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Project Nexus Steering Group [PNSG]
Go Live - Decision Rehearsal

17 May 2017

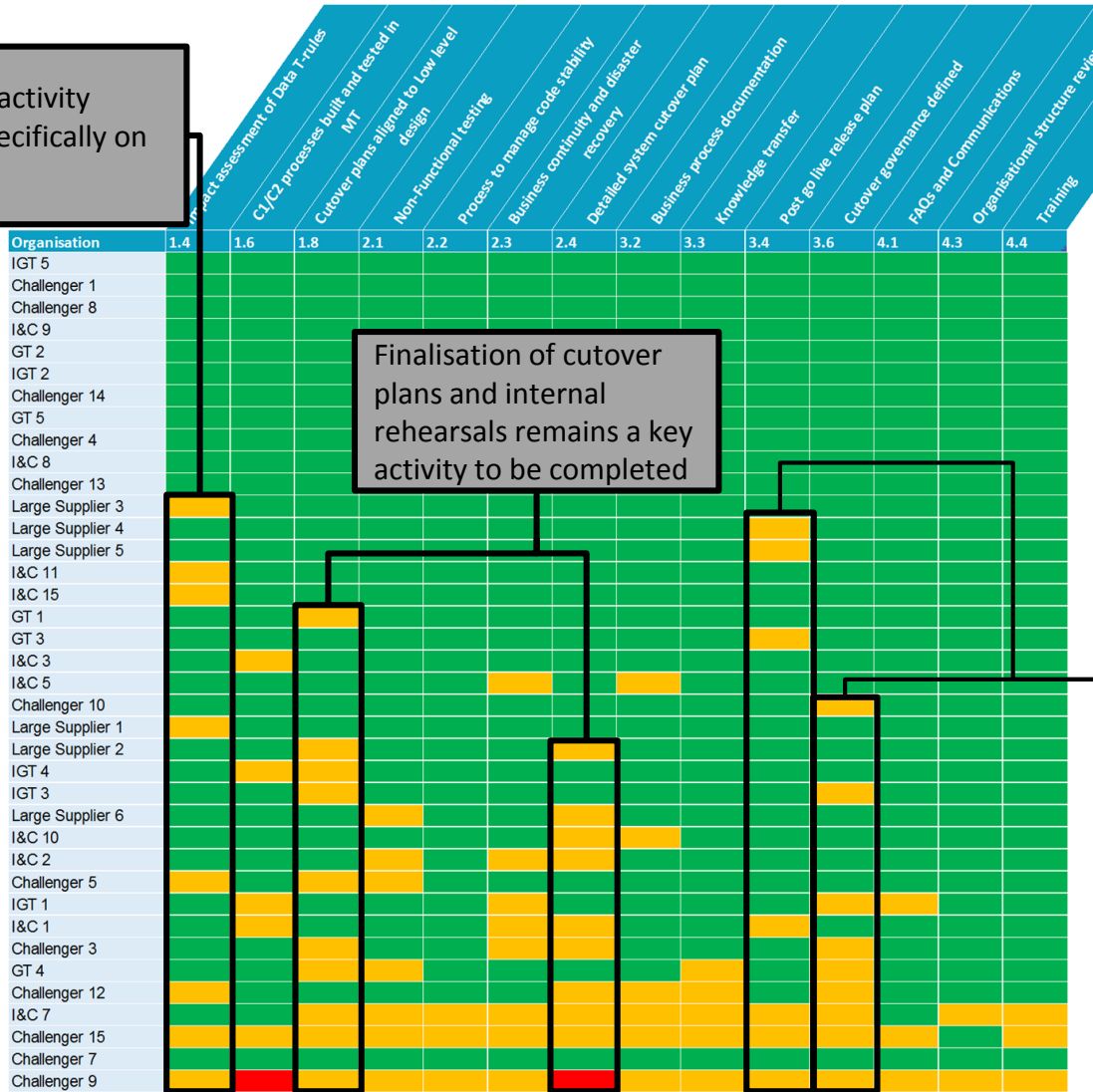*Example - Based on sample IDR2, G2 and MTR , information available on 07 April 17*

Agenda

#	Title	Timing
1	**Overview:** Objective and process for today	5 min
2	**GONG G3 Early View:** Summary of most recent G3 submissions	15 min
3	**GONG Decision Materials:**	
	Review of the Summary slide outlining the documents	5 min
	Discuss GONG Decision wording	10 min
	Walkthrough slides of Readiness documents	25 min
	Discuss any changes required	20 min
4	**Scenarios:** Consider what may jeopardise GONG decision process	25 min
5	**IDR3 Update:** In place of weekly call	15 min

Discuss

GONG G3 Early View

Note: This is the initial analysis from the 6 Apr 17 Market Participant Portal submission as an early view. This is subject to assurance and could change with the next Market Participant submission on 20 April. A more detailed view of the first G3 submission will be provided at PNDG.

Data cleanse activity continues, specifically on iGT data.

Market Participant Self Assessment -

This summary is based on the 38 confirmed submissions made on 06 Apr 17 as part of the first G3 submission. The second submission for G3 is due on 20 Apr 17.

Finalisation of cutover plans and internal rehearsals remains a key activity to be completed

Clarity of Post Go Live arrangements is required to support alignment of internal plans and build wider confidence.

Columns (criteria):
- 1.4 Impact assessment of Data T-rules
- 1.6 C1/C2 processes built and tested in MT
- 1.8 Cutover plans aligned to Low level design
- 2.1 Non-Functional testing
- 2.2 Process to manage code stability
- 2.3 Business continuity and disaster recovery
- 2.4 Detailed system cutover plan
- 3.2 Business process documentation
- 3.3 Knowledge transfer
- 3.4 Post go live release plan
- 3.6 Cutover governance defined
- 4.1 FAQs and Communications
- 4.3 Organisational structure review
- 4.4 Training

Organisations (rows):
IGT 5, Challenger 1, Challenger 8, I&C 9, GT 2, IGT 2, Challenger 14, GT 5, Challenger 4, I&C 8, Challenger 13, Large Supplier 3, Large Supplier 4, Large Supplier 5, I&C 11, I&C 15, GT 1, GT 3, I&C 3, I&C 5, Challenger 10, Large Supplier 1, Large Supplier 2, IGT 4, IGT 3, Large Supplier 6, I&C 10, I&C 2, Challenger 5, IGT 1, I&C 1, Challenger 3, GT 4, Challenger 12, I&C 7, Challenger 15, Challenger 7, Challenger 9

Legend:
- Green: Attained or on track to attain
- Yellow: Mitigating actions to bring back on track by next assessment
- Red: Will not be attained and no mitigation plan to bring back on track
- Blue: Data missing – partial submission made
- Grey: No Submission

Note numbers are not sequential as not all criteria are applicable

Source: PwC and Xoserve

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Section 1

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

Section 1 - Executive Summary

Example - Based on information available on 07 April 17

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Purpose

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

- The purpose of this document is to provide RIAG/PNSG with a forward look at what information is proposed to be presented to the PNSG on the 17 May 17 to support the Go Live decision.

