

Project Nexus Steering Group [PNSG]

22 March 2017

ofgem



Agenda











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Minutes can be found on the **Ofgem** website at:
<https://www.ofgem.gov.uk/gas/retail-market/market-review-and-reform/project-nexus>

PNSG Programme Summary

Overall Summary: The Programme RAG remains Amber reflecting the level of risk across each of the workstreams leading up to Go Live. **Solution Delivery** continues to track Amber/Green as a result of the need for confirmation of industry volumes post Go Live (in order to verify performance results). **Market Trials** is rated as Amber. Although the majority of Market Participants are close to completion there is still a high number of Market Participants still to complete testing as we enter the last week of the phase. **Data** is rated as Amber due to residual risks around defects and awaiting the result of IDR2 and iGT data quality. **Transition** remains at Amber due to the proximity between IDR2 and IDR3 and cutover however IDR2 progress is tracking against its planned delivery. **GONG** remains Amber/Green reflecting several areas of concern across iGT data alignment/ cleanse, maturity of MP transition planning, post Go Live support/ governance and completion of MT Regression.

Status  **Trend (from last PNSG)** 

 Significant risk to Go Live - Immediate mitigation required
  Increased risk to Go-live - Urgent mitigation required
  Go-live at risk – manageable with mitigation
  On track but being closely monitored
  On Track
  Complete
  N/A or No information
  Improvement since previous report
  No Change in Status
  Degradation since previous report

	 Solution Delivery 	 Market Trials 	 Data 	 Transition 	 GONG 
Commentary	<p>The Solution Delivery workstream remains Amber/Green due to an outstanding requirement for industry to confirm post Go Live volumes which will be used to confirm the adequacy of Performance Testing results.</p> <p>Calculations indicate this is not expected to present an issue but confirmation is required of the assumptions used. Xoserve are now planning to present assumptions for validation, rather than seek direct industry input of volumes, and a cross industry discussion (potentially working group) is being set up to validate the future system volumetric assumptions.</p> <p>Note: Volumetrics have been provided by Xoserve and will be covered after the decision to exit MT Regression has been discussed. These slides appear later within this report.</p>	<p>The Market Trials workstream remains Amber due to 24 Market Participants still to complete MT Regression (MTR) testing as we enter the final week of the phase. Test progress has been generally consistent through the phase and the majority of Market Participants are close to completion. It is now critical that all Market Participants complete outstanding test lines, wherever possible, by 24 Mar 17.</p> <p>A small number of test lines (26 in total) are currently forecast to complete after 24 Mar 17. Market Participants have been asked to formally request approval where test lines that are considered critical are required to be tested beyond 24 Mar 17. These requests will be reviewed by Ofgem in consultation with PwC, Xoserve and the Market Participant and may require some use of the MTR contingency window.</p> <p>Activity is in progress to finalise the MTR exit position against the phase exit criteria and this is will continue in w/c 27 Mar 17. The MTR Exit Criteria relate to test plan completion, the defect position and agreed workarounds. Some additional / mitigating actions are required to achieve the criteria, which are outlined in more detail within the MTR section of this pack.</p>	<p>The Data workstream remains Amber due to the residual risk of outstanding data, awaiting IDR2 final outcomes and iGT data quality. Key data fallout from IDR2 is being followed closely. At the DMG held on the 08 Mar 17, good progress was made to address iGT data inconsistency. Whilst work continues, the outcome of this DMG has resulted in an increased level of confidence amongst Shippers that any issues raised can be resolved and this will continue in the next DMG on 23 Mar 17.</p> <p>In Flights testing of agreed high and medium priority scenarios has completed successfully. Actions to address outstanding areas:</p> <ul style="list-style-type: none"> • Concerns around IDLs by iGTs to be addressed starting with a meeting on 21 Mar 17. • In Flights working group has de-prioritised low priority scenarios which will be tested ahead of and within IDR3. • A follow up mini-DMG focusing on iGT data inconsistencies will be organised for week commencing 03 Apr 17 to ensure these are resolved. 	<p>The workstream remains Amber due to the very tight timetable of IDR2, IDR3 and cut over. IDR2 is tracking to plan, any issues are being identified and resolutions created in line with the Fallout Management Approach.</p> <p>There is a concern that organisations cutting over early may inflate catch up volumes (T3.4). 3 Organisations made the request to cut over early in February. This has since reduced to 2 following further discussions. Following IDR2, Xoserve will perform an extrapolation of the catch up timing with expected volumes from the early cut-over participants to estimate if there is a risk of material impact to the catch up timing.</p> <p>Organisations are expected to maintain normal volume behaviour across the Transition period and raise a change request to Ofgem if they are behaving differently or wish to change their advised cut-over timelines.</p>	<p>The GONG workstream remains Amber/Green. Regular contact with Market Participants has continued and engagement continues to be good. G2 assessment submissions from 23 Feb 17 have been analysed and were presented at PNDG on 14 Mar 17.</p> <p>These highlighted that areas of concern remained in; iGT data alignment/ cleanse, maturity of Market Participants transition planning, post Go Live support/ governance and completion of MT Regression. All of these concern areas are being managed at working groups or directly with Ofgem.</p> <p>Successful completion of pre-IDR2 In Flight testing (pre and during IDR2) should help to build confidence in an area which was previously highlighted in GONG Submissions as an area of concern.</p> <p>The data from the second G2 submission on 16 Mar 17 is being evaluated and will be reported in the PNSG on 06 Apr 17.</p>

Programme Risk Landscape

Area	Milestones	Risks	RAG	Trend	Outlook	Status	Potential impact
Market Trials Regression - Ability to complete to schedule	MT2.6	R68 R69 R70 R94 R95 R96 R97	Amber/Green	↔	↔	Majority of testing is projected to complete by MT2.6. Testing beyond that point will be by exception. Key areas of risk are invoicing (R096) and IDL (R097). RIAG identified the need for an IDL deep dive group to be established to build confidence in the IDL file and its production.	Significant testing beyond MT2.6 will continue parallelism in the plan.
IDR – In Flights - Ability to have In Flight solution in place	D1.5	R88	Amber/Green	↑	↔	All In Flights designated as required for IDR2 where delivered prior to the need date. Successful execution within IDR2 will reduce/eliminate this risk.	In Flights execution within IDR2 does not provide sufficient confidence.
Cutover file volumes - Clarity on volumes and procedures and volumes	T3.4	R78 R102	Amber	↔	↔ or ↑	Xoserve's cutover plans are based upon transaction sizing taken from prior years. Any upwards deviation could cause some processes to take longer than expected. Of specific concern is catch-up batch. Information has been gathered from participants to determine likely catch-up file volumes. This will be tested in IDR2.	Additional VNBDs may be required which would require urgent modification status.
IDR – Execution - Successful execution of IDR2 and 3	T1.5, T1.6, T3.5	R87 R91	Amber	↔	↑	IDR2 will be the first time since IDR1 that a full end-to-end rehearsal of the cutover will take place. IDR2 execution needs to be monitored closely. So far, execution of IDR2 has been without major incident.	Significant failures in IDR2 could result in an inability to correct prior to IDR3 and would undermine attainment of the GONG criteria around successful completion of IDR2 and 3. Potential Go Live issue.
iGT Data reconciliation and T-rule compliance - consistency between iGTs/Shippers and Xoserve	D3.4	R73 R84	Amber/Green	↔	↑	The next monthly report up to end of February (issued end of March) is expected to show a decline in inconsistencies between iGTs and Xoserve. A special DMG held on 06 Feb 17 provided much needed clarity on the issues and a follow-up has been scheduled for early April.	Exceptions post Go Live. However must be recognised that the data is already incorrect in the current system so in many cases there is already a customer impact.
↑ Improved/Improving ↓ Deteriorated/Deteriorating ↔ Stable							

Programme Risk Landscape

Area	Milestones	Risks	RAG	Trend	Outlook	Status	Potential impact
Cutover Files - Uncertainty over timing and format of some files produced during cutover	T3.5	R71 R92 R103	Green	↑	↑	There are now solutions agreed for the two specific risks in this area (R71 and R92). R103 is a general risk that further unknown areas exist.	Unlikely to impact Go Live.
Participant readiness - readiness to operate	Post Go Live	R85 R89 R90 R93	Amber/Green	↔	↔	Relates to the readiness of participants for Go Live and their ability to support operations. This is being monitored through GONG for participants. Consideration is also being given to engaging directly with some energy suppliers who use a third party shipper.	Customers could be adversely impacted. Potential Go Live issue depending on volume and impact.
Cutover coordination - industry coordination of cutover and cutover decision making	T3.5	R86 R98 R101	Green	↑	↔	An industry 23 day plan has been presented to TPG. This plan promotes a common interpretation of what is expected from participants during cutover. A Go Live governance plan has been prepared showing the decision making process from IDR2 through to cutover. IDR2 and 3 entry/exit criteria have been presented to TPG. IDR0 has walked the cutover and tested contingency scenarios with participants and Xoserve. The interim G2 submissions showed increasing confidence in this area.	Reactive changes to the 23 day plan may be required during cutover in order to resolve issues. This could include emergency requirements for additional VNDBs.
Xoserve post Go Live operations readiness - readiness to operate new systems and processes	Post Go Live	R75 R76 R99 R100	Amber	↔	↔	Work is required by Xoserve to quickly confirm arrangements for post Go Live including releases, management, governance, processes, testing and post Go Live support. Information is required so that participants can plan their own programmes and operations.	Lack of Xoserve readiness could lead to a failure to meet GONG criteria Potential Go Live issue.
Market trials not fully representative of production - Some functionality and data may not be fully tested in market trials	Post Go Live	R52 R59 R74	Amber/Green	↔	↔	Functionality not tested has been collated and reviewed by MTWG, DMG has reviewed T-rules that were not applied during the MT data load. PwC will review use of dummy iGT test data as part of MTR Exit assurance. This area is now largely an inherent risk that must be accepted.	Exceptions could occur post Go Live.
↑ Improved/Improving ↓ Deteriorated/Deteriorating ↔ Stable							

