

Project Nexus

Monthly Nexus Status Update

7th December 2015

***Please note:** Information contained within this document will also be supported by verbal update during the PNSG and therefore should be considered in this context when being read in isolation.*

We have been informed that all Xoserve provided data (on non-PwC branded pages) has been subject to review by Baringa prior to submission by Xoserve. In doing so, Baringa will identify any material 'deltas' in opinion between themselves and Xoserve.

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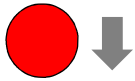
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1. PNSG Programme Report

Please note: The section will be used in the PNSG meeting, with reference to supporting slides later in the pack as necessary.



Overall RAG: The overall programme status is **Red** as two key interim milestones will not be completed to plan, increasing the risk profile and requiring further mitigating action to safeguard the 1st October 2016 go-live milestone (which is **Amber**). Xoserve core UAT will not complete on time, introducing parallel running with L3/L4 market trials and a potential requirement to revisit the L3/L4 trials approach and end-date. Plan options and mitigations are being developed by Xoserve that may bring status back to **Amber**.

L2 Market Trials Exit

- Based on the interim L2 MT exit assessment, **L2 Market Trials on track to complete on time on 18th December.**
- Responses have been received **from 29 organisations (94% AQ)**. Progress is in line with expectation, with organisations performing remaining test activity and defect resolution.

Xoserve core UAT Exit and L3/4 Market Trials Entry

- Xoserve core UAT will not be completed by the **31st December 2015** milestone and requires at least two further months to progress testing and defect resolution.
- Completion of UAT by **28th February 2016** requires improvement in actual test completion and defect resolution performance. There is no contingency.
- This has knock-on implications for L3/L4 trial start and the remainder of the plan. Xoserve will propose their potential options to the PNSG, including:
 - Running UAT and L3/L4 market trials in parallel; and
 - Performing L3/L4 trials with limited participants in February and starting ‘full’ trials in March.
- Based on the option preferred by PNSG, change requests will be updated for approval at following PNSG meetings.