- The information presented is draft and where indicated is based on data collected on or before 07 Apr 17. It includes IDR2, G2 assessment and ongoing work to close out Market Trials Regression. The next slide outlines how this aligns to what will be available for the 17 May 17 PNSG.

- The objective of this session is to evaluate the level of information provided, the supporting reports and the structure of the presentation and propose any adjustments that are required ahead of the Go Live Decision.

- The information has been presented against the Success Factors. The assessment against each of the success factors is supported by 6 Readiness Reports defined within the Go Live Governance Plan.

- Finally, the session will be used to discuss possible scenarios that could jeopardise a Go Live decision, considering the attendees, decision making process, document availability and information specific to the success criteria.

Summary: Product Input

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

Content to support to the Final GONG Decision	Information available today as an example	Slides within this pack	Questions for PNSG on whether these enable the final GONG decision?
1. PNSG GONG decision slide	DRAFT proposed wording of the GONG decision for PNSG	7 and 30	Wording appropriate?
2. Ofgem indicative decision	DRAFT proposed wording of the Ofgem indicative decision	8	Wording appropriate? What additional detail would be helpful?
3. Executive Summary - Go Live Decision - Success Factor assessment	DRAFT format with up to date content as of 7 Apr 17, content to be updated as of 15 May 17 for GONG decision	9 - 10	Focus areas appropriate? Measures clear?
4. Executive Summary - Go Live Decision – Readiness Elements	DRAFT format with up to date content as of 7 Apr 17, content to be updated as of 15 May 17 for GONG decision	11	Format appropriate?
5. N16.1 - Xoserve GONG Readiness submission	FINAL format with up to date content as of G2 submission, content to be updated as of the G3 submission for GONG decision	14	Level of detail appropriate?
6. N14.1 - Baringa assurance reports on Xoserve's G3 Assessment	EXAMPLE G2 summary page shared as an example of the level of detail and content to be shared with PNSG. Content to be updated as of the G3 submission for GONG decision	15	Format appropriate? Level of detail appropriate?
7. N5.1 - Anonymised version of G3 Assessment PwC Market participant assurance report	EXAMPLE extracts from the PwC Market Participant assurance reports to support the Go Live Decision	17 and 19	Level of detail appropriate?

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Summary: Product Input

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

Content to support to the Final GONG Decision	Information available today as an example	Slides within this pack	Questions for PNSG on whether these enable the final GONG decision?
9. Aggregated Market Readiness by success factor	DRAFT format and template with made up content as an example of the level of detail and content to be shared with PNSG. Content to be updated for GONG decision	21	Format appropriate? Focus areas appropriate? Level of detail appropriate?
10. N16.1 - Xoserve IDR3 Exit Report	EXAMPLE IDR2 exit report shared as an example of the level of detail and content to be shared with PNSG. Content to be updated as of the conclusion of IDR3 for GONG decision	23	Level of detail appropriate recognising full report will be shared as well separately?
11. N22.2 - Xoserve summary fallout reports following IDR3	TEMPLATE shared with IDR fallout detail as an example of the level of detail and content to be shared with PNSG. Content to be updated as of the conclusion of IDR3 for GONG decision	25 - 27	Format appropriate? Level of detail appropriate?
12. N1.0 - Risk close-out report from RIAG	TEMPLATE shared with made up content as an example of the level of detail and content to be shared with PNSG. Content to be updated as of the 11 May 17 RIAG for GONG decision	29	Format appropriate? Level of detail appropriate?
13. POAP milestone completion	FINAL format with up to date content as of 7 Apr 17, content to be updated as of 15 May 17 for GONG decision	32	Useful to include?
14. Summary of the Assurance reporting from PwC and Baringa	FINAL format with up to date content as of 7 Apr 17, content to be updated as of 15 May 17 for GONG decision	33	Useful to include?

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Go Live Decision

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

#	Decision	Due Date	Areas of Programme Affected	Comments	Outcome
D0XX	**Go Live Decision** The PNSG is asked to approve Go Live for Project Nexus for 01 Jun 17 based on the achievement of the success criteria as outlined on this slide, and in greater detail throughout this PNSG report. This is based on the information available to date (initially 17 May 17, subsequently 19 May 17).	17 May 17	GONG	Decision is based on the following Success Factors, as outlined in the GONG framework: 1. Solution meets industry requirements. 2. Stable. 3. Sustainable. 4. Enables a positive consumer experience. *The noted caveats are:* - *TBD - these will be included if there are any applicable ones at the time of the PNSG on 17 May 17.* The approval of this decision means all Market Participants and Xoserve will continue with all activities in preparation for Go Live on 1 Jun 17.	Pending PNSG Decision

Ofgem Indicative Decision

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

The Ofgem Indicative Decision is that Project Nexus can Go Live/Not Go Live on 01 June 2017 in line with the 23 Day Transition Plans.

Ofgem's indicative decision is that Project Nexus can Go Live on 01 June 2017.

In Going Live, there are a number of factors that PNSG need to balance in determining whether to Go Live. Ultimately the decision should be based on risk, and consider the potential impacts to consumers, the UK gas market and businesses should Project Nexus Go Live or not Go Live.

Ultimately the Project Nexus Success Factors drive Ofgem's decision making, noting that there are a number of readiness elements which are summarised on the next slide. A snapshot of the position across the four success factors are summarised below.

Further detail to be added

Ofgem's indicative decision is based on the information and advice provided at the time of making this decision. Should new information becomes available, this decision may be subject to change.

Success Factors 1 & 2

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

Analysis against Market Participant and Xoserve self assessed status against each of the criteria which support the Project Nexus Success Factors. The examples cited are taken from G2 however the PNSG are asked to consider the level of detail and how it is presented.

Success Factor	Exceptions	Mitigation Actions	Market Impact	Likelihood - If action taken
1. Solution meets industry requirements	- Outstanding MTR test lines - IDL catch up approach - Internal project activity not complete	- Complete remaining MTR testing - Provide IDL catch up documents - Complete internal project activity	**Medium** - iGTs unable to operate effectively in the Market - MPs not fully de-risked delivery of plans	**Low** - Testing is on track to complete - IDL catch up processes provided - G3 initial analysis suggests internal activity is completing
2. Solution is stable	- Data defects following IDR2 - Read volumes under review - Internal project activity relating to transition rehearsal	- Review data defect position after IDR3 and report 'Fallout' impact - Complete other transition related internal project activity	**Medium** - MPs not fully de-risked delivery of transition plans - Data defect fallout risk will remain through transition and may have further impact	**Medium** - Monitoring of Participants during transition has been established - Data fallout reporting is being provided during IDR3 and cutover

Impact
High - Market wide impact to all organisations/all consumers (Switching/Service)
Medium - Impact to one or more organisation or >1% of consumers (Switching/Service)
Low - Impact to peripheral processes or <1% consumers

Likelihood
High - Impact expected despite mitigating actions
Medium - Actions expected to take effect however, close monitoring required Post Go Live
Low - Actions expected to take effect before Go Live

- 🟢 Attained or on track to attain
- 🟡 Mitigating actions required to manage post Go Live
- 🔴 Will not be attained/no mitigation plan
- ⚪ No submission

Success Factors 3 & 4

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GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

> Analysis against Market Participant and Xoserve self assessed status against each of the criteria which support the Project Nexus Success Factors. The examples cited are taken from G2 however the PNSG are asked to consider the level of detail and how it is presented.