Decision: MT Regression Exit

Decision causes a milestone date change on the Plan on a Page
 Decision impacts the Go Live date
 Programme decision with no impact to POAP

#	Decision	Status	Due Date	Areas of Programme Affected	Comments	Outcome
D024	<p>MT Regression Exit</p> <p>The PNSG are requested to ratify that MT2.6 [Market Trials Regression Complete] has been realised and that this phase of the programme is now complete.</p>		22 Mar 17	Market Trials	<p>MT Regression Exit Criteria</p> <ol style="list-style-type: none"> 100% execution of participant test plan relating to C1/C2 processes. Zero P1/P2 open defects. Industry agreed P3 defect list. Workarounds are documented and agreed. Numbers of agreed workarounds are sustainable. <p>Ofgem indicative decision The Ofgem Indicative Decision is that industry can exit Market Trials Regression.</p>	Pending PNSG Decision

MTR Completion Summary

At COB Friday 17 Mar 17:

- **13** participants complete
- **5** participants forecast not to complete by 24 Mar 17
- **19** participants forecast to complete by 24 Mar 17
- **1658** test lines closed
includes complete, de-scoped and accepted as 'incomplete'
- **232** test lines remaining
177 test lines closed during w/c 13 Mar 17
- **26** test lines forecast to complete after 24 Mar 17

MTR Objective - to demonstrate that the mandatory scenarios (C1 and C2) have not been impacted by changes and defect fixes made during Market Trials.

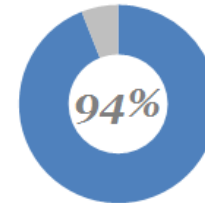
MTR PwC Portal Response - 16 Mar 17

Information within this PNSG MTR update is based on participants' self assessment via the PwC Assurance Portal on 16 Mar 17, 'Managed' MTR test plans and Xoserve defect data.

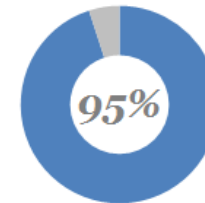
37 Participants taking part in MT Regression

37 Participants being tracked through a 'Managed' MTR test plan

32 Participants provided a portal submission on 16 Mar 17



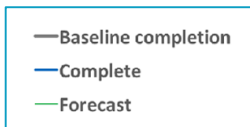
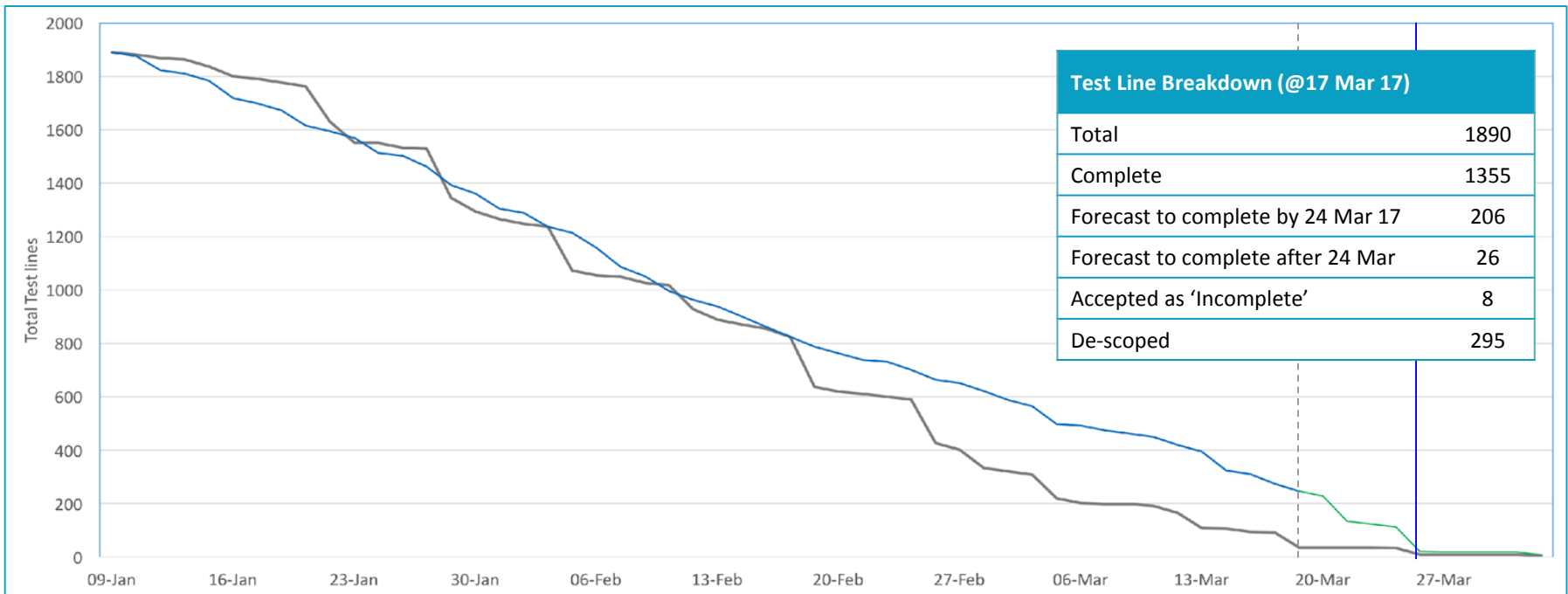
Market Supply Point coverage of 16 Mar 17 Portal Submission



Market AQ coverage of 16 Mar 17 MTR Portal Submission









MTR Progress @17 Mar 17

A relatively consistent rate of testing has been achieved throughout the phase. With one week to go, 12% of test lines are still to be completed with 1% currently forecast to complete beyond 24 Mar 17.



MTR Exit Criteria

The MT Exit Criteria were developed by MTWG and approved by industry through review of the MTR Approach Document.

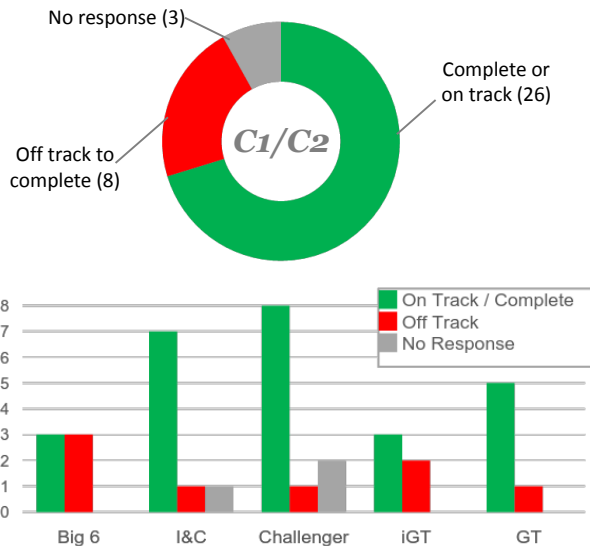
MTR Exit Criteria	Current status	Key reason for status	Next steps / mitigation required	Supporting information
1 100% execution of participant test plan relating to C1/C2 processes		26 test lines are currently forecast to complete after 24 Mar 17 and some are likely to require testing in MTR contingency window.	<ul style="list-style-type: none"> Participants to complete testing wherever possible by 24 Mar 17. Participants to formally request approval to complete any outstanding critical test lines within MTR contingency window. Ofgem to approve MTR contingency tests in consultation with PwC, Xoserve and Participants. Approval to test will include consideration of Go Live criticality and Xoserve resource impact of maintaining the MT Environment. 	Slide 10
2 Zero P1/P2 defects		Delivery plan for all remaining open Xoserve P2 defects needs be finalised and any impacts considered through defect call.	<ul style="list-style-type: none"> Finalise delivery plan for open Xoserve P2 defects. Review associated test lines through process outlined for Exit Criteria 1. Any new P2 defects to be reviewed in weekly defect call on 24 Mar 17. 	Slide 12
3 Industry agreed P3 defect list		Process in place and being followed to finalise P3 defect list following defect workshop on 09 Mar 17.	<ul style="list-style-type: none"> Finalise defect position during w/c 27 Mar 17 and agree Post Go Live (PGL) priority status in weekly defect call on 31 May 17. P3 defect list to be passed to PGL team to input into release planning (also dependency on PGL test environment). 	Slide 12
4 Workarounds are documented and agreed		Process in place and being followed to finalise workarounds. Clarity required over Xoserve workaround numbers	<ul style="list-style-type: none"> Xoserve to complete analysis of remaining 'in progress' workarounds and review with industry on 31 Mar 17 defect call. Xoserve to finalise workaround list and publish on Xoserve Library. 	Slide 14
5 Numbers of agreed workarounds are sustainable		Risk highlighted by Baringa around sustainability of Xoserve defect related workarounds.	<ul style="list-style-type: none"> See actions in Baringa report over the maintenance of code stability during MTR. 	Slide 15
RAG Key:	 Not on track to achieve Exit Criteria	 Additional action / mitigation required to achieve Exit Criteria	 On track to achieve Exit Criteria	

Exit Criteria 1 – Test Completion

Where participants are reporting 'off-track' to complete testing by 24 Mar 17 this is due to individual test lines that are not expected to complete on time.

