

# ***Go/No Go (GONG) Criteria and Assessment Framework*** **Project Nexus**

Version 2.0

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# Management Summary

This document was originally issued to support Ofgem’s 2 June 2016 consultation to consider alternative options for a successful implementation of Project Nexus. It has been updated to align with the revised Project Nexus Baseline Reporting Plan which was approved by the Project Nexus Steering Group (PNSG) on 30 September 2016. In addition, the framework now reflects input from the Risk and Issues Advisory Group (RIAG), the Project Nexus Delivery Group (PNDG) (held on 29 November 2016) and feedback received from the Market Participants and Xoserve via the GONG evidence questionnaire and the G1 portal submission.

## Introduction

Project Nexus is a complex, multi-party project which will introduce new settlement processes and systems to the gas industry. This document describes the GONG criteria and assessment framework that will be used to support the decision to proceed with go-live on an agreed date and to commence with the associated cutover and transition plans.

## Project Nexus Success Factors

Project Nexus will be successful if it delivers a fit for purpose gas settlement solution, which supports pan-industry requirements, is stable and sustainable and enables a positive consumer experience. In order to demonstrate that Project Nexus can meet these objectives, Ofgem has developed the success factors below.

# Nexus

Driving towards successful outcomes for consumers and the industry

*Project Nexus will be successful if it delivers a fit for purpose gas settlement solution which supports pan-industry requirements, is stable and sustainable and enables a positive consumer experience.*



In order to assess whether these success factors will be met, a set of GONG criteria and an assessment framework have been developed. These are described briefly below and in further detail in the remainder of the document.

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## *What are the GONG criteria and GONG assessment framework?*

The GONG criteria are the standards and progress (against programme milestones ) that organisations are required to achieve by a point in time in the plan , to enable the achievement of the Project Nexus Success Factors by the agreed target implementation date.

The GONG assessment framework sets out, how and when the industry will be assessed against the GONG criteria and how the results will be analysed to feed into the final GONG decision. The GONG assessment framework will assess individual organisation's attainment of GONG criteria, which is then aggregated to provide an overall view of market readiness. The organisations assessed are Xoserve and Market Participants who are defined as either Shippers, Gas Transporters (GTs) or Independent Gas Transporters (iGTs). The GONG Assessment Framework will provide a mechanism to capture both qualitative and quantitative evidence and provide the PNSG, the information and confidence to make a clear decision.

## *Why are GONG criteria and the GONG assessment framework needed?*

The GONG criteria and assessment framework are required to support an effective evaluation of readiness across the complex, multi-party Project Nexus programme. Project Nexus requires clear and effective co-ordination of the assessment of the readiness of systems, processes, people and data across the Market Participants involved, including Xoserve who are delivering (and will be maintaining) the centralised, core systems for Project Nexus. GONG Criteria are particularly pertinent in a 'fix forward' cutover scenario where, once transition is commenced, there is no fall-back position.

## *How will this work in practice?*

The GONG assessment framework will include three separate assessment points titled G1, G2 and G3. Assessments G1 and G2 will track towards the final assessment at G3 in order to provide visibility of the trajectory to go-live and to allow mitigating actions to be taken, where either Xoserve or Market Participants, are not making sufficient progress against the GONG criteria. In addition, there will be a final GONG decision milestone where the PNSG will need to agree to proceed to the cutover in order for Project Nexus to go-live.

## *The self-assessment process*

At each assessment point, organisations will be asked to self-assess their attainment of GONG criteria relevant to that assessment point and provide a forecast assessment for future assessment points. For example, at G1, organisations will be asked to self-assess against the G1 criteria and forecast their likely status at G2 and G3 based on the defined thresholds associated to each GONG criteria.

PwC will provide support to Xoserve and Market Participants in interpreting and self-assessing their progress and readiness against the GONG criteria, including the expected evidence requirements. This will include site visits, calls and other assessment mechanisms to ensure that all relevant parties' interpretation of the criteria are consistent.

In addition, at G2 and G3, PwC will conduct sample based assurance activities to provide additional input to Ofgem on go-live readiness across Market Participants. This is expected to include separate site visits and calls with a sample of Market Participants to assess whether the evidence submitted as part of their GONG submissions supports their submitted self-assessments. The activity will not include assurance over Xoserve's self-assessments for go-live readiness, which will be performed by Baringa.