Success Factor	Exceptions	Mitigation Actions	Market Impact	Likelihood - If action taken
3. Solution is Stable	- Internal project activity not complete - PGL arrangements	- Complete internal project activity - Enhanced PGL support for iGTs - Continue to develop PGL plans and consult with industry	**High** - Robust PGL arrangements are key to supporting the Market and maintaining service levels and not impacting consumers	**Medium** - Workstream established to deliver the PGL plan. Requires close monitoring.
4. Solution enables a positive consumer	- Finalise work instructions - CMS training	- Complete internal project activity relating to training - CMS training (Mar/Apr 17)	**Low** - Impact is limited at a Market Level and it is expected that support would be able to be provided immediately post Go Live	**Low** - CMS training delivered to iGTs - Internal project activity remains recoverable

Impact
High - Market wide impact to all organisations/all consumers (Switching/Service)
Medium - Impact to one or more organisation or >1% of consumers (Switching/Service)
Low - Impact to peripheral processes or <1% consumers

Likelihood
High - Impact expected despite mitigating actions
Medium - Actions expected to take effect however, close monitoring required Post Go Live
Low - Actions expected to take effect before Go Live

- 🟢 Attained or on track to attain
- 🟡 Mitigating actions required to manage post Go Live
- 🔴 Will not be attained/no mitigation plan
- ⚪ No submission

Readiness Report

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

The assessment against each of the success factors is supported by 6 Readiness Reports defined within the Go Live Governance Plan. Additional detail is provided in section 2 of this document.

Xoserve GONG Readiness
Xoserve self assessment supported by assurance activity. Exceptions are assessed in Section 2 in this document and supported by **Report N11.1 and Report N10.1**

Participant Overall Readiness
Market Participant self assessment supported by assurance activity exceptions are assessed in section 1 in this document and supported by **Report N2.2 and N3.1**

Final Risk Position
An addition input on the Go Live Governance plan is the final position for open risks. This is expected to be achieved via RIAG and the final position will be presented in section 6 in this document supported by **Report N1.0**

Aggregated Market Readiness against the 4 success factors
The aggregated market readiness against each success factor. Which has been summarised in this executive summary is covered in detail in Section 3 in this document and supported by **Report N2.2, N3.1, N11.1 and N10.1**

Fallout
Data defects and the final functional and non-functional defect position will be reported in **Report N22.1**. A summary of this output is presented in this document

IDR3 Completion
The successful completion of this activity is required ahead of the Go Live decision and a summary of the exit will be presented in this document supported by **Report N16.1**

Pie chart segments:
1. Xoserve GONG Readiness
2. Participant GONG Readiness
3. Aggregated Market GONG Readiness
4. IDR3 Completion
5. Fallout
6. Final Risk Position

Section 2

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

Section 2 - Detailed Analysis - Readiness Elements

Example - Based on information available on 07 April 17

GONG Readiness

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

1. Xoserve GONG Readiness

Xoserve GONG Readiness

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

Xoserve will be required to make a self assessment at the G3 assessment and the Final Go Live submission. The detail of their final status will be reported in this section and summarised in the executive summary section.

Pillar	Ref.	G2 Criteria	25-Nov	16-Dec	22-Mar	Key Achievements	Residual Risk Areas
Meets industry requirements	1.3	Data transformation rules communicated	G	G	G	• Bulk 2 Complete with zero defects • MT regression on track • Requirements Traceability maintained for CRs	• Further identification of Delta defects following IDR2
	1.5	Bulk and Delta Data Loads	G	G	G		
	1.6	C1 / C2 Process built and tested in MT	G	G	G		
	1.8	Cutover plans aligned to low level design	G	A	G		
	1.9	Requirements Traceability	G	G	G		
Stable	2.1	Non-functional testing	A	A	A	• Code stability management processes well established • IDR2 readiness achieved	• High priority data defects persist • NFR, testing planned and on track, criteria on read volumes in review
	2.2	Process to manage code stability	G	G	G		
	2.3	Business Continuity and Disaster Recovery	G	G	G		
	2.4	Detailed system cutover plan	G/A	A	G		
	2.5	Data migration testing (Dress Rehearsals)	A	A	A		
	2.6	Data migration defects	G	G	A		
Sustainable	3.1	Design documentation	G	G	G	• Training / KT plans in place and approved by Operational Business Leads	• PGL defects need aligning with PIS release schedule • PGL governance structure definition remains in progress
	3.2	Business process documentation	G	G	A		
	3.3	Knowledge Transfer	G	G	G		
	3.4	Post go-live release plan	G	G	A		
	3.5	Data governance	G	G	G		
	3.6	Cutover governance defined	G	G	A		
	3.7	Hypercare IT support processes	G	G	G		
Consumer Experience	4.1	FAQs and Communications	G	G	G	• MT Information Library is providing a valuable Business Process information resource • People Transition comms plan nearing conclusion	• LWI update / creation in readiness for training
	4.2	Hypercare exit criteria	G	G	G		
	4.3	Organisational structure review	G	G	G		
	4.4	Training	G	G	G		

Xoserve GONG Readiness

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

Baringa will carry out assurance activity over the Xoserve readiness position. It is expected that the executive summary of the Baringa report will be presented in this document and the full report will be distributed at the same time.

Executive Summary

Our Approach

- ► Baringa have been embedded within 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.