MTR Exit Criteria 1	Status
100% execution of participant test plan relating to C1/C2 processes	●

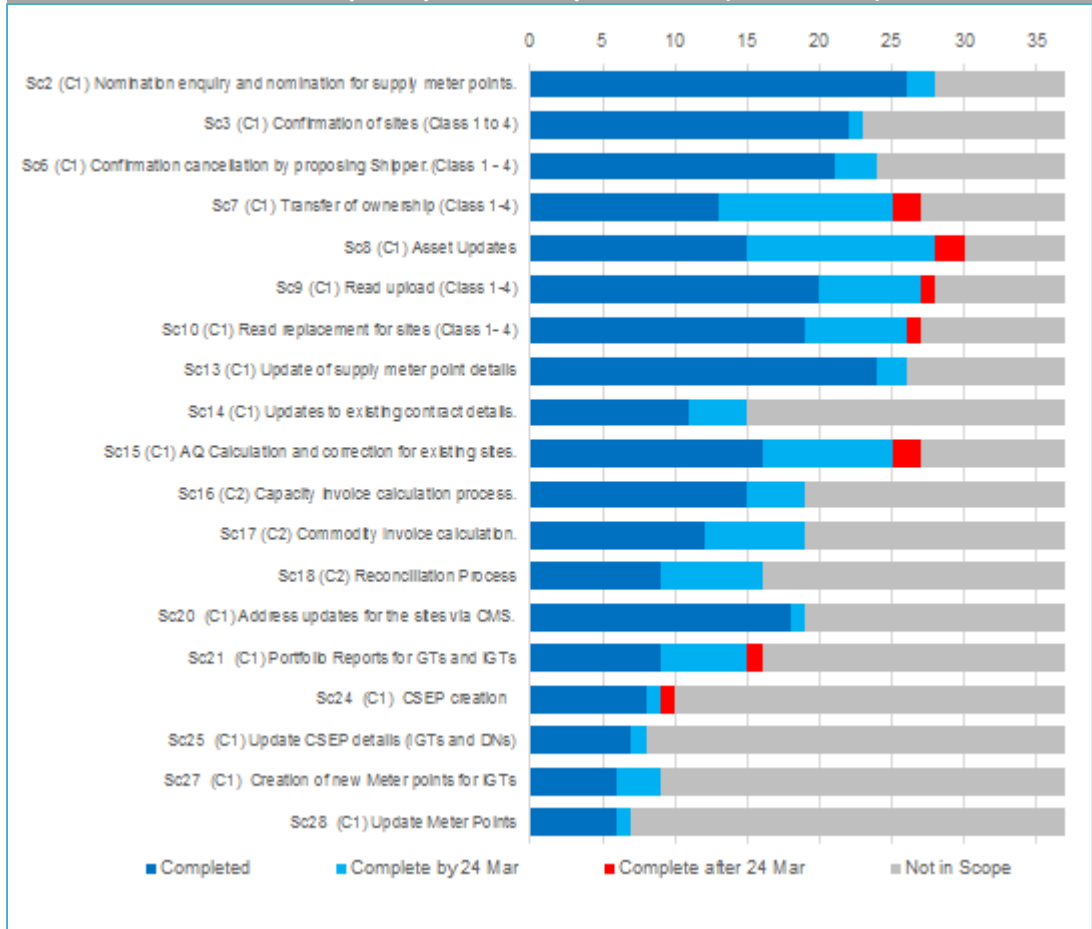
Participant Self Assessment against C1 / C2 Plan Completion by 24 Mar 17



Participant self assessment commentary:

- Of the 8 participants that are 'off-track' only 5 currently have test lines forecast beyond 24 Mar 17.
- Key reasons participants are reporting 'off-track':
 - iDL filed for iGTs.
 - Defects blocking completion of specific test lines (both internal and Xoserve defects).

Number of participants tested per scenario (@17 Mar 17)



MTR Test line fallout

As of 17 Mar 17, 26 test lines were forecast to complete after 24 Mar 17. Market Participants have been asked to formally request approval by midday 22 Mar 17 from Ofgem (via their PwC / Ofgem Case Manager) to complete outstanding test lines beyond 24 Mar 17. This will be on an exceptional basis only where a clear justification exists and is subject to PNSG ratification of the approach to using the MTR contingency window.

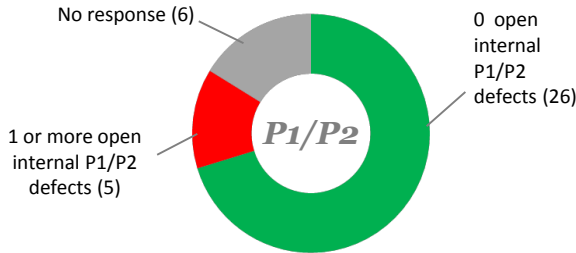
Functional area	Mandatory Scenario	Number of test lines	Participants	Forecast completion
AQ Update and Correction	Market Participant requires test to be completed in April to allow AQ to be effective in systems (effective date 1 st April)	3	Challenger A	03 Apr 17
		4	Challenger B	31 Mar 17
Transfer of Ownership	Defects raised with Xoserve blocking specific test cases within ToO process	6	Large Supplier A	07 Apr 17
		1	Large Supplier B	17 Apr 17
EWS file	Defect raised with Xoserve blocking completion of test case	1	Large Supplier A	07 Apr 17
MBR file	Defect raised with Xoserve blocking completion of test case	1	Large Supplier A	07 Apr 17
Asset Updates	iGT New Connection (partner tests with 2 iGTs)	2	Large Supplier A	31 Mar 17
Portfolio Reports	IDL testing	4	iGT A	24 Apr 17
CSEP	Acceptance of CSEP creation	1	Large Supplier A	21 Apr 17
Internal issues	Internal defects impacting one Market participant blocking testing of scenarios regarding class 4 reads	3	Challenger B	31 Mar 17
Total:		26 test lines	5 Participants	

Exit Criteria 2 – P1 / P2 Defects

As at 15 Mar 17, there were 12 open P2 Xoserve defects of which 11 have been approved for fix through the weekly defect call and 1 is not considered to be code stability impacting.

MTR Exit Criteria 2	Status
Zero P1 / P2 defects	

Market Participant Internal P1 / P2 Defect Self-Assessment



Participant self assessment commentary:

- Of the 6 non-respondents, 1 challenger had 20 P1/P2 internal defects open at 23 Feb 17 Portal submission. This is being followed by the PwC / Ofgem Case Manager to understand if these have since been closed.

Xoserve Open P1 / P2 Defects @ 15 Mar 17

Source: Xoserve MTR / MT defect list

Type	Open P1	Open P2	Commentary
Xoserve Internally Raised	0	6	<ul style="list-style-type: none"> 1 P2 defect does not impact code stability 5 P2 defects accepted for fix prior to Go Live 3 defects were due for deployment on 20 Mar 17 and others are awaiting a fix date.
Xoserve Externally Raised	0	6	<ul style="list-style-type: none"> 6 P2 defects have been accepted for fix prior to Go Live 2 defects were due for deployment on 20 Mar 17 and others are awaiting a fix date.


Internal Market Participant Open P1 / P2 Defects @ 16 Mar 17

Source: 16 Mar 17 Portal Submission

Type	Open P1/P2	Commentary
Total internal defects reported by participants	10	<ul style="list-style-type: none"> 5 participants provided internal defect numbers in the portal

Exit Criteria 3 – P3 Defect List

The defect workshop held on 09 Mar 17 established a provisional defect position. This is being updated through the weekly defect call and will be finalised during w/c 27 Mar 17 for final agreement at the call on 31 Mar 17.

MTR Exit Criteria 3	Status
Industry agreed P3 defect list	

Xoserve defect position @15 Mar 17

TICKETS	Total
Participant Raised MTR Tickets:	208
Currently being assessed	42
Resolved	57
Rejected (51%)	109

ALL DEFECTS (excluding data)*	External / (Internal)
Defects open at and since 09-Jan:	78 (262)
Total open:	18 (68)
Actions Resolved**	60 (194)

MT / MTR DEFECTS	External / (Internal)
Defects open at and since 09 Jan:	78 (114)
Total open	18 (25)
Actions resolved**	60 (89)

Notes:

*Includes the following Xoserve defect taxonomy categories: AMT Testing; CR Testing; IDR1/IDR1 Migration; MT/MTR; Operational Readiness; SMART.

** 'Actions Resolved' includes closed defects, defects to be fixed post go-live; and defects subject to workarounds.

Process to agree the final P3 defect list:

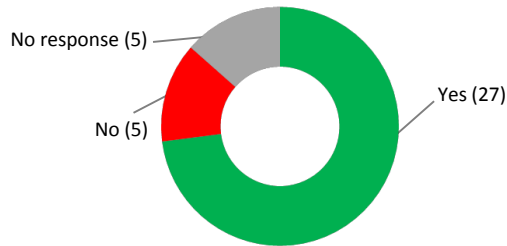
- 1) Defect workshop held on 09 Mar 17 to establish the provisional P3 defect position.
- 2) Weekly defect calls used to review any new P3 defects with industry and update the provisional list.
- 3) Following MTR Exit, compile the final defect position, which captures all MT / MTR defects identified during the phase and how they have been 'resolved' (eg., fix applied, workaround, fix post go-live, closed as duplicate, closed as rejected)
- 4) Review final defect position with industry on the weekly defect call on 31 Mar 17.

Exit Criteria 4 & 5 - Workarounds

Participants consider the current number of workarounds to be sustainable at an industry level. The Xoserve workaround list is to be finalised following MTR Exit and reviewed with industry as part of the weekly defect call.