## *Aggregation to a market-wide assessment*

Individual organisations' assessments will be combined to form an overall market-wide assessment. However, once Xoserve have declared themselves as "ready", there is the potential that all Market Participants will also be able to declare "ready". It is also possible that, in aggregate, the mitigations across the market present an unacceptable level of risk. Based on information received from organisations, the level of readiness will need to be presented in terms of type, number and size of Market Participants who declare "ready" and those who are

not. Where participants are not ready or are not ready against certain GONG criteria, PwC will evaluate the level of risk this presents to the market and make recommendations to the PNSG. This is expected to include consultation with the market through governance forums, cross programme working groups and bi-lateral meetings.

## *GONG assessment reporting and the final GONG decision*

At GONG assessment point (and periodically in between), PwC will produce governance reports that will be presented to Ofgem followed by the Project Nexus Steering Group and Project Nexus Delivery Group (PNDG). This assessment report will include:

1. An overall statement of attainment of the GONG criteria at the assessment point;
2. An overall statement of the forecast attainment of the GONG criteria at future assessment points;
3. Recommended mitigating actions that the programme should take to remediate any issues relating to criteria attainment (actual or potential future issues);
4. A recommendation on whether to proceed with the current schedule or consider the use of contingency or a full re-plan. Any recommendation will be based on information provided to PwC by Market Participants;

In addition to the above governance reporting at the G2 and G3 assessment points, PwC will provide a report to governance forums and Ofgem on Market Participant readiness. The G3 report will be updated and be one of the key inputs to the PNSG on the final GONG decision.

Ofgem, as chair of the PNSG, will have the final GONG decision, however, as with all PNSG decisions, the ambition is for the decision to be made by consensus.

## *The GONG criteria*

The GONG criteria are aligned to the Project Nexus Success Factors. For each criteria the following are defined:

- **Criteria description:** a description of the criteria and its objective;
- **Applicable organisations:** whether the criteria applies to all organisations or just to Xoserve or Market Participants; and
- **Assessment point thresholds of readiness:** the thresholds that must be achieved in order for an organisation to declare readiness at each assessment point.
- **Whether the criteria relates to process, system, people or data as follows:**
  - Process: Covering the readiness of key support processes for go-live;
  - Systems: Covering the readiness of systems (largely evidenced through testing);
  - People: Covering the readiness of people to operate the new arrangements and systems; and
  - Data: Covering the readiness of data to support the new arrangements and systems.

It is recognised that each organisation will be tracking their own go-live readiness criteria which may be at a more granular level. This assessment framework considers GONG from an industry-wide perspective. Xoserve and Market Participants should map their detailed criteria to the industry level criteria that is outlined in this document.

# *The GONG assessment framework*

## *Principles*

In designing the GONG assessment framework and the associated criteria, the following guiding principles have been adhered to:

- **Self-assessment:** Organisations will self-assess their attainment of criteria;
- **Independent assurance:** Assessments submitted by organisations will be independently reviewed by PwC on a sample basis at G2 and G3;
- **Managed approach:** PwC will work with the industry to drive progress towards go-live and to address key risks and issues;
- **Interim targeted assessments:** There is a clear 'glide path' of activity in the run-up to a successful go-live;
- **Focused:** Sharp focus on the market-critical processes and the Project Nexus Success Factors; and
- **Evidence based:** Measurable and demonstrable criteria, supporting an evidence-based assessment of readiness. Additional detail on type of evidence required will be provided as the process is defined.

The following paragraphs set out further detail on the GONG Assessment Framework.

## *GONG assessment points*

The assessment period is currently planned to operate from **November 2016 to go-live**. During this period there will be three formal GONG assessment points (G1, G2 and G3). The final assessment point, G3, will feed in to the GONG decision milestone.

Between these formal assessments, organisations are expected to provide updates on their attainment of criteria, which will be tracked on an ongoing basis via their self-assessment submissions to the Project Nexus Assurance Portal. This approach will help to ensure visibility of the trajectory to go-live and to allow mitigating actions to be taken were either Xoserve or Market Participants are not making sufficient progress against the GONG criteria.