Conclusions

- ► In conclusion, Baringa supports the headline GONG criteria status, and associated risk profile as submitted by Xoserve, and support moving through the Gate 2 towards Go Live
- ► There are however some low level GONG criteria for which Baringa believe the status is currently stated too positively, and these have been highlighted by exception within this report
- ► Xoserve must be mindful of the number of risks that are beginning to build across each of the 4 areas of Industry assessment criteria. Whilst none of these risks are currently significant enough to jeopardise Go Live, Xoserve must avoid a 'death by a thousand cuts' scenario, especially given the reducing timeframe to mitigate such risks
- ► Baringa recognise that there are a significant number of mitigating actions in place and when combined with recommendations highlighted within this report, a Go-Live status of Green / Amber is forecast
- ► Key interventions are required in the following areas ahead of GONG Gate 3:
    - ► **Meet Industry Requirements** – Employment of Xoserve's regression test suite, clarity on defect deployment schedules & clarified approach for Data Migration defect root cause analysis & prioritisation
    - ► **Solution Stability** – Confirmation of workaround sustainability, and close out of non functional requirement traceability
    - ► **Solution Sustainability** – Finalise PIS organisation structure, bolster team to improve Local Work Instruction delivery and provide further detail on the enduring Industry governance models
    - ► **Impacts to Consumer** – Define detailed handoffs/interaction points across all new PIS teams within the Incident Management Process
- ► Baringa also recommend that greater Xoserve Programme focus on the GONG process is required. Workstreams have struggled to consistently prioritise GONG management activities against wider workstream delivery responsibilities. Reinforcement of accountabilities by Programme management is required.
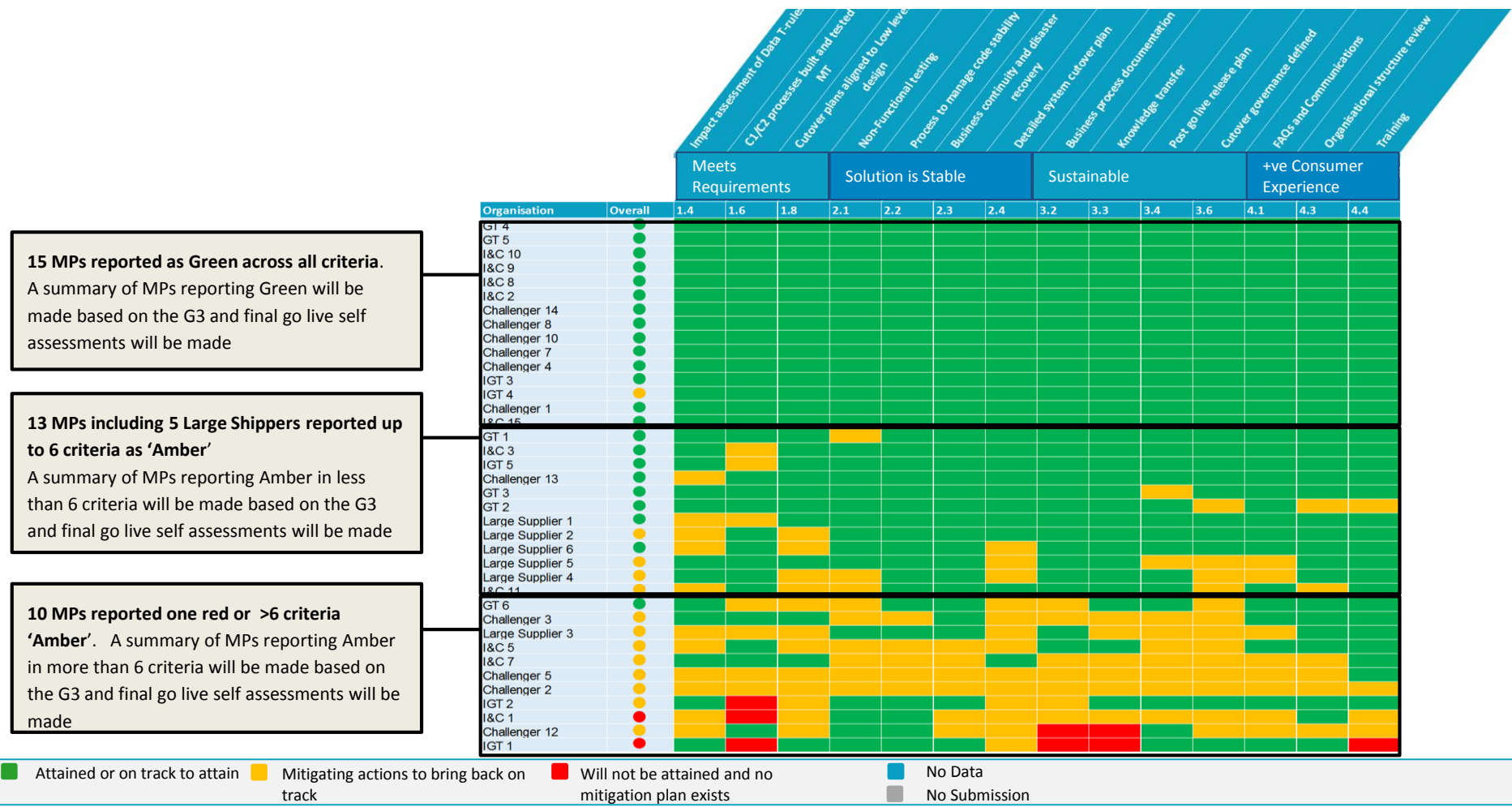
Participant GONG Readiness

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

2. Participant GONG Readiness

Participant GONG Readiness

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GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

The chart below shows the self assessed overall readiness position of each participant as well as the status against the specific GONG criteria. This has been used to inform the assessment of Market Participant Overall readiness.

15 MPs reported as Green across all criteria. A summary of MPs reporting Green will be made based on the G3 and final go live self assessments will be made

13 MPs including 5 Large Shippers reported up to 6 criteria as 'Amber' A summary of MPs reporting Amber in less than 6 criteria will be made based on the G3 and final go live self assessments will be made

10 MPs reported one red or >6 criteria 'Amber'. A summary of MPs reporting Amber in more than 6 criteria will be made based on the G3 and final go live self assessments will be made

Column criteria headers: Impact assessment of Data T-rules, C1/C2 processes built and tested, MT, Cutover plans aligned to Low level design, Non-Functional testing, Process to manage code stability, Business continuity and disaster recovery, Detailed system cutover plan, Business process documentation, Knowledge transfer, Post go live release plan, Cutover governance defined, FAQs and Communications, Organisational structure review, Training

Category bands: Meets Requirements | Solution is Stable | Sustainable | +ve Consumer Experience

Criteria numbers: 1.4, 1.6, 1.8 | 2.1, 2.2, 2.3, 2.4 | 3.2, 3.3, 3.4, 3.6 | 4.1, 4.3, 4.4

Organisations listed (Overall status):
- GT 4, GT 5, I&C 10, I&C 9, I&C 8, I&C 2, Challenger 14, Challenger 8, Challenger 10, Challenger 7, Challenger 4, IGT 3, IGT 4, Challenger 1, I&C 15
- GT 1, I&C 3, IGT 5, Challenger 13, GT 3, GT 2, Large Supplier 1, Large Supplier 2, Large Supplier 6, Large Supplier 5, Large Supplier 4, I&C 11
- GT 6, Challenger 3, Large Supplier 3, I&C 5, I&C 7, Challenger 5, Challenger 2, IGT 2, I&C 1, Challenger 12, IGT 1

Legend:
- 🟩 Attained or on track to attain
- 🟨 Mitigating actions to bring back on track
- 🟥 Will not be attained and no mitigation plan exists
- 🟦 No Data
- ⬜ No Submission

Participant GONG Readiness

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

Each Participant who has self assessed as 'Red' or have been indicated as a concern due to their overall self assessment have been evaluated against 7 areas to understand the materiality of risk to the overall Market. B

Participant self assessment of overall readiness for Go Live

- For Participants who self assess as 'Red' for their overall readiness which is supported by assurance or further follow up activity, they will be asked to respond to questions in 5 critical areas.

- Based on the responses the level of risk to the Market will be assessed and the appropriate mitigation plan will be defined.

- Non-submitting organisations will also be assessed based on information known and they will receive formal communication from Ofgem.

- Examples are set out below for consideration by RIAG and PNSG.