MTR Exit Criteria 4 & 5	Status
Workarounds are documented and agreed	●
Workarounds are sustainable	●

Workarounds are documented and agreed (internal and Xoserve)

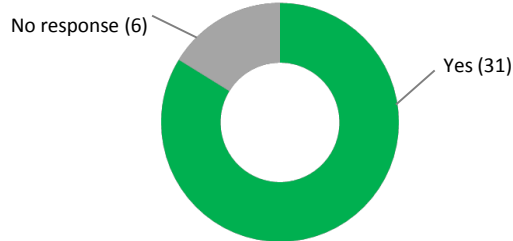


Xoserve Workarounds @ 15 Mar 17

Source: Xoserve Library

No. Workarounds	19	Currently captured on the Xoserve Library
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Workarounds are considered sustainable (internal and Xoserve)



Market Participant Workarounds @ 16 Mar 17

Source: 16 Mar 17 Portal Submission

Number of participants reporting workarounds	8	Note: only 8 participants provided a response in the portal to the number of internal workarounds they are expected to operate at Go Live. Further review is being performed as part of the MTR Exit Assurance activity.
Number of market participant workarounds reported	24	5 participants have reported 2 or less 1 iGT has reported 5 1 I&C has reported 7 1 GT has reported 4

Participant self assessment commentary:

Of the 5 participants reporting 'No' to 'Workarounds are document and agreed' the key reasons are:

- Participant still to review workaround list
- Internal defects may still result in workarounds
- Xoserve workarounds and documentation need finalising

Read

Market Trials Code Stability

A review of readiness to exit MT Regression Test

Xoserve
March 2017 v1.0



Executive Summary (I)

Context

- ▶ The achievement of Market Trials code stability was a key input into the decision to enter Market Trials Regression Test in January 2017
- ▶ The definition of Market Trials 'Code Stability' was agreed as the following:
 - ✓ Provision of stable code to enable a 'clean' run during MT Regression Testing – Building stakeholder confidence in the solution
 - ✓ No changes to code undergoing MT Regression testing (Or impacting Market Trials critical C1/2 processes)
- ▶ In advance of entering MT Regression Test, governance and supporting Xoserve and Industry processes were put in place to ensure that there was controlled decision points for the deployment of any code to the MT regression test environment - These have been maintained through the MT Regression Test phase
- ▶ Concurrent activity has continued during MT Regression Test and must be considered as a potential source of Code Stability impacting defects: CR delivery, In flight development, Residual IDR1 defects
- ▶ The decision to exit Market Trials Regression Test must be based on achievement of the agreed exit criteria, and the level of confidence in the stability of the solution. This is based on the level of change encountered during MT Regression Test, the risk of further change following closure of the phase, and confidence in the control processes in place to govern associated decisions.

Scope of Document

Baringa have been requested by Ofgem to provide an assurance point of view on Code Stability, that supports the decision to exit MT Regression Test, specifically answering:

1. Question 1 – Have Xoserve achieved a level of functional code stability that is sufficient for MT Regression to Exit?
2. Question 2 – Do Xoserve have adequate controls and processes in place to ensure the ongoing maintenance of functional code stability through post-MTR and through to go-live?

Our Approach

Baringa's approach to validating the MT Code Stability status has been broken into the following elements:

- ▶ Defect analysis – Leveraging Programme reporting, and performing comparisons against underlying HPQC (test management tool) data to ensure that all defects are reported
- ▶ CR review – A review of the latest status of the CR pipeline
- ▶ Process review – Review of the success of the industry & internal processes supported by the Release Deployment Board (RDB) and change governance

Executive Summary (II)

Conclusions

- ▶ Based on the level of change (defects, CRs & wider development) encountered during MT Regression Test, **Baringa are supportive of exiting the formal phase of MT Regression Test**
- ▶ Whilst the governance processes have been successful in stabilising the code for MT Regression Test, Baringa feel that this has resulted in a tangible, but as yet unquantified risk to Xoserve's business operations due to the number of manual workarounds in place. Analysis is in progress and must be urgently finalised to **quantify the operational overhead** and confirm that it is acceptable within the defined Day 1 operating model
- ▶ With over 2 months until Go-Live there remains a risk that a further minimal level of functional change will still be required
- ▶ Should change be identified that is judged to be essential (e.g. Defect fixes required in order to reduce Operational risks), options must be considered on how best to maintain Industry confidence in the integrity of the solution.
- ▶ It is Baringa's view that Xoserve's publication of the standardised regression test outputs, and continued publication of change notes to Industry should provide the required level of confidence. The overhead of any **additional market regression testing at such a congested period of the Programme may represent a greater risk to go live** than the risk to solution stability from defect resolution.
- ▶ Baringa recommend that the **industry deployment governance process established for MTR is utilised if required through to go-live** (noting special arrangements are in place for urgent IDR fixes) to provide Market Participants with full visibility should further deployments be necessary.

Question 1 – Have Xoserve achieved a level of functional code stability that is sufficient for MT Regression to Exit?

Summary findings documented below are based on data extracted from Xoserve's source systems on 10th March (in line with latest defect reporting) *The forecast RAG articulates a predicted status as of 24th March, assuming that recommendations are implemented.*

Factors	RAG 10/03	Current Findings	Recommendation	RAG 24/3
Defects (all sources)	Yellow	<ul style="list-style-type: none"> • 311 defects open at or since 09/01 (includes 238 Xoserve and 73 MP raised) • All defects (apart from Data) have been communicated via the established industry process – for fix approval and deployment confirmation where they have MTR impacts and as an FYI where they do not • 82 remain open <ul style="list-style-type: none"> • 21 impact MTR and are undergoing fix • 38 have been assessed to have Xoserve internal impacts only • 23 are undergoing functional / Ind. Govn assessment and may require a fix • A definitive fix and deployment schedule is yet to be established for defects undergoing fix – It is accepted that some will not be delivered in sufficient time for MP retest however there is a risk fixes may extend beyond the MTR timeline • 20 defects are currently undergoing manual workaround development. Aggregate FTE/Ops impacts for workarounds are yet to be quantified • 'Approval in principle' agreed via Weekly Defect call for IDR related defects 	<ul style="list-style-type: none"> • Establish a granular fix plan for all 'to be fixed' defects • Undertake an assessment of which of the remaining defects can be fixed and retested by MPs within the MTR timeline – prioritise fix efforts for these • FTE impacts need to be quantified for workarounds and resolution options revisited should Ops impacts be deemed unsustainable 	Yellow
Change Requests	Green	<ul style="list-style-type: none"> • 22 Change Requests have been raised since MTR commenced of which 12 have been deferred or closed • Assessment of stability impacts during the IA process is much improved and solution options are devised accordingly • CR deployments during MTR have been communicated via the industry weekly calls • DN Sales solution refined to minimise Code Stability impacts • IA pending for a CR which may have very minor stability impacts • Reporting CR catering for Twin Stream / SSPs now in delivery - no stability impacts identified within the IA process - engagement with BW team pending to verify this position • 18 deferred CRs are confirmed as needing workarounds and 21 are undergoing assessment – as with defects, Ops impacts remain unquantified 	<ul style="list-style-type: none"> • <i>As above re FTE impacts for workarounds</i> 	Green

Question 1 – Have Xoserve achieved a level of functional code stability that is sufficient for MT Regression to Exit?

Summary findings documented below are based on data extracted from Xoserve's source systems on 10th March (in line with latest defect reporting) *The forecast RAG articulates a predicted status as of 24th March, assuming that recommendations are implemented.*

Factor	RAG 10/03	Current Findings	Recommendations	RAG 24/3
In-flights	Green	<ul style="list-style-type: none"> Development approach utilised for in-flights has minimised code stability impacts (where possible common code objects have been copied – this however adds a short-term maintenance overhead) Inflights code base deployed to MTR environment Inflights defects have followed the established industry governance and comms processes Inflight scenarios will be tested in IDR2 and 3 and there is therefore a risk that further defects will be identified 	<ul style="list-style-type: none"> Employ strict prioritisation for inflights defects – fix those which are IDR critical and align others with a wider defect release approach 	Green
Remaining Activities	Green	<ul style="list-style-type: none"> Residual test activity remains in the plan (IDRs, Pen Test, CR delivery) which may uncover a small number of C.S. impacting defects 	<ul style="list-style-type: none"> Institute regression process (<i>see next slide</i>) 	Green

Summary Questions	Key findings
<ul style="list-style-type: none"> To what level has functional code stability been maintained through MT regression test 	<ul style="list-style-type: none"> A high level of functional code stability has been maintained within MTR when assessed against the code stability criteria. Where a potential need for a change has been identified options have been sought to alleviate / minimise stability impacts (deferrals / workarounds).
<ul style="list-style-type: none"> Where change has been necessitated what mitigations have been put in place? 	<ul style="list-style-type: none"> All code deployments to the MTR environment have been tightly controlled via well established Xoserve and Industry governance processes providing all parties with full visibility of any change being deployed to the environment
<ul style="list-style-type: none"> Do these mitigation steps place functional code stability (and the exit of MTR) at risk? 	<ul style="list-style-type: none"> No – however steps are required to support onward management of Code Stability in the period beyond MTR through to go-live – (see next section)

Question 2 – Does Xoserve have adequate controls and processes in place to ensure the ongoing maintenance of functional code stability post MTR through to go-live?