The 3 formal assessment points and the final GONG decision that will be tracked as milestones on the Industry Plan. The schedule for the completion of these milestones is as follows:

- **Assessment G1 Complete** – 22 December 2016
- **Assessment G2 Complete** – 24 March 2017
- **Assessment G3 Complete** – 30 April 2017
- **GONG Decision** – 19 May 2017

These milestones will dictate the schedule of Portal submissions required from organisations. This schedule is:

- **GONG Evidence Requirements**
  - 21 October 2016

- **GONG Submissions to support Assessment G1**
  - 25 November 2016
  - 16 December 2016
- **GONG Submissions to support Assessment G2**
  - 24 February 2017
  - 17 March 2017
- **GONG Submissions to support Assessment G3**
  - 31 March 2017
  - 21 April 2017
- **GONG Submissions to support final GONG decision**
  - 12 May 2017

Note: These dates are subject to change. In this event, there will be clear communication in advance of any submission request.

### *GONG assessment process*

The GONG assessment process will be based on self-assessment by organisations against the GONG criteria. At each assessment point, organisations will assess their attainment of criteria relevant to that assessment point and provide a forecast assessment for future points. For example prior to and at G1, organisations will be asked to self-assess against the G1 criteria and forecast their likely status at G2 and G3.

An organisation's self-assessment will be by rating each criteria as either:

1. **Green** – meaning that the criteria have been attained (or for future assessments are projected to be attained);
2. **Amber** – meaning that the criteria have not been attained (or for future assessments are projected not to be attained) but, a credible mitigation plan exists to either bring attainment of the criteria back on track without affecting the critical path or develop a work around that will allow the organisation to proceed in absence of attainment; or
3. **Red** – meaning that the criteria have not been attained (or for future assessments are projected not to be attained) and a credible mitigation plan does not exist. In other words, based on their current plan, the organisation will not be ready for go-live.

An organisation will be considered to have self-assessed as “ready” if it has not rated attainment of any criteria as ‘Red’. Where an organisation has self-assessed as ‘Amber’, they will be expected to provide a credible mitigation plan to bring themselves back on track.

Between the formal assessment points, Market Participants will be required to provide updates to their forecast assessments and mitigation actions or work arounds that they committed to in prior assessments.

To ensure that organisations interpret and self-assess their progress and readiness in a consistent manner, PwC will conduct a sample based programme of assurance activity around the GONG evidence provided by Market Participants at G2 and G3.

This activity will take the form of:

- Reviewing the supporting evidence provided via the PwC Project Nexus Assurance Portal to determine if it is in line with the expected evidence set out in this framework;
- Picking a sample of organisations to visit and inspect ‘first hand’ to understand how they have interpreted the criteria and the level of evidence they have reviewed to support their self-assessment. These visits will

occur regularly throughout the assessment phase and will be with a variety of organisations split across different market sectors; and

- Meetings with Market Participants to validate that the information provided as evidence sufficiently demonstrates that the GONG criteria has been achieved.

Assurance over Xoserve readiness for go-live will be performed by Baringa.

### *How it will work in practice*

In preparation for the full GONG assessment framework being deployed, PwC implemented the Market Trials entry and exit readiness assessment reviews. In order to maintain continuity, the GONG Assessment Framework will adopt a similar approach and follow the same self-assessment process. This will incorporate the following elements:

- The Project Nexus Assurance Portal will be updated to allow each organisation secure access to make their self-assessment submissions against the agreed GONG criteria;
- The Project Nexus Assurance Portal will contain the agreed criteria for each assessment point PwC will provide clear guidance for the self-assessment. Each organisation is required to submit self-assessments and supporting evidence against the criteria via the Portal to support the timelines are established;
- PwC will deliver WebEx sessions to provide further information and guidance, and will allow organisations to raise questions or concerns.
- PwC will work with organisations to actively support their readiness for go-live and to address key risks and issues identified through the GONG self-assessment submissions.
- During the GONG assessment process, PwC will continue to respond to any queries raised on the Project Nexus Assurance Portal; and
- PwC will escalate to Ofgem, organisations who have not submitted their self-assessments in a timely manner, if a clear explanation has not been provided.