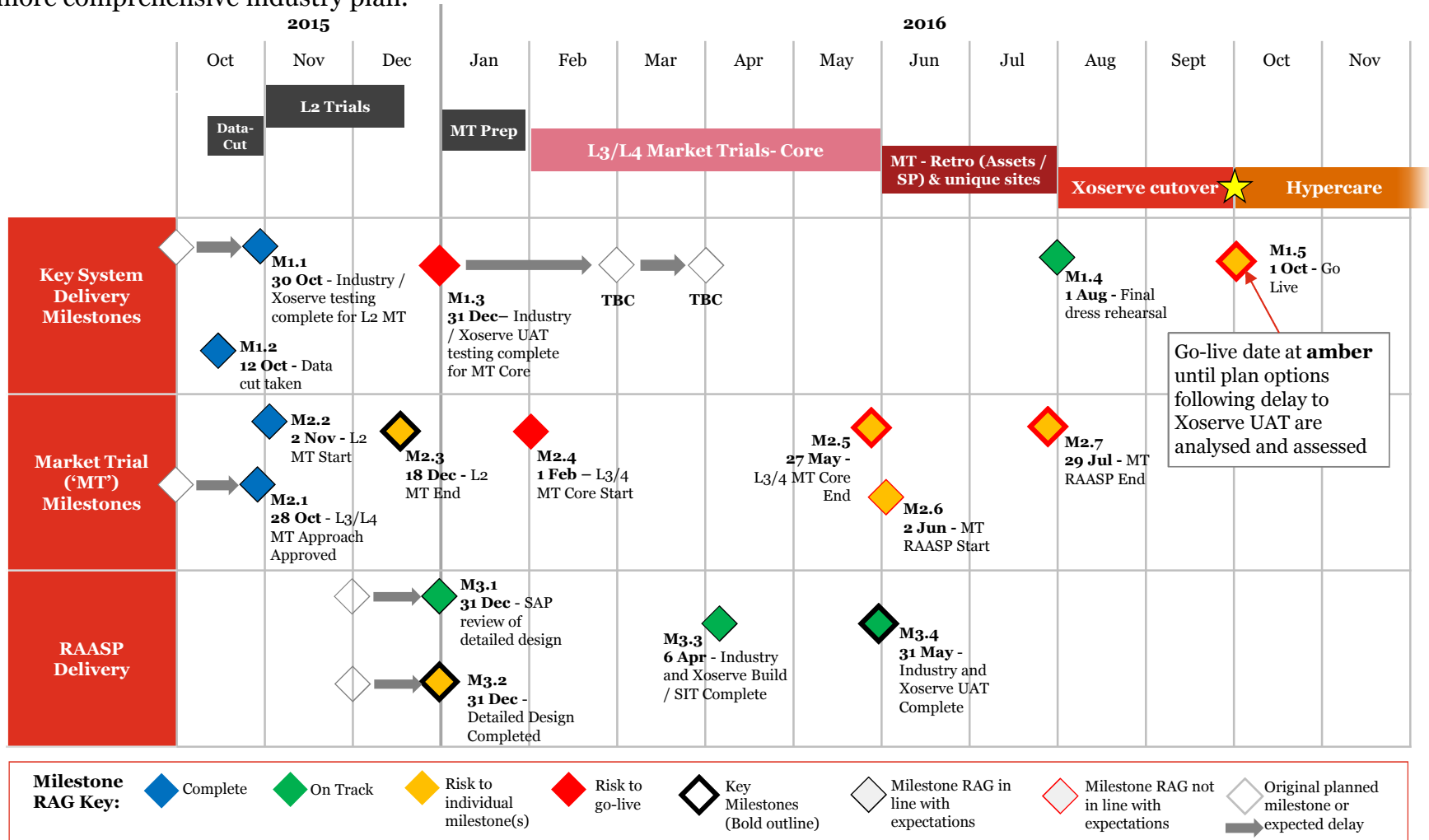
RAASP Design

- Xoserve detailed design activity is in line with plan, but documentation may go beyond 31 December 2015.
- This assumes no major changes from the final industry workshop.
- The Xoserve delivery plan contains significant parallel running with no contingency. SAP draft report is due imminently.

#	Key decisions / actions required	Responsible
1	Re-enforce request to provide information via the PwC Nexus Assurance portal and to update L2 MT Exit self-assessment by the 9 th December 2015.	PNSG members
2	Consider the Xoserve options for completion of Xoserve UAT and commencement of L3/4 MT.	PNSG
3	To build confidence against future slippage, implement: <ul style="list-style-type: none"> Weekly quantitative/qualitative reporting on UAT and defect resolution to PNSG / PwC; and Reporting of root cause analysis / resolution of UAT delays. 	Xoserve


1.2 Industry Plan on a Page – Milestone Status at a Glance As at 2nd December 2015

‘Industry plan on a page’, with a RAG status of key milestones. Please see the accompanying A3 programme plan for the more comprehensive industry plan.







1.3 Key Milestone Status

As at 2nd December 2015

Key Milestones	RAG	Key metrics	Additional Commentary
M2.3 18 Dec - L2 MT End		<p>Interim L2 market trials exit assessment:</p> <ul style="list-style-type: none"> We believe that the milestone is on track to complete to plan with some residual risk carried through to L3/L4 trials. 12 from 29 respondents (31% market AQ) are currently ready, or are likely to be fully ready. 12 participants (34% AQ) are amber and have indicated outstanding test activity or a small number of open defects. Defect resolution will continue right up to, and potentially beyond, the milestone. Key defect and issue themes found include: <ul style="list-style-type: none"> Errors in the 'CFR' files that require a fix by Xoserve; Rejection of RGMA files by Xoserve as full validation not possible; and Xoserve trial files not containing fully 'valid' MPRNs 5 participants (29% AQ) are 'at risk' of not being able to fully demonstrate the exit criteria. This includes a respondent that is yet to start L2 trials. <p>Xoserve L2 MT progress data as of 24th November:</p> <ul style="list-style-type: none"> 33 out of 44 (75%) participants have participated in L2 MT. 100% C1 and C2 files have been successfully tested by at least one participant. 91 'valid' defects raised (1 P1; 84 P3; 6 P4), of which 30 P3 defects are resolved. One open P1 defect (resolved with root causes analysis pending). <p>Note – the latest statistics will be produced by Xoserve on 4th December and provided at the PNSG meeting on 7th December.</p>	<ul style="list-style-type: none"> See Section 2 ' Market Trials Progress Update' on Page 10



