommendation Status Summary

Historic Recommendation Summary

Critical recommendations were highlighted in the conclusion section of the Baringa G3 report. They are listed below including a current view of status:

Success Factor	Critical Recommendations made in the Baringa G3 Report	Pre G/L	Post G/L	Progress RAG
Meet Industry Requirements	Articulate the plan/approach for Data Migration defect resolution for Meter Reads and EBF residual defects	✓		
	Clarify functional defect deployment schedules	✓		
	Confirm holistic workaround sustainability for Xoserve operations	✓		
	Ongoing communication mechanisms for regression test outcomes and continuation of defect burn-down reporting		✓	
Solution Stability	Closure of Business Readiness Testing actions	✓		
	Close out of non functional requirement traceability	✓		
	Heightened monitoring of early BW report performance & agreement of timing for residual DR activity		✓	
Solution Sustainability	Finalise PIS management roles and responsibilities and complete the operational PIS process gap analysis.	✓		
	Clarify the governance processes that sit around PGL activities and the PGL environment strategy	✓		
	Complete residual design document updates		✓	
	Consider identifying readiness report checkpoints ahead of key business process pinch points		✓	
Impacts to Consumer	Confirm the PIS Incident Management communications approach	✓		
	Expedite offshore exceptions team set up	✓		
	Xoserve to articulate the E2E MI/reporting suite to be used at Go Live	✓		
	Establish the accountability for monitoring and refinement of the E2E MI/reporting suite & Confirm date for sharing finalised PIS exit criteria		✓	

Historic Recommendation Summary

Overall recommendation status from previous reports

▲ 198 recommendations were made in total across Code Stability 1&2, IDR2 Entry, IDR2 Exit, G2 and G3 reports. The overall progress status of these recommendations is outlined below:

- ▲ **118** Complete and closed
- ▲ **53** On track for closure
- ▲ **27** Open, tracking Amber or Amber/Green – of these:
    - ▲ The 15 open recommendations from the G3 report remain as recommendations in the main body of this Final report.
    - ▲ The 12 open recommendations from Code Stability (1&2), IDR2 Exit, GONG2 reports are itemised on the following slide, with commentary and a view of forecast Go Live RAG status for each one.

Historic Recommendation Summary

Open Items from Code Stability 1&2, IDR2 Exit and G2 Reports (2/2)

Report	Recommendation	G/L RAG	Commentary
Code Stability 1	Define the route to implementation of the full SolMan CHARM solution to provide Production code control		The full CHARM solution will be enabled in the environments once stability has been achieved. Design Authority discussion concerning the plans to be scheduled post go-live
Code Stability 2	Any essential further functional changes should be bundled and scheduled to deploy at an appropriate juncture within the plan to drive regression test efficiencies		Defects are currently being bundled into releases however this is not necessarily driven by functional relationships.
IDR2 Exit	Materiality assessment needs finalising for Delta Reads defects with the fix plan updated if required		Plans in place and being executed for Meter read defects and EBF residual activity. Some residual risk persists.
GONG G2	Programme priority action required to upload evidence and complete business acceptor sign off for completed items		Increased focus continues on uploading evidence for all completed criteria.
GONG G2	Resolve Exceptions operational dependencies alongside wider PIS operations		Finalisation of TCS offshore exceptions team readiness
GONG G2	Address root causes and required data fixes to avoid reoccurrences in subsequent migrations		Completed for all known defects however risk of new defects persists within Cutover.
GONG G2	Establish a granular fix plan for all 'to be fixed' defects		Plans being formed via defect management workstream for remaining defects.
GONG G2	DR4 scheduled to complete by 09/04 – With a clear mitigation plan published for any residual risks identified		Outstanding action to schedule a further DR test post go-live
GONG G2	A consistent defect prioritisation mechanism needed for wider data sources		4x4 matrix used for classification – Continue to be applied for Cutover fallout. Confirm theoretical fix mechanisms and window for fixes post Go Live.
GONG G2	Finalise PIS organisation structure and impact assess on processes defined		Org structure in place with transition arrangements agreed, however WoW workshops may identify point resource gaps
GONG G2	Complete actions/gaps raised by Business Readiness Testing		Gaps persist with slow progress being made to close ahead of Go Live
GONG G2	Detailed PIS ways of working between teams to be clarified further and tested.		WoW gaps exist within PIS structure but workshop schedule underway to address gaps

Appendix C

Glossary of Terms

Glossary of Terms

Baringa

Acronym	Description	Additional Supporting Commentary (where required)
BC&R	Business Change and Readiness	Project workstream responsible for readying Xoserve's business for Project Nexus go-live
BCM	Business Continuity Management	-
BRT	Business Readiness Testing	A non system based test cycle focused on testing business procedures
Bus Ops	Business Operations	Xoserve Operations team responsible for delivery core business processes
BW	Business Warehouse	SAP Reporting Solution
CHARM	SAP Change Request Management Solution	SAP standard code management solution
CR	Change Request	-
CSA	Client Side Advisor	Advisory / assurance role undertaken by Baringa at Xoserve
DM	Data Migration	-
DMG	Data Management Group	Project Nexus Industry Data Forum
DR	Disaster Recovery	-
EBF	Easy Billing Framework	SAP data attributes related to billing
ETL	Extract, Transform & Load	Sequential steps within an SAP migration process
FOM	Future Operating Model	-
FTE	Full Time Equivalent	-
IDR	Implementation Dress Rehearsal	A test cycle simulating the cutover period (covering both data and transition activities)
IS Ops	Information Systems Operations	Xoserve Operations team responsible for overseeing the Production environment (apps and infrastructure)
KT	Knowledge Transfer	-
LLCP	Low Level Cutover Plan	-
LWI	Local Work Instruction	-
MI	Management Information	-

Acronym	Description	Additional Supporting Commentary (where required)
MR	Meter Read	-
MT	Market Trials	-
MTR	Market Trials Regression	-
NFR	Non Functional Requirement	-
PGL	Post Go Live	-
PIS	Post Implementation Support	-
PMO	Project Management Office	-
PNDG	Project Nexus Delivery Group	-
PNSG	Project Nexus Steering Group	-
PT	Performance Test	-
R&R	Roles and Responsibilities	-
RCA	Root Cause Analysis	-
RDB	Release Deployment Board	-
RTWG	Regression Test Working Group	-
SAP CQC	SAP Continuous Quality Checks	A system 'healthcheck' undertaken by SAP
SME	Subject Matter Expert	
SR	Source Rule	All Project Nexus Requirements have been captured as Source Rules against which Xoserve has conducted design and test traceability exercises
ToR	Terms of Reference	-
T-Rule	Transformation Rule	A data rule which automatically transforms non compliant data into the required format of the new UK Link system
UAT	User Acceptance Test	-
WoW	Ways of Working	-