Question	RAG 10/03	Current Findings	Recommendations: focused on managing Code Stability up to Go Live	RAG 24/3
<ul style="list-style-type: none"> What is the extent and quality of regression testing performed by Xoserve 	<p style="background-color: yellow;">10/03</p>	<ul style="list-style-type: none"> Xoserve Regression test undertaken to date has been done so on a change by change basis and is more rigorously tracked for CRs than defects A Regression Test Working Group (RTWG) has recently been established to assess regression requirements for any remaining functional change An Regression Test suite has been developed with input from SMEs and Functional Leads to ensure process / data variant coverage – Baringa have reviewed this and support the approach However, the RTWG and use of the Regression Test suite has yet to be fully operationalised and therefore not employed throughout MTR – This risk has been largely offset by market participant testing during MTR 	<ul style="list-style-type: none"> Fully operationalise the RTWG and use of the Regression suite Any essential further functional changes should be bundled and scheduled to deploy at an appropriate juncture within the plan to drive regression test efficiencies The scope and outcome of regression testing should be packaged and shared with Market Participants to provide confidence in solution stability and alleviate the need for further market led test activity 	<p style="background-color: yellow;">10/03</p>
<ul style="list-style-type: none"> Are sufficient controls in place to ensure that changes to code, that could impact functional code stability, are properly identified and managed? 	<p style="background-color: yellow;">10/03</p>	<ul style="list-style-type: none"> A Release Deployment Board (RDB) is utilised to govern all deployments to the Quality (internal assurance test) and MTR environments – this will endure up to go-live RDB has been fully integrated with the industry deployment comms and govn. processes which have been in place during MTR RDB release notes are published externally to provide confirmation of all deployments into the MT environment CR stability impacts are assessed during the IA process and solution options are selected so as to alleviate/minimise CS impacts 	<ul style="list-style-type: none"> Strengthen RDB validation of regression test coverage ahead of deployment approvals 	<p style="background-color: yellow;">10/03</p>

Question 2 – Does Xoserve have adequate controls and processes in place to ensure the ongoing maintenance of functional code stability post MTR through to go-live?

Question	RAG 10/03	Current Findings	Recommendations: focused on managing Code Stability up to Go Live	RAG 24/3
<ul style="list-style-type: none"> Is there appropriate governance of changes which do not impact functional code stability? 		<ul style="list-style-type: none"> Yes – the remit of the RDB Governance process covers the full breadth of changes 	<p>Establish the role of RDB during the PIS phase and any interlinks with IS Ops led change control governance</p>	

Code Control & Governance: A review of risks previously identified

Code Stability Recommendations	Jan 17 Status	Current RAG Assessment	Rationale
<ul style="list-style-type: none"> Establish a clear 'line in the sand' for target defect fixes – A clear cut off point and prioritised list of those defects being, fixed / worked-around / deferred 	<i>In Progress</i>		<ul style="list-style-type: none"> MTR Entry defect position established Defect prioritisation undertaken throughout MTR Final analysis in progress for MTR exit position
<ul style="list-style-type: none"> Formalisation is required in order to link external 'post-MT Reg. test start' code management processes and Xoserve release deployment board processes 	<i>Complete</i>		<ul style="list-style-type: none"> RDB to industry governance linkage in operation throughout MTR
<ul style="list-style-type: none"> Definition of a standard regression pack is needed to be executed ahead of each code release 	<i>No action taken to be taken ahead of MT Regression Test</i>		<ul style="list-style-type: none"> Regression test suite and working group established but yet to be fully operationalised
<ul style="list-style-type: none"> Demonstration of manual code control processes to provide confidence to Xoserve stakeholders 	<i>In Progress</i>		<ul style="list-style-type: none"> No action taken
<ul style="list-style-type: none"> Define the route to implementation of the full SolMan CHARM solution to provide Production code control 	<i>In Progress</i>		<ul style="list-style-type: none"> In progress but no formal deliverables shared
<ul style="list-style-type: none"> Inclusion of all functional changes in release notes not just MT raised defects 	<i>No action taken to publish internal defects to Industry, but internal tracking continues</i>		<ul style="list-style-type: none"> Full disclosure of (non data) defects via industry comms channels
<ul style="list-style-type: none"> Establishment of a dedicated group of Xoserve resources to provide assessment of defects and changes against the MT Code stability criteria 	<i>Embedded within the Incident management process</i>		<ul style="list-style-type: none"> Code stability assessment undertaken during the CR IA process Defect manager coordinates defect assessments

Conclusions

- ▶ Based on the level of change (defects, CRs & wider development) encountered during MT Regression Test, **Baringa are supportive of exiting the formal phase of MT Regression Test**
- ▶ Whilst the governance processes have been successful in stabilising the code for MT Regression Test, Baringa feel that this has resulted in a tangible, but as yet unquantified risk to Xoserve's business operations due to the number of manual workarounds in place. Analysis is in progress and must be urgently finalised to **quantify the operational overhead** and confirm that it is acceptable within the defined Day 1 operating model
- ▶ With over 2 months until Go-Live there remains a risk that a further minimal level of functional change will still be required
- ▶ Should change be identified that is judged to be essential (e.g. Defect fixes required in order to reduce Operational risks), options must be considered on how best to maintain Industry confidence in the integrity of the solution
- ▶ Options available are:
 1. Deploy limited (most impactful) defects to production prior to Go Live, and run an extension of short additional phase of Industry Regression test
 2. Deploy limited (most impactful) defects to production prior to Go Live, relying on Xoserve regression tests and communication of changes deployed for awareness
 3. Delay deployment of any changes until the earliest point of release post go live (Dependent on stability, environment availability etc.)
 4. Bundle defects and align to a future release post-PIS
- ▶ It is Baringa's view that Xoserve's publication of the standardised regression test outputs, and continued publication of change notes to Industry should provide the required level of confidence. The overhead of any **additional market regression testing at such a congested period of the Programme may represent a greater risk to go live** than the risk to solution stability from defect resolution
- ▶ Baringa's review has established that the governance and control processes put in place have been **successful in limiting the code related deployments** to those discussed in Industry, having seen no evidence of wider code stability impacting changes
- ▶ Baringa recommend that the **industry deployment governance process established for MTR is utilised if required through to go-live** (noting special arrangements are in place for urgent IDR fixes) to provide Market Participants with full visibility should further deployments be necessary.

Appendix

MTR Exit - Indicative Decision

The Ofgem Indicative Decision is that industry can exit Market Trials Regression.

Fundamentally, the testing undertaken throughout the Market Trials phases has been about proving the functionality of the Nexus solution across the market.

Ofgem have weighed up a number of factors against the MTR exit criteria to assess the overall risk to the market and consumers. These have included, but not been limited to, the current trajectory of testing activity towards phase completion, the nature and extent of test lines currently forecast not to complete by 24 Mar 17 and the current defect and workaround position. Ofgem will continue to assess completion of residual testing, the finalisation of the defect and workaround positions and planning for P3 defects deployment and testing in the Post-Go Live environment.

Exit Criteria

1. The MTR exit criteria are on track to be achieved with actions and processes in place to close out the criteria.
1. Where exceptions have been identified sufficient mitigating actions are in place.

Defects

1. P1 and P2 defects identified in MTR so far, have been fixed and deployed, or have an appropriate plan to close these out after exiting MTR.
2. A process is in place and being followed to finalise the P3 defect list and agree this with industry. A priority fix category has also been allocated to assist in planning for Post-Go Live deployment.

Outstanding Tests

1. A process for escalation of outstanding tests has been determined, requiring market participants to justify the impact to the market resulting from incomplete testing.
2. These escalation requests will be discussed with Xoserve to determine the ability to resource the testing beyond 24 Mar 17 within the MTR contingency window.

Code Stability

1. Baringa have provided assurance that Code Stability has been maintained throughout MTR.
2. Baringa has also assured the process for the management of Code Stability between the exit of MTR and Go Live and noted that there are processes in place to protect Code Stability.

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. If Market Participants would like to discuss further, please contact Nicola Garland at nicola.garland@ofgem.gov.uk.

Decision: MT Regression Exit

Decision causes a milestone date change on the Plan on a Page
 Decision impacts the Go Live date
 Programme decision with no impact to POAP

#	Decision	Status	Due Date	Areas of Programme Affected	Comments	Outcome
D024	<p>MT Regression Exit</p> <p>The PNSG are requested to ratify that MT2.6 [Market Trials Regression Complete] has been realised and that this phase of the programme is now complete.</p>		22 Mar 17	Market Trials	<p>MT Regression Exit Criteria</p> <ol style="list-style-type: none"> 100% execution of participant test plan relating to C1/C2 processes Zero P1/P2 open defects Industry agreed P3 defect list Workarounds are documented and agreed Numbers of agreed workarounds are sustainable. <p>Ofgem indicative decision The Ofgem Indicative Decision is that industry can exit Market Trials Regression.</p>	Pending PNDG Decision

Decision: PT Volumetrics



Decision causes a milestone date change on the Plan on a Page



Decision impacts the Go Live date

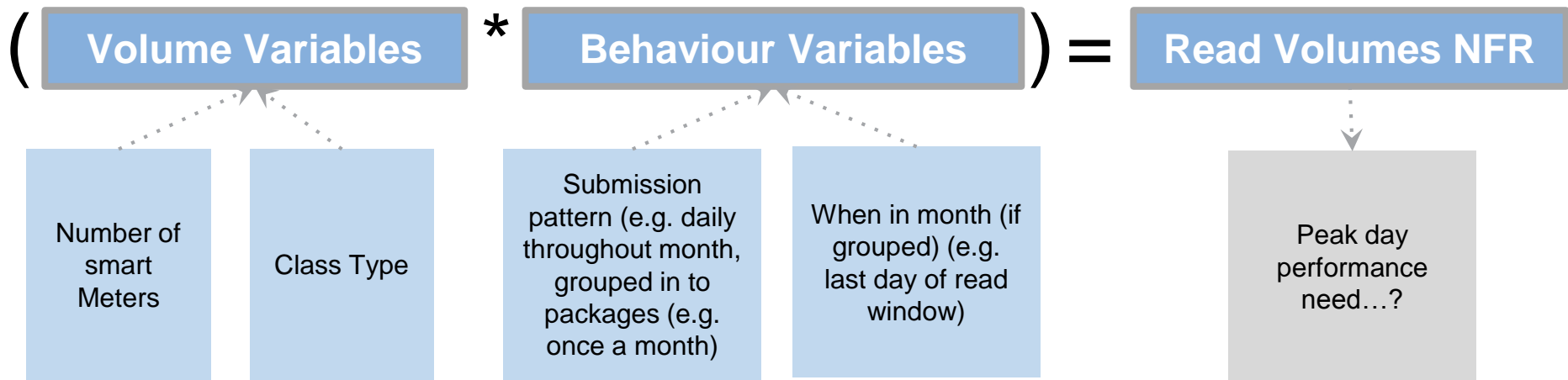


Programme decision with no impact to POAP

#	Decision	Status	Due Date	Areas of Programme Affected	Comments	Outcome
D025	<p>UKLP Meter Read NFR</p> <p>PNSG are asked to confirm that this should not be regarded as a Go Live risk. Post Go Live the volumes should be monitored and, if necessary, industry support and/or UNC changes considered to smooth the submission of meter reads.</p>		22 Mar 17	Solution Delivery	<p>Through performance testing, Xoserve have established a maximum daily read processing capability of 32 million reads per day.</p> <p>To validate that this maximum is sufficient, Xoserve have established a series of scenarios based on varying assumptions of smart take-up, class three take-up and submission distribution</p> <p>The scenarios within this presentation show that even when taking the most aggressive assumptions for smart and class three take-up, the volumes are manageable providing that the submission of reads is distributed evenly over the month.</p>	Pending PNSG Decision

Calculation Need...