Attribute	Metrics	Participant 1	Participant 2	X Non-Submitting Participants
Market AQ share	AQ Share >2%	N	N	N
Market supply point (SP) share	SP Share >2%	N	N	N
Consumer switching	Market Participant can lose customers	Y	Y	Unknown
Managing gas safety	Gas Emergency processes tested	Y	Y	Unknown
Settling invoices	Ability to process settlement invoices confirmed	Y	Y	Unknown
Maintenance of Customer Service	Confirmation that billing and customer service activity not impacted	Y	Y	Unknown
Recovery time required	How long is required to be Nexus compliant	3 months	3 months	Unknown
Proposed Mitigation		Fix Forward - enhanced support	Fix Forward - enhanced support	Monitor and Fix Forward

Participant GONG Readiness

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

This slide defines the proposed mitigation actions in more detail. It is expected that the specific issues raised will drive the detail of any additional support which needs to be balanced with supported the rest of the industry. Examples for discussion are proposed below.

Outcomes	Description	Examples of Potential Impacts	Support Activity Required
Monitor and Fix Forward	Size of organisation or nature of issue encountered does not present a material risk to the Market or consumers.	- Reduction or loss of portfolio as can not object - Unable to gain customers - Unable to accurately manage wholesale position - Drain on Xoserve resources at key time	- Daily portfolio reports to monitor losses - Manually send other key files - Mandate to resolve Nexus position as a priority
Enhanced support and Fix Forward	Size of organisation or nature of issue encountered is expected to present a significant risk to the Market if not managed closely.	In addition to impacts above: - Increased Media attention anticipated - Double billing of customers - Xoserve resources required to support - Impact to other organisations due to level of activity in market - Risk to vulnerable customers	In addition to the above - Manual workarounds for core processes - Dedicated support resources - Market Testing/re-testing if required - Support with external messaging
No Go	Size of organisation or nature of issue encountered presents a significant risk to the Market, the consumer or safety.	In addition to impacts above: - Safety risk to employees or members of the public - Inability to serve existing customers - Unable to execute loosing portion of TOO transaction - Unable to process settlement invoices putting market at risk	- No Support activity required as this situation would result in a 'No Go' for Nexus

Aggregated Market Readiness

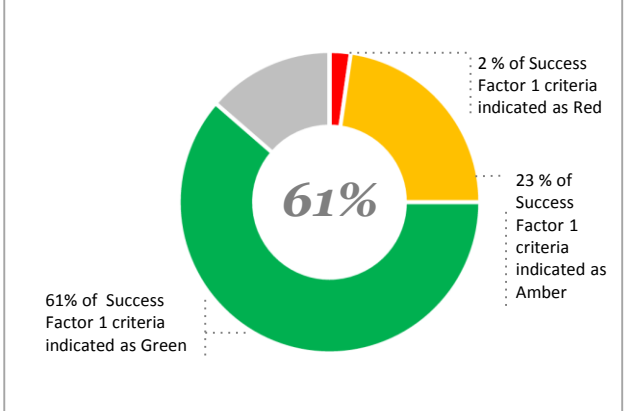**GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR**

3. Aggregated Market Readiness

Aggregated Market Readiness

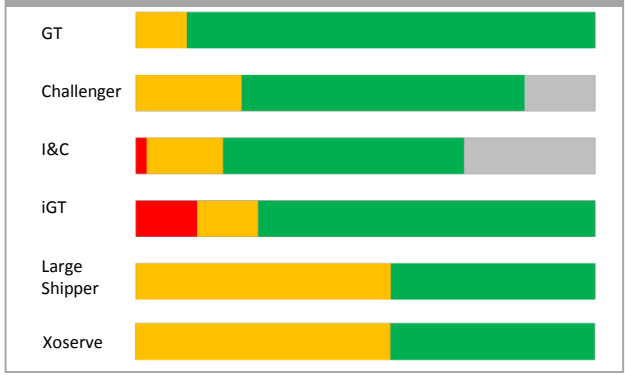**ofgem** Making a positive difference for energy consumers

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

This slide provides additional detail in support of that presented in the Executive Summary. This slide considers the Market Participant position against success factor 1. There will be one slide for each of the success factors in the final document for 17 May 17.

Success Factor 1 Self-Assessment

61%

2 % of Success Factor 1 criteria indicated as Red

23 % of Success Factor 1 criteria indicated as Amber

61% of Success Factor 1 criteria indicated as Green

Success Factor 1 by Constituency

- GT
- Challenger
- I&C
- iGT
- Large Shipper
- Xoserve

🟢 Attained or on track to attain
⚪ No submission
🟡 Mitigating actions to bring back on track by next assessment
🔴 Will not be attained and no mitigation plan to bring back on track

Detailed exceptions by Market Participant (MP)

Market Participants*	Nature of Exception	Mitigation Plan
Criteria 1.4 Impact assessment of Data T-rules		
🟠 • Large Supplier A	• Exceptions expected to relate back to the detail provided in the Executive Summary	• Mitigation plans expected to relate back to those presented in the Executive Summary
Criteria 1.6 C1/C2 processes built and tested in MT		
🔴 • Large Supplier B		
🟠 • Large Supplier C		
Criteria 1.8 Cutover plans aligned to Low Level Design		
🟠 • Large Supplier D		

Source: PwC

IDR3 Completion

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

4. IDR3 Completion

IDR3 Completion

Xoserve will produce an IDR3 exit report. The summary of this report will be presented in this document and the full report circulated separately. The example provided here is from the IDR2 exit report presented to the PNSG on 06 Apr 17

Conclusion: Based on the above, Xoserve are positioned to exit IDR2 as planned. The lessons learnt will be fed into IDR3 planning and Data defects identified in IDR2 will be captured as part of the Fallout Report.

Time

- The notional PNID target date of 23rd March was achieved.
- GT Delta loads including data validation completed within planned timescales.
- All Unique Sites, DM CSEPs, iGT bulk load and In-Flight activities including data validation concluded to plan.
- All Gemini and CMS consequential changes activities completed to date and remaining post NED activities remain on track.
- Catch Up completed within the agreed period and detailed analysis is being undertaken which will be shared with TPG and Ofgem.
- The 23 day Low Level Cutover Plan was effectively managed .

Quality

- Data defects have been identified as part of the Delta, iGT, Unique Sites & In-Flights Validation activities.
- Data criticality matrices used to support prioritisation of fixes and In line with the Fallout Management Approach, defects have been 'parked' and are being progressed to resolve before IDR3.
- Overall, the number of defects and the number of affected MPRNs is manageable. It is planned to fix defects in priority order ahead of IDR3 entry. Some lower priority defects will remain outstanding.
- In-Flights solution for high and medium priority tests has performed very well, some defects recorded, corrective action plan being developed ahead of IDR3.
- Data mismatches in AAQ /. MDS file undergoing analysis , corrective action plan will be in place ahead of IDR3.
- A Fallout Report has been produced detailing data defects raised and a relevant fix plan or otherwise for each.

Process

- Some performance issues experienced with generation of AAQ/MDS report. Code fix has been applied to fine tune and resolve this issue and was demonstrated in IDR2.
- Well controlled throughout; e.g. plan management and awareness, decision making, defect prioritisation.

Lessons Learnt

- Over 100 lessons have been captured and are being pro-actively being reviewed and fed into IDR3 planning. The vast majority of lessons relate to task sequence changes, additional steps, owner information and shift handover.

respect 〉 commitment 〉 teamwork

Fallout

GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

5. Fallout

Introduction

Purpose

This report gives an overview of Xoserve defects and their fallout for the transition to the new UKLink SAP system. This report is intended as a source of information for PNSG and PNDG representatives.