### *Aggregation*

At each GONG assessment point and at the final GONG decision, the individual self-assessments of organisations will be aggregated to give a market-wide view of readiness. As part of this process, each of the organisations will be given one of the following categories based on their self-assessments:

<b>Ready</b>	All go-live readiness criteria are met i.e. green status achieved.
<b>Ready with mitigating actions</b>	One or more go-live criteria missed, but appropriate mitigation is in place.
<b>Not ready</b>	One or more go-live criteria missed, appropriate mitigation is not in place.

The final GONG decision on whether the market is ready will be based on three factors:

1. Xoserve’s declaration as “ready” or “ready with mitigating actions”;
2. The aggregate impact of mitigating actions across the market. A high number of organisations in the “ready with mitigating actions” category could mean that it is too risky to place the project into service. For instance, work arounds adopted by different organisations could interfere with each other; and
3. The total proportion of Market Participants of each type (Shipper, GT, iGT) declared as “ready” or “ready with mitigating actions”. The decision in this regard is likely to take into account the size of Market Participants in terms of numbers of customers and/or their proportion of AQ.



PwC will consult with the Market, Programme Governance and the cross industry working groups in order to make recommendations to the PNSG on the course of action in the event of the situations identified in points 2 and 3 (above) materialising.

## *Reporting and final decision*

The PNSG and the PNDG will monitor the status against the agreed GONG criteria at their regular meetings from November 2016 to go-live.

During the GONG assessment process, PwC will evaluate the following:

- Participant readiness – evaluating whether individual participants are or are expected to be ready for go-live;
- Xoserve readiness – the degree of confidence that Xoserve have achieved their own criteria (assured by Baringa) and are able to demonstrate their status against the GONG framework; and
- Transition readiness – readiness of activities required to complete the integrated transition plan.

This information will be shared on an anonymous basis with the PNSG and PNDG to show how organisations are progressing towards attaining the G3 criteria, which ultimately feeds into the GONG decision.

At each GONG assessment point (and periodically in between), PwC and Ofgem will produce an assessment report that will be presented to the PNDG and PNSG. This assessment report will include:

1. An overall statement of attainment of the GONG criteria at the assessment point;
2. An overall statement of the forecast attainment of the GONG criteria at future assessment points;
3. Recommended mitigating actions that the programme should take to remediate any issues relating to criteria attainment (actual or potential future issues);
4. A recommendation on whether to proceed with the current schedule or re-plan. In the case of the final G3 assessment, this will effectively be a go-live recommendation and be based on the information provided to PwC by Market participants.

Ofgem, as chair of the PNSG, will have the final GONG decision on Project Nexus, following a recommendation from PwC at the conclusion of the G3 assessment. As with all PNSG decisions, however, the ambition is for the decision to be made by consensus.

The GONG decision for Project Nexus will inevitably carry risks and issues in to the operational environment. In many cases, these will be known and should have mitigation plans in place, thus, giving the PNSG confidence that the market can operate.

Alongside the known risks, there will be the inevitable peak in support activity as the new processes are embedded across the market. A set of pre-defined exit criteria for Hyper-care should be established and monitored following go-live in order to enable the market to visibly track progress towards stability and to determine a clear end point to the project. The criteria, which will mark the standing down of amongst other things, Hypercare and Project Nexus governance etc. are currently under being developed and are not defined in this version of the document.

# The GONG criteria

This section provides the Project Nexus GONG criteria that organisations will self-assess against at each of the assessment points.

The GONG criteria are aligned to the Project Nexus Success Factors. For each criteria the following are defined:

- **Criteria description:** a description of the criteria and its objective;
- **Applicable organisations:** whether the criteria applies to all organisations or just to Xoserve or Market Participants; and
- **Assessment point thresholds of readiness:** the thresholds that must be achieved in order for an organisation to declare readiness at each assessment point.
- **Whether the criteria relates to process, system, people or data as follows:**
  - **Process:** Covering the readiness of key support processes for go-live;
  - **Systems:** Covering the readiness of systems (largely evidenced through testing);
  - **People:** Covering the readiness of people to operate the new arrangements and systems; and
  - **Data:** Covering the readiness of data to support the new arrangements and systems.