- Read submission is expected to be the most voluminous inbound submission to Xoserve's central systems, and it is also one where least information is available, as it is significantly influenced by new variables within the industry (e.g. smart meter rollout and class 3 take up)
- An aggregated read submission profile is required to assess industry process requirement



- Xoserve need a system to manage the peak day; specifically is there even, low submission or uneven/peaky, high submission?

Models / Scenarios

- Xoserve have established a series of scenarios in order for industry review and validation. Further models can be considered by changing the variables

Scenario	Class 3 initial take up	Class 3 Increase	Class 3 Read submission	Class 4 Read submission	Estimated 32m Exceed point / Comments
Low	2%	Supplier led – niche products	Evenly distributed	Evenly distributed	Well beyond 2020 (~5m peak day submission by Dec 2020)
Medium	10%	Supplier led – mass market	Evenly distributed	Evenly distributed	Well beyond 2020 (~14m peak day submission by Dec 2020)
Medium / High	100%	CMA mandated	Evenly distributed	Evenly distributed	Beyond 2020 (~24m peak day submission by Dec 2020)
High	4%	Supplier led – niche products	Peaky by all of industry (5 even batches per month)	Peaky by all of industry (5 even batches per month)	September 2020 (~36m by Dec 2020)
Very High	10%	Supplier led – mass market	Peaky by all of industry (2 even batches per month)	Peaky by all of industry (2 even batches per month)	August 2018 (~43m by Dec 2018)
Worse case	100%	CMA mandated	Singular peak by all of industry	Singular peak by all of industry	Immediately exceeds 32m (>200m peak day in 2017)

- Peaky submission is the main influencer of breaching 32m

Appendix

Our Calculation Assumptions

Smart Meter volumes - Base Assumptions:

	In situ	Jun-17	Dec-17	Jun-18	Dec-18	Jun-19	Dec-19	Jun-20	Dec-20
Additions	3,500,000	1,750,000	1,750,000	3,000,000	3,000,000	3,000,000	3,000,000	2,000,000	2,000,000
Cumulative	3,500,000	5,250,000	7,000,000	10,000,000	13,000,000	16,000,000	19,000,000	21,000,000	23,000,000

Variable assumptions:

- V1: Class 3 initial take up (i.e. within the first 6 months of PNID)
- V2: Class three increases, for which we've established three scenarios

		Dec-17	Jun-18	Dec-18	Jun-19	Dec-19	Jun-20	Dec-20
Supplier led - niche products	Additions	1%	2%	2%	3%	3%	4%	4%
	Cumulative	1%	3%	5%	8%	11%	15%	19%
Supplier led - mass market products	Additions	1%	3%	4%	7%	9%	11%	14%
	Cumulative	1%	4%	8%	15%	24%	35%	49%
CMA mandated	Additions	99%	0%	0%	0%	0%	0%	0%
	Cumulative	99%	99%	99%	99%	99%	99%	99%

- V3 and V4: Class 3 and 4 read submission volumes

Risks with our assumptions

- Base information has been obtained from BEIS (DECC)
- Class 3 initial take up, increase scenarios and daily read submission variables have all been estimated by Xoserve, but are based on information shared by industry through initial development in Nexus BRDs and periodically through work groups
- There is a risk that these are not representative of planned and actual industry behaviour, and therefore the requirements that the system is established to support are not accurate
- The most impactful of these variables is the combination of class 3 and subsequent daily read submission profile

What happens if we breach

- If more than 32m reads are submitted, and the system does not process them within the allocated time, they will pass over to the next day for processing
- This means read processing may/will take longer and downstream processes may/will be impacted (depending upon scenario) (e.g. rolling AQ, reconciliation)
- Depending on the volume in excess of 32m, this may mean multiple days of 'passing over'
- It may also mean that wider system processing becomes impacted by extended read processing

Mitigations

- The key mitigation is to even out read submission; this is by far the most influential variable
- Read submission mitigation options:

Ref	Option	Pros	Cons
1	Industry to submit reads on a daily basis when received	<ul style="list-style-type: none"> • Most even submission profile • System can manage such levels • Participants smooth today 	<ul style="list-style-type: none"> • May require industry to configure systems to adhere to this profile
2	Industry to even out submission amongst participants	<ul style="list-style-type: none"> • Should achieve even submission 	<ul style="list-style-type: none"> • Requires cross-industry coordination • Dominated by big 6 alignment
3	Use Class 4 instead of Class 3 and submit one read a month	<ul style="list-style-type: none"> • Reduces volumes to be submitted 	<ul style="list-style-type: none"> • Under utilising service options • Limits industry service choice

- Example option 2: participants submit 20% of their portfolio in 5 even batches throughout month, and Big 6 submit on separate days from each other
- Alternative future option; Increase Xoserve system capabilities; is this additional industry investment really required?

Decision: PT Volumetrics



Decision causes a milestone date change on the Plan on a Page



Decision impacts the Go Live date



Programme decision with no impact to POAP

#	Decision	Status	Due Date	Areas of Programme Affected	Comments	Outcome
D025	<p>UKLP Meter Read NFR</p> <p>PNSG are asked to confirm that this should not be regarded as a go-live risk. Post go-live the volumes should be monitored and, if necessary, industry support and/or UNC changes considered to smooth the submission of meter reads.</p>		22 Mar 17	Solution Delivery	<p>Through performance testing, Xoserve have established a maximum daily read processing capability of 32 million reads per day.</p> <p>To validate that this maximum is sufficient, Xoserve have established a series of scenarios based on varying assumptions of smart take-up, class three take-up and submission distribution</p> <p>The scenarios within this presentation show that even when taking the most aggressive assumptions for smart and class three take-up, the volumes are manageable providing that the submission of reads is distributed evenly over the month.</p>	Pending PNSG Decision

Decision: Stop AQ17 Calculation

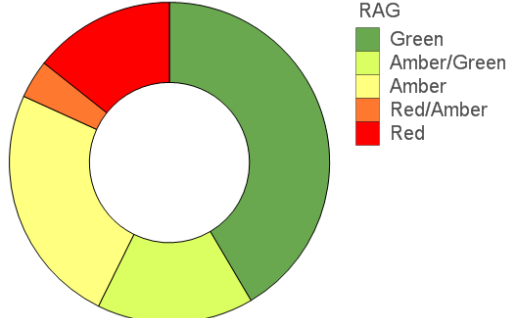
Decision causes a milestone date change on the Plan on a Page
 Decision impacts the Go Live date
 Programme decision with no impact to POAP

#	Decision	Status	Due Date	Areas of Programme Affected	Comments	Outcome
D026	<p>Stop Legacy AQ Calculation</p> <p>PNSG are asked to endorse the recommendation that the AQ Calculation activity is not initiated on the Legacy UK Link System.</p>		22 Mar 17	Data	<p>Initiating the AQ Calculation within the Legacy UK Link System presents two risks:</p> <ul style="list-style-type: none"> - The volume of data to be loaded from Legacy to SAP UK Link System is significant. There is a risk that this cannot be accommodated within the available timescales impacting timescales such as entry into Implementation Dress Rehearsal 3 (IDR 3), data migration for Go Live and consequently Project Nexus Implementation Date. - This process would present future dated AQs in SAP UK Link System will become effective on 1st October 2017 impacting the revised AQ arrangements at Project Nexus Implementation. These would need to be removed from SAP so that these do not overwrite other AQs calculated under the revised AQ arrangements following Nexus Implementation. These AQs could include significant spurious values. <p>In order to stop the above risks but retain the provision of the T04 records to Users Xoserve would be required to remove these Provisional AQ values from the delta extract.</p> <p>Any solution option considered presents a risk in order to design, develop and test the solution. A risk, even with a comparatively low likelihood, could impact the critical path given the sensitive area involved. Any changes to the delta solution would amend performance of the extract timescales.</p> <p>As such, PNSG are asked to support a recommendation that the AQ Calculation activity is not initiated on the Legacy UK Link System. In supporting this recommendation, PNSG are asked to note that, by stopping the AQ Calculation activity now, that in the event that PNID is deferred beyond 01 Oct 17 a wholesale AQ Review could not be conducted to be effective from 01 Oct 17.</p>	Pending PNDG Decision

- AQs become effective on 1st October in a Normal Year AQ Review
- PNID of 1st June 2017 means that any AQs would not become effective
- Users had requested that the 'Provisional AQs' be issued for SSP sites
- Issues identified with initiating the AQ Calculation
 - Large volumes of data (>1m records) will start to be placed into Legacy UK Link from [20th March]
 - This data will – without a change – be subject to delta to SAP UK Link
 - Volume has not been accounted for
- Any change will present a risk as:
 - Change will impact delta performance
 - Limited opportunity to test this prior to deployment
- Recommendation will be made to PNSG

Key Data Issues and Resolution

The data workstream has focused on four key areas seen as critical for resolution prior to Go Live, listed below. All areas have been reviewed and resolutions for issues are tracked at SSP and DMG meetings.