A 'snapshot' view of the defect position will be given at key program milestones: following IDR2, IDR3 and Cutover. Defects are categorised into Data, Functional, and Non-Functional. The report will highlight defects that will impact cutover or will not be fixed until post go live (PGL) and if there is an impact on live operations it will be flagged.

The defects summarised here are shared with and discussed weekly in:
- Data Management Group (DMG) - data defects
- Defect and Release Working Group (MTWG) – functional and non-functional defects.

Version Control

Version Number	Date	Comments
0.7	10/04/17	Draft Post-IDR2 Report

Data Defects - Scope

All data defects from all data sources, from all phases of data testing that are not due to be resolved before go live will be included in this report. The fallout impact on MPRNs will be summarised. These defects and impacts are publicised and discussed at the Data Management Group (DMG).

Functional and Non Functional Defects - Scope

All functional and non-functional defects identified in all phases of testing that are not due to be fixed before go live will be included in this report. These defects are discussed and agreed between Market Participants, Xoserve and PwC through the Market Trials Working Group (MTWG).

Further Information

Further information relating to defects and fallout can be found using the following:
- Data Defects – DMG
- Functional Defects – Defect and Release working group
- Non-Functional Defects - Defect and Release working group

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Executive Summary

Objective

The objective of this report is to provide visibility of defects that will impact cut over or live operations. This report will be updated at the key points shown below, and will be used as an input for entry decisions.

Impact Overview

Post IDR2 Position

Functional and non-functional: There are currently no defects targeted for post go live resolution that will impact IDR3 of cut over and where there is impact on live operations workarounds are either agreed or due to be agreed through the MTWG before 1st June.

Data: No data defects are currently planned to be fixed after cut over, they are all due to be resolved ahead of their need date in IDR3 or before cut-over giving no impact in IDR3 or live operations.

Key Activities Timeline

The following timeline shows the key points where updates will be reported regarding defects and fallout.

Key Activity	Planned Report Date
Post-IDR2	10/04/17
Post-IDR3	12/05/17
Post Cutover	09/06/17

Data Defects Industry Awareness

The data defect fallout position for each phase of data testing has been shared at DMG, PNDG and PNSG at the end of each phase e.g. delta, bulk load. Data defects are discussed weekly at the DMG. A data assurance assessment on Bulk has been completed by PWC and an assessment on Delta is in progress on 10th April.

Functional and Non-Functional Defects Industry Awareness

An industry review of all outstanding functional and non-functional defects was held at entry to MTR on the 6th January. A weekly industry review of all defects has been performed throughout MTR. An industry workshop was held on 22nd March to review the defects that would only be resolved Post Go Live (PGL).

Market Trials Regression (MTR) was formally exited with caveats at PNSG on 22nd March 17, a number of organisations have been allowed through agreement with Ofgem & PwC to continue testing on a limited number of test cases. Up to 21st April.

The final defect list including all PGL and workarounds will be agreed post iDR3 with a final workshop being held to confirm priority and manual workaround effort plus their sustainability. This will be used to support the PIS release plan. All defects with an approved fix status are targeted for deployment before 8th May 2017

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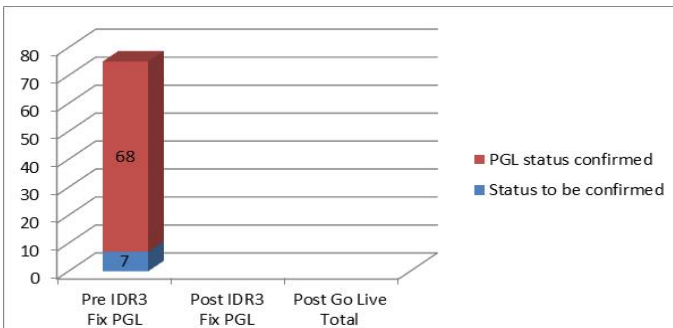
Post IDR2 Position

Post-IDR2 - Summary

The snapshot of defects at the end of IDR2 shows that all data defects have a fix plan before go live so will not impact IDR3 or cut over and the functional defects planned for fixing post go live will either not impact cut over or live operations or are having a workaround put in place to address their impact. There are no non-functional defects targeted for fixing Post Go Live.

Defect and Fallout Position (as at 06/04/17)

Data Defects – fix profile
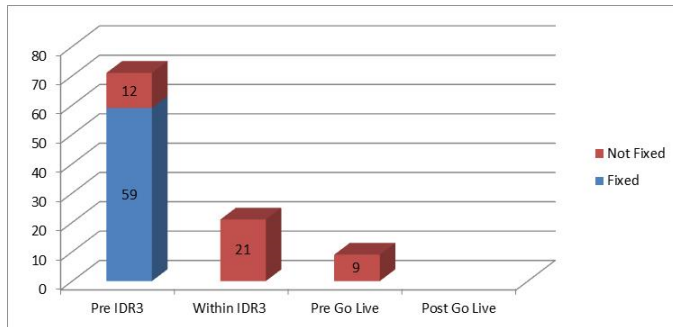
Functional & Non Functional Defects PGL

Data Defects

The Post IDR2 data defect position has been shared with DMG and was included in the 11th April PNDG. The resolution path for all defects found in IDR2 has been defined and all are targeted to be fixed ahead of their need date in IDR3 either as a code fix or as a data fix when the problem occurs resulting in no IDR3 execution impact. No defects are planned to be carried into live operation.

The fixing progress on data defects will be reported at the agreed update points during IDR3.

The one data area not tested in IDR2 was Unique Sites in-flight low priority scenarios, as agreed with the industry in-flights migration group. These scenarios will be tested as part of IDR3.

Functional Defects

75 defects are marked for fix Post Go Live (PGL):
- 68 have been reviewed and had this status confirmed by the weekly Market Trials industry progress calls.
- 7 are under review to confirm PGL status; all new defects default to PGL.

Of the 68 with PGL status confirmed:
- 44 require or may require workarounds; workarounds can be activities to avoid impact or guidance notes.
- 9 either have an available exception that can be worked to resolve the issue (3); are Internal to Xoserve or specific to MT only (4); or have no identified impact (2).
- 13 are either time-bound, with a first need date after 1st June (6); or 'Requires CR' (7).
- 2 require further analysis.