An organisation's self-assessment will involve rating each GONG criteria for both

## 1. Current assessment as either:

- a. **Green** – meaning that when making the Project Nexus Assurance Portal submission that the threshold definition for the criteria:
  1. Has already been attained; or
  2. Is on track to be attained at or before the current assessment point.
- b. **Amber** – meaning that when making the Project Nexus Assurance Portal submission that the threshold definition for the criteria will not be attained at or before the current assessment point but, a credible mitigation plan exists to bring attainment of the criteria back on track prior to the subsequent assessment point.

(This includes the situation where the participant's plan to attain the criteria after the Current Assessment Point but before the Subsequent Assessment Point.)
- c. **Red** – meaning that when making the Project Nexus Assurance Portal Submission for the threshold definition for the criteria will not be attained at the current assessment point and there is no mitigation plan to bring this back on track before the subsequent assessment point

## 2. When projecting your status at subsequent assessment points as either:

- a. **Green** – meaning that when making the Project Nexus Assurance Portal submission that the threshold definition for the criteria has already been attained or are on target to be attained at or before the subsequent assessment point.
- b. **Amber** – meaning that when making the Project Nexus Assurance Portal Submission that the threshold definition for the criteria is either:

- i. At risk of not being attained, at subsequent assessment points, but a credible mitigation plan can be implemented to bring them back on track before go live;  
or
  - ii. Will not be attained prior to go-live, however, there is a credible work around that will allow the organisation to proceed in absence of attainment.
- c. **Red** – meaning that when making the Project Nexus Assurance Portal Submission that the threshold definition for the criteria are not expected to be attained and a credible mitigation plan does not exist. In other words, based on their current plan, the organisation will not be ready for go-live for this criteria.

There is a summary GONG criteria, against which organisations are expected to rate their overall attainment of the GONG criteria. This will allow an organisation that rate themselves **Amber** across a number of individual criteria and to rate themselves **Red** overall if, in their opinion, the combination of related risks or issues undermine their overall go-live readiness. The overall criteria can also be used to express concern about issues that organisations feel are not covered adequately elsewhere in the criteria.

It is recognised that each organisation will be tracking their own go-live readiness criteria which may be at a more granular level. This framework considers GONG from an industry-wide perspective. Xoserve and Market Participants should map their detailed criteria to the industry level criteria outlined in this document.

## GONG criteria

Success Factor	Category	Ref	Criteria Description	Organisation		Assessment Point Thresholds		
				Xoserve	Participant	G1	G2	G3
<b>1. Solution Meets Industry Requirements</b>								
High levels of Xoserve and Market Participant confidence.	Overall	1.1	Xoserve and Market Participants' overall assessment of their readiness.	✓	✓	Overall assessment of attainment of G1 criteria.	Overall assessment of attainment of G2 criteria.	Overall assessment of attainment of G3 criteria.
High quality data and data migration process.	Data	1.2	Data requirements and approach to data migration has been documented and understood.	✓		Xoserve has completed its data migration documentation and had it signed off by the appropriate governance body.	No additional threshold beyond G1.	No additional threshold beyond G1.
	Data	1.3	Data transformation rules have been communicated to all Market Participants.	✓		Xoserve has communicated all known data transformation rules.	Xoserve has communicated any updates to data transformation rules, as applicable.	No additional threshold beyond G2.
	Data	1.4	The impact of data transformation rules and the affected data items have been assessed by Market Participants and applied where applicable.		✓	Completion of impact assessment against known data transformation rules for Market Participant data.	Market Participants can demonstrate that they have a plan to address the risks associated with data transformation rules (including data cleansing) and that they are on track to complete against plan.	Market Participants can demonstrate that they have addressed the risks associated with data transformation rules.