1.3 Key Milestone Status

As at 2nd December 2015

Key Milestones	RAG	Key metrics	Additional Commentary
M1.3 31 Dec - Industry/Xoserve UAT testing complete for MT Core	 	<ul style="list-style-type: none"> As highlighted previously, core UAT was due to complete on 31st December and Xoserve will not achieve this milestone. Xoserve UAT statistics show the current 'best case scenario' for UAT completion on 28 February 2016. On the current timelines and phasing of UAT, overlap of invoice file UAT activity with L3/L4 MT will result. Key risks of overlapping Xoserve UAT with L3/4 MT includes: <ul style="list-style-type: none"> – Increased complexity of running test phases in parallel; – Potential Xoserve and participant resource constraints; and – No preparation time or contingency between test phases. Xoserve are currently investigating options and mitigations for this potential overlap in testing (see Page 19 for Xoserve's initial view of the risk profile). Any change to the planned L3/4 MT commencement date may require a change to MOD 0548. Xoserve are reporting an Amber rating for Data Readiness for L3/4 MT (see page 15). This is due to the risk of further data defects being identified when the MT data load is completed on 11th December. <p>Note: L3/4 MT entry assessment is due to be launched on the PwC Portal on 18th December to provide a view of participant readiness.</p>	<ul style="list-style-type: none"> Xoserve UAT data on Page 17. Xoserve readiness for L3 / 4 Market Trials on Page 15.
M2.4 1 Feb – L3/4 MT Core Start	 	<ul style="list-style-type: none"> Red rating based on dependency on 'M1.3' and options under consideration that would require re-visiting the L3/L4 market trials approach and timeline. 	<ul style="list-style-type: none"> Xoserve readiness for L3 / 4 Market Trials on Page 15.

1.3 Key Milestone Status

As at 2nd December 2015

Key Milestones	RAG	Key metrics	Additional Commentary
<p>M3.2 31 Dec -RAASP Detailed Design Completed</p>		<p>Detailed design is on track to complete to plan, assuming no major changes arise at this late stage. Documentation may continue beyond the milestone.</p> <ul style="list-style-type: none"> • Timescales remain tight. • The solution consists of 8 functional areas – of which 4 are stand-alone functionality and 4 complex functionality that impacts on core. • Build has commenced on 3 functional areas (design complete, but yet to be approved). • Design activities are expected to complete for a further 2 areas of functionality (pending approval) on 9th December. • Workshops are complete for the remaining 3 areas and design documentation is currently being produced. • The final scenario walkthrough workshop planned for 3rd December. • Key risks highlighted include (see Page 21 and 22): <ul style="list-style-type: none"> – The RAASP design requires revisions to the baseline file formats. – Several challenges against the initial requirements have been raised to PNUNC for consideration. – The delivery plan forwards contains significant parallel activity 	<ul style="list-style-type: none"> • RAASP updates on Pages 21 and 22
<p>M3.1 31 Dec - SAP review of detailed design</p>		<ul style="list-style-type: none"> • The SAP interim report over the RAASP detailed design is expected to received by Xoserve imminently. • Due to the level of customisation in the RAASP design, the level of validation that SAP can provide is expected to be caveated or limited. 	<ul style="list-style-type: none"> • RAASP updates on Pages 21 and 22

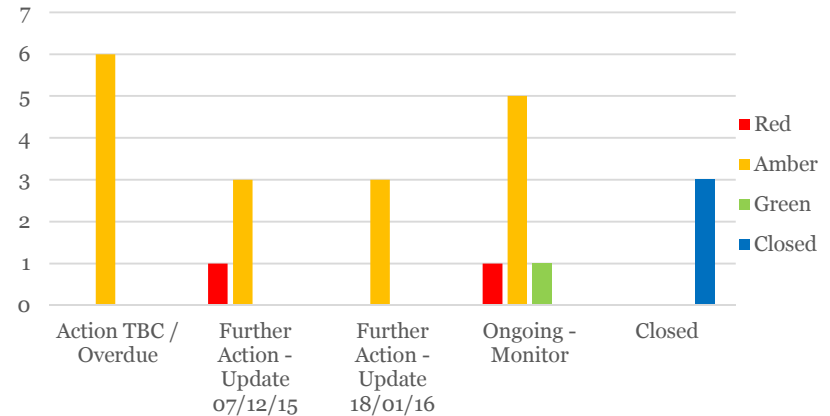
Other progress highlights

- The Technical Transition Progress Group (“TTPG”) convened for the first meeting on 24th November and was well attended. Feedback of attendees suggested the Group would benefit from an independent Chair and Administrator. See **Page 24** for a full update.
- Following completion of its initial objectives, the MTWG will convene on an ‘as needs’ basis following the final meeting on 19 November 2015. Open MTWG actions have been closed or are being passed to an appropriate individual / forum.
- Feedback on core assumptions of the technical system volume requirements to support Project Nexus, as developed by Xoserve, has been requested from participants via the PwC Assurance Portal.