Non-functional Defects

There are no non-functional defects currently targeted for Post Go Live fixing.
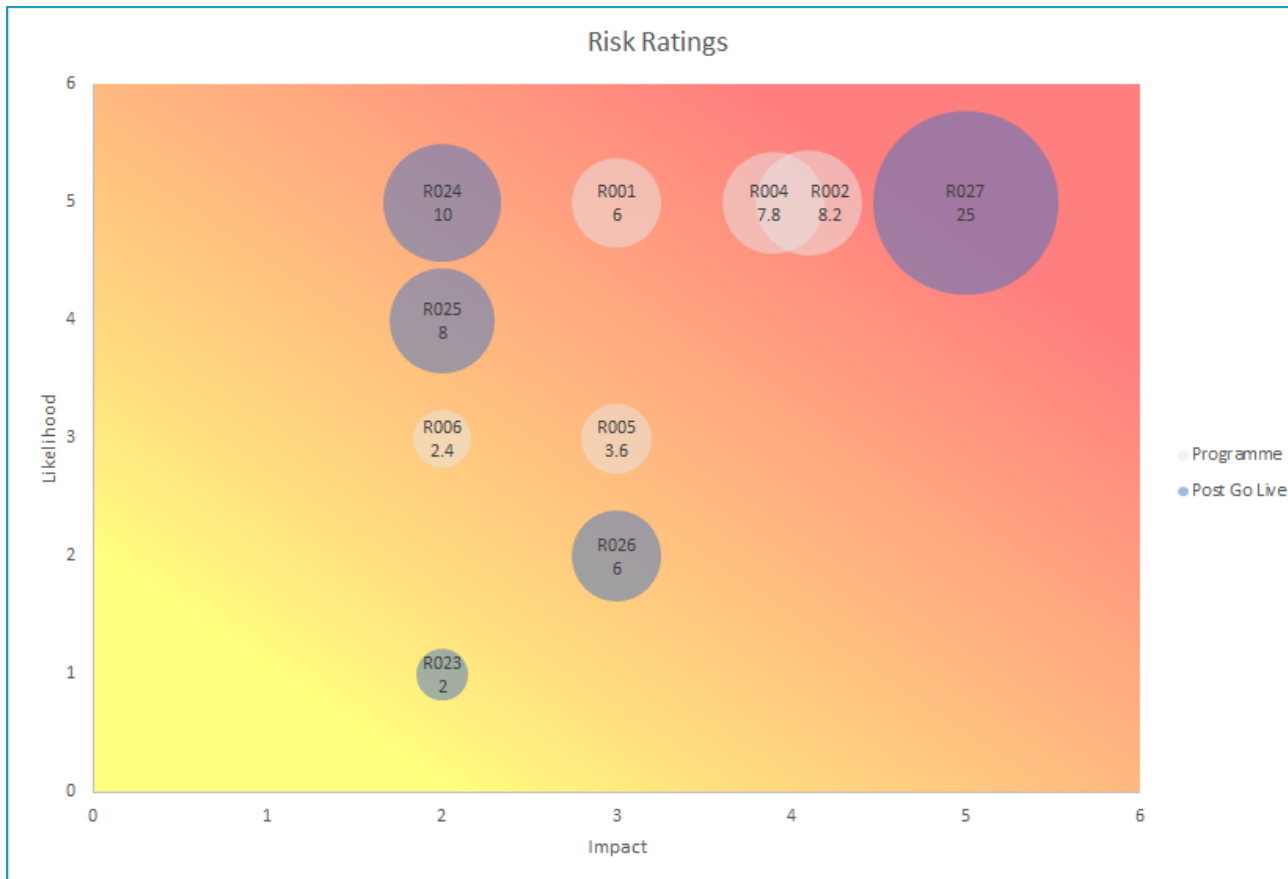
Final Risk Position

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6. Final Risk Position

Final Risk Position

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The final risk position will be presented here. The exact format of this will be defined through the RIAG meetings however a proposal is outlined below.

Final Risk Position

Final Risk Position @ XX May 17:

Key exceptions to note relating to open risks include:

- TBC

More detail on exceptions will be provided as required on found in these on the following slides.

New risk owners should be identified where appropriate prior to agreeing the final risk position

Go Live Decision

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#	Decision	Due Date	Areas of Programme Affected	Comments	Outcome
D0XX	**Go Live Decision** The PNSG is asked to approve Go Live for Project Nexus for 01 Jun 17 based on the achievement of the success criteria as outlined on this slide, and in greater detail throughout this PNSG report. This is based on the information available to date (initially 17 May 17, subsequently 19 May 17).	17 May 17	GONG	Decision is based on the following Success Factors, as outlined in the GONG framework: 1. Solution meets industry requirements. 2. Stable. 3. Sustainable. 4. Enables a positive consumer experience. *The noted caveats are:* - *TBD - these will be included if there are any applicable ones at the time of the PNSG on 17 May 17.* The approval of this decision means all Market Participants and Xoserve will continue with all activities in preparation for Go Live on 1 Jun 17.	Pending PNSG Decision

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Section 3

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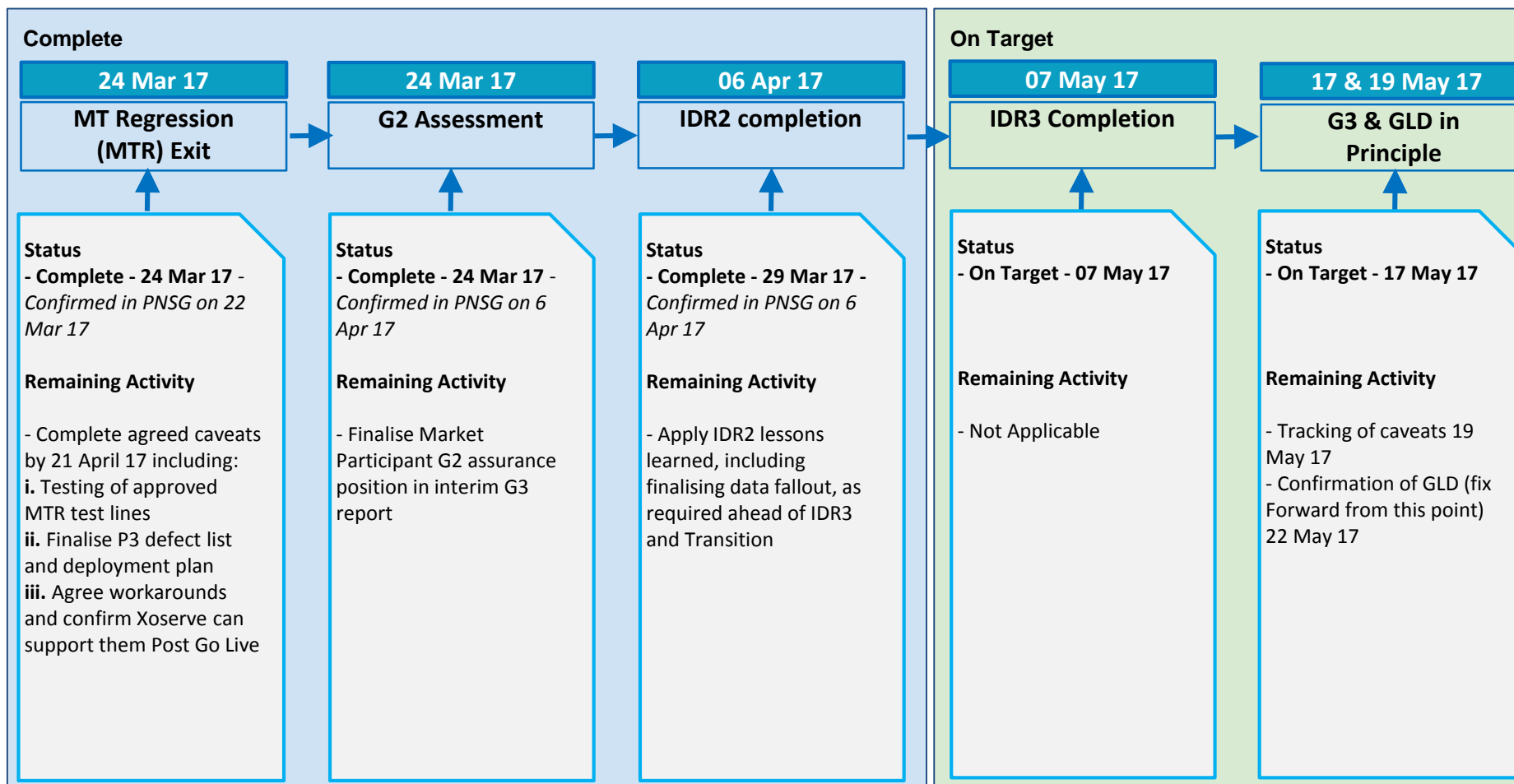
Section 3 - Milestone Status and Assurance