Success Factor	Category	Ref	Criteria Description	Organisation		Assessment Point Thresholds		
1. Solution Meets Industry Requirements				Xoserve	Participant	G1	G2	G3
	Data	1.5	The final bulk and delta data load demonstrates that the data has loaded and produced a volume of fall out MPRNs within an agreed tolerance.	✓		Xoserve has completed or is on track to complete pre IDR2 delta data load testing (D1.4) and established an acceptable baseline level of fall out MPRNs that could occur with final data load.	Xoserve has completed data bulk load 2 (D2.3) into production and confirmed that the number of fall out MPRNs are within the agreed baseline.	Xoserve has completed the delta data load in IDR3 and confirmed that the fall out MPRNs are within the agreed threshold* and there is confidence in the final delta load in the NED period. iGT - Xoserve - Shipper Portfolio Reconciliation has less than an agreed baseline of fall out MPRNs.
Critical industry processes are fully proven through completed UAT and Market Trials.	System	1.6	Critical market processes have been built and subjected to Market Trials by Xoserve and Market Participants. There are no critical or high impact defects that are open and unresolved.	✓	✓	Xoserve and Market Participants have completed execution of Market Trials test plan and known defect position has been agreed including any workarounds.	Xoserve and Market Participants are on track to complete Market Trials Regression Testing.	Xoserve and Market Participants have completed Market Trials Regression Testing.
	System	1.7	Non-critical market processes (C3). Those processes deemed significant to Xoserve and Market Participants' operations have been built and subjected to Market Trials by Xoserve and Market Participants. There are no critical or high impact defects that are open or unresolved.	✓	✓	Xoserve and Market Participants have completed execution of Market Trials test plan and known defect position has been agreed including any workaround.	No additional threshold beyond G1.	No additional threshold beyond G1.

Success Factor	Category	Ref	Criteria Description	Organisation		Assessment Point Thresholds		
				Xoserve	Participant	G1	G2	G3
<b>1. Solution Meets Industry Requirements</b>								
Integrated market-wide system cutover plan, agreed and communicated.	Process	1.8	Xoserve and Market Participants have aligned their cutover plans with the Low Level Transition Design for go-live and have attended relevant industry walkthroughs of that plan.	✓	✓	Xoserve and Market Participants have agreed the Low Level Transition Design Draft (T2.2) for go-live and have attended the relevant industry walkthrough.	Xoserve and Market Participants confirm cutover plans are aligned with the Low Level Transition Design Final document (T2.4).	Output from IDR2 have been appropriately captured in Xoserve and Market Participant cutover plans.*
Clear requirements traceability (including no outstanding functionality).	System	1.9	A clear mapping exists between requirements, design and test cases so that it can be demonstrated that all requirements have been completely tested.	✓		Xoserve has completed the requirements traceability matrix (RTM) that links requirements, design and test cases together. Validate that all requirements have been tested.	Xoserve has updated the RTM to match the latest requirements, design and test baselines.	Xoserve has updated the RTM to match the latest requirements, design and test baselines.

\*Any issues with IDR3 have been appropriately captured in Xoserve’s and Market Participants’ cutover plans by the GONG decision milestone.

Success Factor	Category	Ref	Criteria Description	Role		Assessment Point Thresholds		
				Xoserve	Participant	G1	G2	G3
<b>2. Stable</b>								
System performance (including response time) is sufficient to support industry volumes, key operational requirements (Gas Day testing) and file sizes.	System	2.1	<p>Key non-functional tests have been conducted where applicable. For example (but, not limited to):</p> <ul style="list-style-type: none"> <li>• Performance Testing;</li> <li>• Gas Day Testing;</li> <li>• Volume Testing;</li> <li>• Large file Testing; and</li> <li>• Security Testing.</li> </ul> <p>(Excluding IDRs)</p>	✓	✓	Xoserve and Market Participants have commenced non-functional testing according to planned start dates.	Xoserve and Market Participants have completed or are on track to complete ahead of G3 100% of their non-functional testing with no blocking issues and have confirmed that the system will meet performance and security requirements.	Xoserve and Market Participants have completed 100% of their non-functional testing with no blocking issues and have confirmed that the system will meet performance and security requirements.
Sufficient measures in place to ensure they can maintain code stability of their solution from MT regression through to go-live.	System	2.2	<p>Xoserve and Market Participants have documented and implemented a processes to manage the stability of their Nexus solution between the completion of MT Regression and go-live. This includes:</p> <ul style="list-style-type: none"> <li>• How any Nexus change requests are impact assessed and implemented between MT Regression and go-live should they be required.</li> <li>• The approach for impact assessing any business as usual changes, projects or production 'fixes' (incident management) and, if required, how they will be deployed;</li> <li>• How to demonstrate that the defined processes have been applied should any changes be required between MT Regression and go-live.</li> <li>• How internal regression will be managed prior to any production release between MT Regression and go-live.</li> </ul>	✓	✓	Xoserve and Market Participants have drafted an approach to manage code stability that considers the aspects listed in the criteria descriptions	Xoserve and Market Participants can demonstrate that they have applied their processes appropriately where they have had to manage changes.	Xoserve and Market Participants can demonstrate that they have applied their processes appropriately where they have had to manage changes.