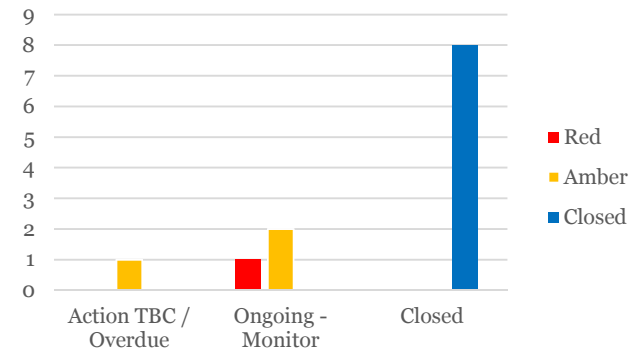
Key Risks and Issues:

- The risks and issues log are visible to the wider market through the PwC Assurance Portal. One new risk has been raised by a participant to date.
- Two risks have increased scoring since the last PNSG. For key risks and issues, see **page 32**.
- Participants are requested to raise market-wide risks and issues, or submit feedback on existing risks, issues and their associated actions, through the PwC Assurance Portal to aide transparency and provide an audit trail.

Rolling risk status



Rolling issue status

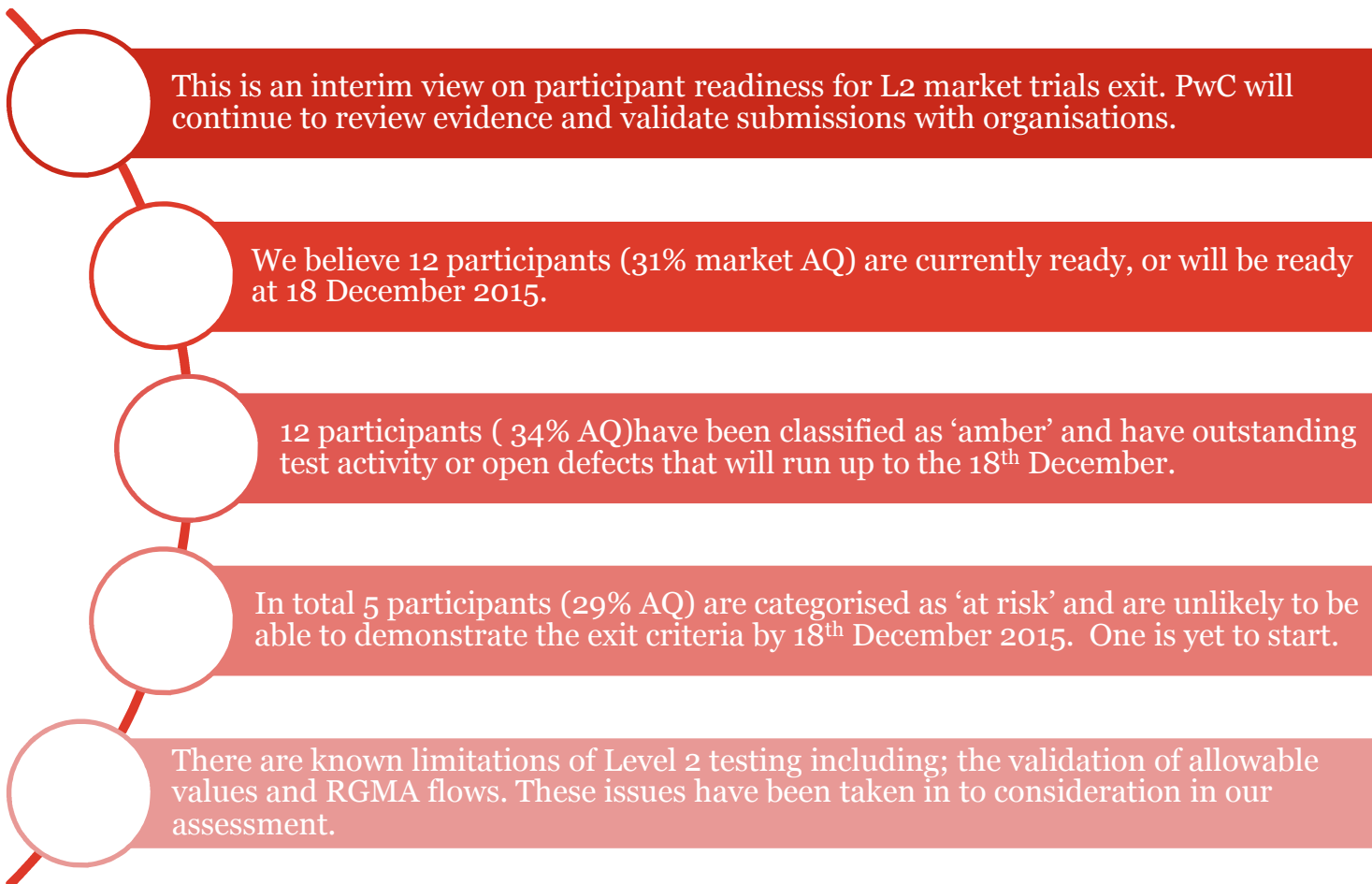


Note: ‘Action TBC / Overdue’ relate are new risks or issues where action is currently being confirmed, or where action is overdue and being followed-up

2. L2 Market Trials Progress Update

2.1. PwC Interim Market Trials Level 2 Exit Assessment – Key Messages

The full interim L2 MT readiness assessment report is provided separately. The key messages are outlined below.



L2 Progress Headline Stats

Metric	Shippers		iGTs		GTs		DMSPs	
Stakeholders participated to date	27/33	73%	4/5	80%	3/4	75%	1/2	50%
Total files received to date	2921	100%	322	100%	81	100%	31	100%
Total successful files	1671	57.2%	199	61.8%	11	13.5%	13	42%
Total rejected files	1250	42.8%	123	38.2%	70	86.4%	18	58%
C1 files tested by at least one User	6/6	100%	3/3	100%	2/2	100%	n/a	%
C2 files tested by at least one User	6/6	100%	3/3	100%	n/a	%	n/a	%
C1 outbound files sent	3239	100%	205	100%	85	100%	n/a	%
C2 and non critical outbound files sent	5699	100%	130	100%	270	100%	12	100%

Notes

- Number of participants is by organisation and not short code
- **Correction on DMSP participation 1/2, and not 2/2 as previously reported**