Delta data load				iGT Data inconsistencies	
<ul style="list-style-type: none"> 100% MPRN changes loaded, less than 1,000 MPRNs impacted by defects in one or more attributes in each case and Xoserve are confident that they have post-load fixes. PwC will conduct an assurance review of the Delta prep and load (similar to that undertaken for Bulk 2), including assessment of the treatment of these post-load fixes. This will be reported to PNDG on 11 Apr 17. 				<ul style="list-style-type: none"> DMG working group analysed inconsistencies in data between iGTs, Xoserve and other participants. Majority of issues related to timing have been understood and noted. No 'unexplained' issues identified. Other issues noted identified resolution and review. Follow up DMG working group to be carried out in April. 	
In Flights				Data market readiness survey	
	Scenarios total	Scenarios passed	MPRNs based on June 2016	<ul style="list-style-type: none"> Portal submissions received 16 Mar 17. Analysis on status and progress since last submission is being performed. Site visits planned to go through key issues for identified participants. 	
GT Scoped	35	35	156,649	<p>February survey:</p> <p>Across all participants and questions, total responses by RAG Rating. No new issues Identified.</p>  <p>RAG Green Amber/Green Amber Red/Amber Red</p>	
Descoped	0	0	0		
Voluntary withdrawals			231		
Ratchets & unique sites			8		
iGT scoped	10	10	29,909		
<ul style="list-style-type: none"> In Flights testing successfully completed prior to IDR2 thanks to Xoserve's efforts and the working group's support. 				<p>Red/Amber and Red responses have helped us to focus support on market participants with specific issues.</p>	

Action Log

Action #	Action	Progress	Owner	Status	Due	Forum
A223	Provide an update on the plans for post Go Live release(s) at the next PNSG.	Xoserve meeting with one Market Participant to walk through this the week of 6 Mar 17. Update will be provided to PNSG subsequent to this activity. Propose to move date to 22 Mar 17.	Xoserve		22-Mar-17	PNSG
A242	RIAG to consider a special session on the risks surrounding iGTs, including; IIL files, data for In Flights testing, File formats during cutover and lack of confidence in IDL files.	A session of RIAG considered this matter on 16 Mar 17. A deep dive meeting with iGTs and Xoserve is being held on 21 Mar 17. PROPOSE TO CLOSE.	Ofgem		16-Mar-17	PNSG
A243	PwC to provide view of test lines currently forecasting completion beyond the end of MT Regression (24 Mar 17) and identify if any are considered showstoppers to Go Live.	This has been provided to RIAG, MTWG and PNSG. PROPOSE TO CLOSE.	PwC		20-Mar-17	PNSG
A244	Xoserve to engage with SP, EON and First Utility to get to a conclusion on the meter read processing volumes.	Slides included in PNSG pack with decision on impact to day one volumes sought. PROPOSE TO CLOSE.	Xoserve		20-Mar-17	PNSG
A245	Send out an information note to PNSG circulation list setting out governance expectations on participants in the run up to Go Live. Include items such as: -Continuity of attendance at PNSG. -Need for agility and rapid review and turnaround of PNSG materials.	To be communicated upon finalisation of the Issues Resolution Group structure, when both updates will be circulated to the industry. Propose to move date to 31 Mar 17.	Ofgem		17-Mar-17 => 31 Mar 17	PNSG
A246	Present high-level GONG assurance map to next PNSG showing what different assurance is being done and by whom.	Include in slide pack. PROPOSE TO CLOSE	PwC		22-Mar-17	PNSG

Appendices

#	Title	Slide
1	Governance Meeting Schedule	41 - 42
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Governance: Meetings

RIAG Meeting Focus

07 Mar 17	16 Mar 17	30 Mar 17	13 Apr 17	27 Apr 17
<ul style="list-style-type: none"> Next steps from previous RAID log review Post Go Live <p>Complete</p>	<ul style="list-style-type: none"> iGT readiness (on request of PNSG) Defect Remediation Plan (post MTWG Defect Deep Dive) Issue Resolution Group ways of working <p>Complete</p>	<ul style="list-style-type: none"> IDR2 progress check in Risk log close out tracking towards Go Live Assumptions check in RAID log review 	<ul style="list-style-type: none"> Post Go Live check in Disengaged Market Participants and new market entrants framework Project Nexus in Wider Industry 	<ul style="list-style-type: none"> Assumptions check in Change overview board check in RAID log refresh to prepare for the next meeting agenda

PNDG Meeting Focus

28 Feb 17	14 Mar 17	28 Mar 17	11 Apr 17	25 Apr 17
<ul style="list-style-type: none"> Programme Update Workstream Update iGT IDL File Briefing <p>Complete</p>	<ul style="list-style-type: none"> Programme Update Workstream Update <p>Complete</p>	<ul style="list-style-type: none"> Programme Update Workstream Update 	<ul style="list-style-type: none"> Programme Update Workstream Update 	<ul style="list-style-type: none"> Programme Update Workstream Update

PNSG Meeting Focus

22 Mar 17 (F2F)	23 Mar 17 (Webex)	30 Mar 17 (Webex)	06 Apr 17 (F2F)	10 Apr 17 (Webex)
<ul style="list-style-type: none"> MTR Exit Decision MT Regression Report Assumptions Hot Topic 	<ul style="list-style-type: none"> Go Live Simulation Governance Updates IDR2 Progress 	<ul style="list-style-type: none"> Governance Updates IDR2 Progress PwC Interim Assurance Report - Verbal Update Baringa Interim Assurance Position Xoserve Draft IDR2 Exit and IDR3 Entry Reports 	<ul style="list-style-type: none"> IDR3 Entry Decision PwC G2 Interim Assurance Report Baringa IDR2 Exit Assurance Report Xoserve IDR2 Exit Report/ IDR3 Entry Report 	<ul style="list-style-type: none"> IDR3 Entry Confirmation

Early May (TBC)

- Programme Update
- Outcome of IDR2 and IDR3
- GONG Assessments
- Go Live Preparations

Governance: Meetings

MTWG

09 Mar 17	21 Mar 17	4 Apr 17
<ul style="list-style-type: none"> MTR Progress Workload Defect position <p>Complete</p>	<ul style="list-style-type: none"> MTR Progress <p>Complete</p>	<ul style="list-style-type: none"> Review open MTWG actions Review MTR Exit Potion

DMG

Interim DMG	20 Apr 17	18 May 17	28 Jun 17
<ul style="list-style-type: none"> Resolution of iGT data incidents <p>Complete</p>	<ul style="list-style-type: none"> iGT Data Fallout GONG 3 (Data) Data Update (XO) Mitigations Post-live role of DMG 	<ul style="list-style-type: none"> GONG 4 (Data) Mitigations Post-live comms 	<ul style="list-style-type: none"> Exception Handling Post-live role of DMG

TPG

21 Feb 17	07 Mar 17	21 Mar 17	04 Apr 17	18 Apr 17
<ul style="list-style-type: none"> Catch Up Batch Baseline Industry 23 Day Plan DMG 23 Day Plan Contingency Planning Update <p>Complete</p>	<ul style="list-style-type: none"> IDR0 Closure Document Review Monitoring Dashboard Review Industry 23 Day Plan Baseline <p>Complete</p>	<ul style="list-style-type: none"> Contingency Playbook Review IDR2 Update Monitoring Dashboard Review Hypercare Approach Review 	<ul style="list-style-type: none"> IDR2 Summary Hypercare Approach Baseline 	<ul style="list-style-type: none"> IDR3 Update Post-live role of TPG

Hot Topic

IRG Principles

Incident Classification Grid

Any incident arising during the cutover period will be assigned a classification of 1 thru 5 according to the grid below. The position on the grid will be governed by two dimensions:

- Decision Timeline – This outlines whether a decision would need to be made immediately, or if this could wait until the scheduled daily IRG meeting. The severity of the incident and consequent impact to the schedule of the cutover plan would be considered here.
- Customer and/or PNID Impact/Risk – A threshold of impacted customers will be defined to categorise issues distinctly into ‘Low’ or ‘High’. Note in this case, customer impact refers to impact to the end customer.

The criteria that will determine an incident’s position on the grid will be defined following experience gained during IDR2 and IDR3. Incidents may be raised by Xoserve or participants.

Decision timeline	Immediate decision required	Class 5 Incident Take decision. No IRG reporting or escalation requirement	Class 3 Incident Take decision and report to daily meeting of Level 1 IRG	Class 1 Incident Escalate for decision to emergency meeting of Level 1 IRG
	Immediate decision not required		Class 4 Incident Take decision when required. Report incident and eventual decision to daily meeting of Level 1 IRG	Class 2 Incident Report to daily meeting of Level 1 IRG for eventual decision.
		None	Low	High
		Customer and/or PNID impact/risk		

Note: Class 1 and Class 2 incidents will be reported to the PNSG.