Success Factor	Category	Ref	Criteria Description	Role		Assessment Point Thresholds		
				Xoserve	Participant	G1	G2	G3
Disaster recovery and continuity arrangements are in place.	Process	2.3	Xoserve and Market Participants confirm that they have post go-live business continuity and IT disaster recovery procedures in place and have tested these appropriately.		✓	Market Participants have identified business continuity and IT disaster recovery requirements or changes to existing provisions in this area.	Market Participants have confirmed that their IT disaster recovery and business continuity arrangements have been tested.	No additional threshold beyond G2.
				✓		Xoserve has identified business continuity and IT disaster recovery requirements or changes to existing provisions in this area.	Xoserve is on track in testing its IT disaster recovery and business continuity arrangements.	Xoserve have confirmed that its IT disaster recovery and business continuity arrangements have been tested.
Implementation Dress Rehearsals (IDRs) provide sufficient confidence to Market Participants.	Process	2.4	Xoserve and Market Participants have documented a detailed system cutover plan that has been approved and rehearsed. This includes: <ul style="list-style-type: none"> <li>• Completion of detailed system cutover plans and approval by project governance board; and</li> <li>• Minimum of 3 internal rehearsal(s) conducted to identify improvements.</li> </ul>	✓	✓	Xoserve and Market Participants have commenced cutover planning.	Xoserve and Market Participants' cutover plan is aligned to the Low Level Transition Design and has been, or is planned to be, subjected to the dress rehearsals	Xoserve and Market Participants' cutover plan proven by their final dress rehearsal.
					✓		Xoserve has completed the first dress rehearsal and documented lessons learnt produced.	Xoserve is on track to complete the second dress rehearsal.



Success Factor	Category	Ref	Criteria Description	Role		Assessment Point Thresholds		
				Xoserve	Participant	G1	G2	G3
2. Stable	Data	2.5	Data migration activities have been subject to at least three dress rehearsals.	✓		Xoserve has completed the first dress rehearsal and data migration activity has completed with agreed tolerances (See 1.5).	Xoserve is on track to complete the second dress rehearsal and data migration activity is on track to complete with agreed tolerances (See 1.5).	Xoserve has completed the second dress rehearsal and is on track to complete the third dress rehearsal without any blocking issues in data migration. The completion of IDR3 will be validated at the GONG decision milestone.
	Data	2.6	Data migration defects have been cleared to an acceptable level.	✓		Xoserve has identified resolutions for critical and high impact data migration defects for data testing completed until G1.	Xoserve has deployed all fixes for critical and high impact data migration defects including fixes for any such additional defects identified post G1.	Xoserve has zero critical or high impact data migration defects open.

Success Factor	Category	Ref	Criteria Description	Role		Assessment Point Thresholds		
				Xoserve	Participant	G1	G2	G3
<b>3. Sustainable</b>								
Documentation is in place across Xoserve and Market Participants.	Process	3.1	A complete set of design documentation exists. Specifically covering how the Critical industry processes will operate. The assessment will focus on those processes that have resulted in high defect and query volumes during Market Trials.	✓		Xoserve has identified gaps in the design documentation where updates have not been applied and has a plan to address these gaps.	Xoserve has addressed all the documentation gaps identified in G1.	No additional threshold beyond G2.
	Process	3.2	Appropriate end-to-end process guides and documents have been updated. Specifically covering how the Critical industry processes will operate. The assessment will focus on those processes that have resulted in high defect and query volumes during Market Trials.	✓	✓	Xoserve and Market Participants have identified the new end-to-end process guides or changes to existing ones that are required.	Xoserve and Market Participants have completed the development of all of the new end-to-end process guides and made all the required changes to existing ones.	No additional threshold beyond G2.
Knowledge transfer completed from programme to operational teams.	Process	3.3	Knowledge transfer of solution(s) completed from programme to key operational teams (key users) and IT Support teams. Specifically covering how the Critical industry processes will operate. The assessment will focus on those processes that have resulted in high defect and query volumes during Market Trials.	✓	✓	Xoserve and Market Participants have defined a knowledge transfer plan.	Xoserve and Market Participants' knowledge transfer plan has been internally approved.	No additional threshold beyond G2.