Example - Based on information available on 07 April 17

Milestone Status

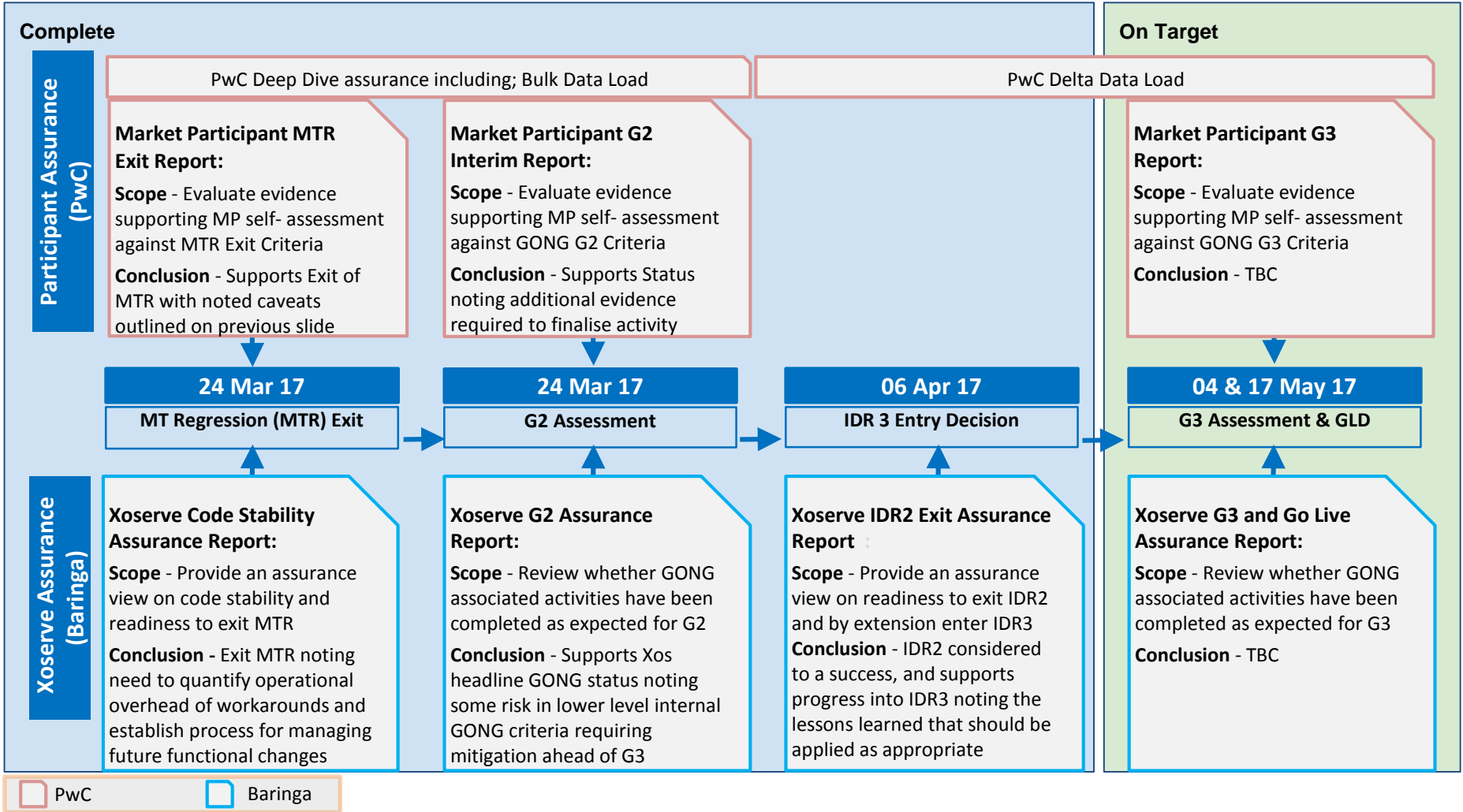## GO LIVE DECISION REHEARSAL - SAMPLE DATA BASED ON IDR2, G2 AND MTR

The diagram below summarises the key milestone status as at 7 Apr 17. The PNSG would be requested to consider the completion status, any remaining activity and the associated assurance work (shown on the subsequent slide) when taking the Go Live decision (GLD).

Complete

On Target

24 Mar 17	24 Mar 17	06 Apr 17	07 May 17	17 & 19 May 17
MT Regression (MTR) Exit	G2 Assessment	IDR2 completion	IDR3 Completion	G3 & GLD in Principle

Status
- **Complete - 24 Mar 17** - *Confirmed in PNSG on 22 Mar 17*

Remaining Activity

- Complete agreed caveats by 21 April 17 including:
i. Testing of approved MTR test lines
ii. Finalise P3 defect list and deployment plan
iii. Agree workarounds and confirm Xoserve can support them Post Go Live

Status
- **Complete - 24 Mar 17** - *Confirmed in PNSG on 6 Apr 17*

Remaining Activity

- Finalise Market Participant G2 assurance position in interim G3 report

Status
- **Complete - 29 Mar 17** - *Confirmed in PNSG on 6 Apr 17*

Remaining Activity

- Apply IDR2 lessons learned, including finalising data fallout, as required ahead of IDR3 and Transition

Status
- **On Target - 07 May 17**

Remaining Activity

- Not Applicable

Status
- **On Target - 17 May 17**

Remaining Activity

- Tracking of caveats 19 May 17
- Confirmation of GLD (fix Forward from this point) 22 May 17

Scenarios

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Discuss what could take place to jeopardise the GONG decision process scheduled w/c 15 May 17.

Attendance and quorum
- Ofgem
- PNSG member for each constituent
- Xoserve
- Baringa
- PwC

Reporting
- Content
- Completeness and accuracy
- Delivery

Logistics
- In person
- Time exceeded

Constituent meetings
- Consensus
- Logistics

Communication
- Distribution
- Timing
- Accountability

Flow of information between:
- 15 May - PNSG report being sent out
- 17 May - first PNSG meeting
- 19 May - second PNSG meeting
- 22 May - Fix forward

IDR3 Update