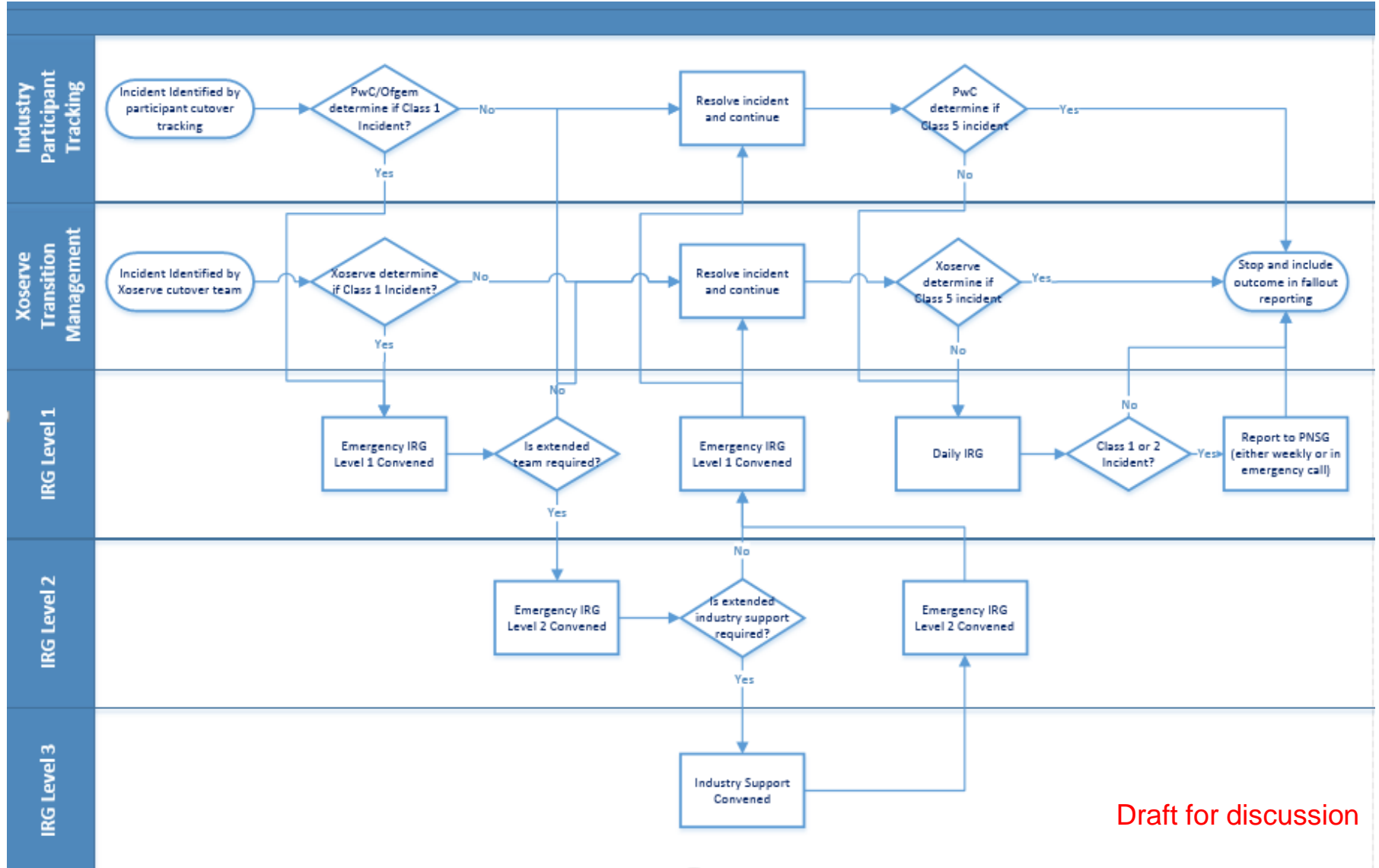
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IRG Structure and Membership

	Summary	Role Description	Expectation	Membership
IRG Level 1	<p>Xoserve, Wipro, PwC, Ofgem, [Baringa]</p> <p>Core Escalation Team</p>	<ul style="list-style-type: none"> Core Level 1 IRG Group Overall decision making powers 	<p>On Call: 24/7</p> <p>Mobilisation time: 1 hour</p>	<p>Ofgem: James Soundraraju (Chair), Nicola Garland</p> <p>Xoserve: Paul Toolan, Lee Foster</p> <p>PwC: Steve Mullins, Colin Bezant</p> <p>Wipro: Hariharan Sam</p> <p>Baringa: TBC</p>
IRG Level 2	<p>Xoserve, Wipro, PwC, Ofgem, [Baringa]</p> <p>Extended Escalation Team</p>	<ul style="list-style-type: none"> Level 2 IRG Group Extended support group for IRG Level 1 	<p>On Call: 24/7</p> <p>Mobilisation time: 1 hour</p>	<p>IRG Core Level 1</p> <p>Ofgem: Rob Salter-Church, Jon Dixon, Tricia Quinn</p> <p>Xoserve: TBC</p> <p>PwC: Richard Shilton, Melisa Findlay, Phil Russ, Martin Crozier + TBC</p> <p>Wipro: TBC</p> <p>Baringa: TBC</p>
IRG Level 3	<p>Industry Expert Pool</p>	<ul style="list-style-type: none"> Level 3 IRG Group Extended support for IRG Level 1 and 2, where industry expertise and decision making input is required A list of available industry representatives will be held and individuals may be called upon as and when this is necessary 	<p>On Call: 07:00 – 23:00</p> <p>Mobilisation time: 2 hours</p>	<p>IRG Core Levels 1 and 2</p> <p>Industry Representation TBC</p> <p>NB: Presence in the ‘Industry Expert Pool’ does not guarantee involvement in decision-making.</p>

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IRG Process Map



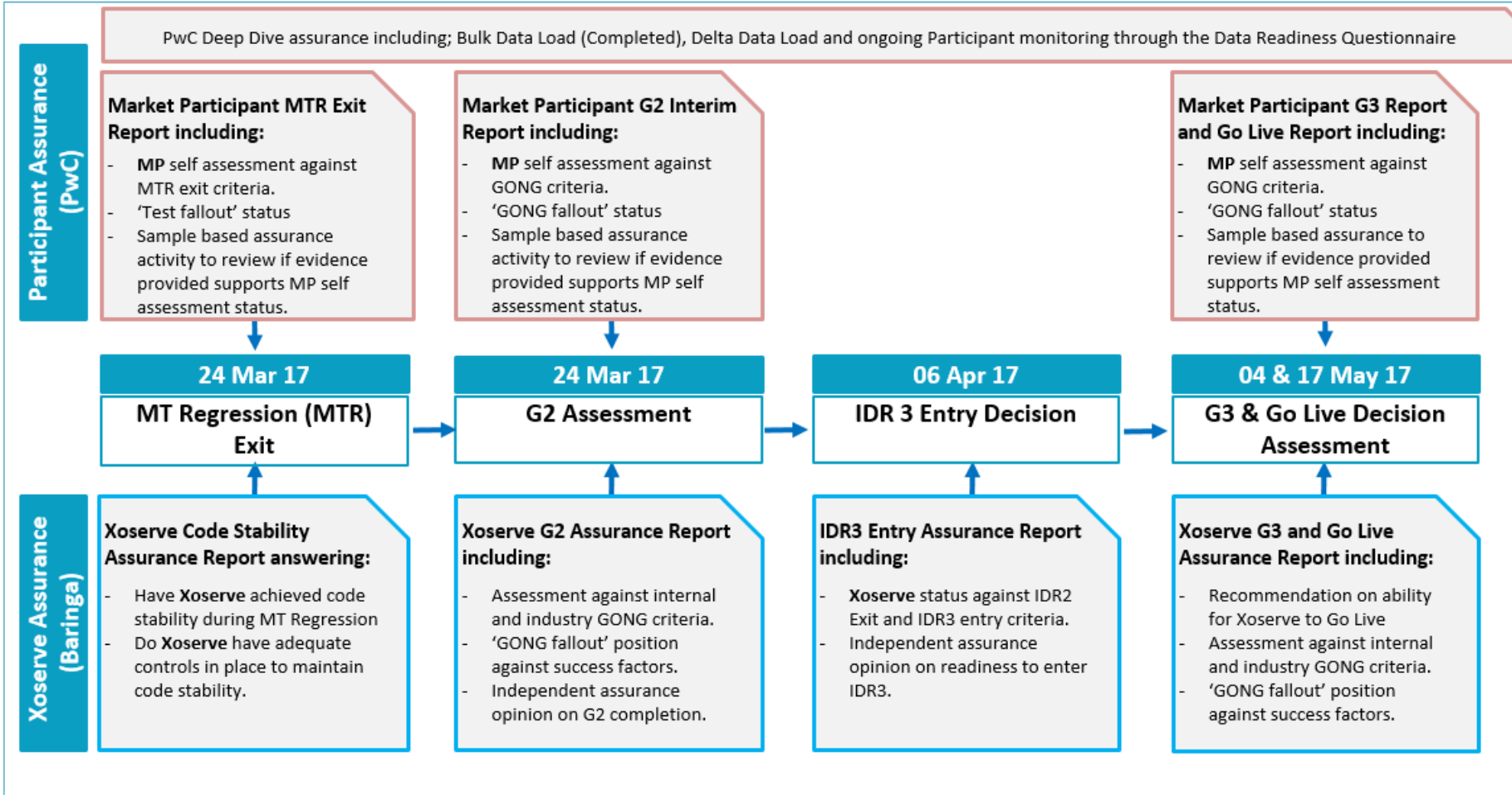
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Hot Topic

Assurance Reporting

Assurance Reporting

The diagram below summarises the assurance inputs into 5 milestones or decision points that will be subject to assurance from PwC or Baringa. PwC will conduct sample based assurance of evidence submitted by Market Participant (MP) in support of their self assessed status for MT Regression and GONG. Baringa will provide assurance over Xoserve at these milestones or decision points with the scope of work agreed with Ofgem.



This document has been prepared by PwC only for Ofgem and solely for the purpose and on the terms agreed with Ofgem in PwC's statement of work (of 1 August 2016, Spec 7, and subsequently 1 November 2016, Spec 8) as part of PwC's call-offs under the framework agreement dated 11 April 2016 and extended on 2 December 2016. PwC accept no liability (including for negligence) to anyone else in connection with our work or this document