Success Factor	Category	Ref	Criteria Description	Role		Assessment Point Thresholds		
				Xoserve	Participant	G1	G2	G3
<b>3. Sustainable</b>								
Industry change management processes and release plans are fit for purpose.	Process	3.4	Post go-live release plan and change management processes are in place to address immediate post go-live fixes (across industry processes, where applicable).	✓	✓	Xoserve and Market Participants have identified the post go-live release plan principles and change management processes that need to be developed.	Xoserve and Market Participants' post go-live release plan and change management processes complete and internally approved.	Xoserve and Market Participants post go-live release plans and change management processes created and communicated appropriately.
Ongoing data governance processes are defined and operational.	Data	3.5	Ongoing data governance processes are defined and operational.	✓		Xoserve's data governance processes have been defined and aligned to any organisational change.	Xoserve's data governance processes have been communicated to those impacted.	Xoserve's data governance process are in place and ready for operation.
Contingency options and governance arrangements are identified.	Process	3.6	Cutover and post go-live governance has been defined and approved. The governance provides a detailed framework to support decision making in the event of an issue at go-live and during the Hypercare period.	✓	✓	Xoserve and Market Participants have reviewed the market-wide cutover and post go-live governance framework and contingency options.	Xoserve and Market Participants cutover governance and contingency options have been defined and approved by appropriate governance/ decision making forum.	Xoserve and Market Participants cutover governance options have been updated post IDR2, if necessary.
Xoserve Hypercare and service management processes are effective and cope with demand.	Process	3.7	Post go-live / Hypercare IT support processes and resources are available and arrangements are in place and understood.	✓		Xoserve has defined support processes for Hypercare and post-Hypercare.	Xoserve's support function processes have been identified and internally approved.	Xoserve's Hypercare function is established with clear processes, documented and communicated to relevant internal and external stakeholders.

Success Factor	Category	Ref	Criteria Description	Role		Assessment Point Thresholds		
				Xoserve	Participant	G1	G2	G3
<b>4. Enables a positive consumer experience</b>								
No negative impacts on the energy industry's reputation	People	4.1	Appropriate FAQs and messages have been communicated to Xoserve and Market Participants' public relations (or external communications) department. Specifically covering how the Critical industry processes will operate. This may include messages to key customers around Non-effective days.	✓	✓	No threshold at G1.	Xoserve and Market Participants FAQs and messages are defined.	FAQs and messages finalised and accessible to public relations (or external communications) department.
Market SLAs defined, measured and achieved.	Process	4.2	A clear set of Hypercare exit criteria has been defined which focus on demonstrating system stability.	✓		Xoserve has defined the exit criteria that would exit Project Nexus from Hypercare.	Xoserve's exit criteria communicated and internally approved.	Relevant hypercare information is communicated to Market Participants.
Organisational structure developed to support the new processes & systems.	People	4.3	Organisational structure developed to define and communicate any new roles and responsibilities.	✓	✓	Xoserve and Market Participants have defined any new structure roles and responsibilities required for go-live.	Xoserve and Market Participants have communicated any new roles and responsibilities to impacted people.	Xoserve and Market Participants have completed the implementation of any new organisational structure.
Staff are sufficiently trained and are effective from day 1.	People	4.4	People impacted by changes by the Project Nexus go-live have received appropriate training. Specifically covering how the Critical industry processes will operate. The assessment will focus on those processes that have resulted in high defect and query volumes during Market Trials.	✓	✓	No threshold at G1.	Xoserve and Market Participants have identified the people requiring training in new processes.	Xoserve and Market Participants have started training the people previously identified as being impacted and can deliver a plan to complete training by the GONG decision.