- C1 /C2/NC files have been resent with optional fields, mandatory conditional and allowable values on 23rd, 25th and 27th November respectively (DMSP files sent 23Nov15)
- Figures as at CoP 3rd December 2015
- In line with structured testing, all parties can now send non critical files and carry out negative testing – some organisations started early due to completion of positive critical tests

MT L2 Defect Summary

Defects Summary			
No. of defects raised through Xoserve Service Desk		234	
No. of valid defects (HPQC)		104	
Variance Breakdown			
<i>No. of invalid defects</i>		132	
<i>No. raised by multiple organisations</i>		21	
Open Defects Category		Closed Defects Category	
Critical (P1)	1	Critical (P1)	
High (P2)		High (P2)	
Medium (P3)	41	Medium (P3)	58
Low (P4)	4	Low (P4)	

- Figures as at CoP 3rd December
- P1 resolved, but remains open awaiting Root Cause Analysis
- 56.4% invalid defect rate

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3. Readiness for L3/L4 Market Trials

Xoserve Readiness for MT L3/4

1st February 2016

Area	Status for 01/02/16	Commentary
Plan & Approach	G	<ul style="list-style-type: none">• Approach has been approved at PNSG
Environment Readiness	G	<ul style="list-style-type: none">• Penetration testing is planned and on track.• Wider environment readiness activities for Pre-Prod environment E.g. Internal/External URL access for IDAM are still required to enable MTL3.
Data Readiness	A	<ul style="list-style-type: none">• MT data cut has been completed with external report generation in progress. This is on track with initial portfolio & iGT reports having been provided. Work continues to produce the asset and read history reports• DMTC2.1 validation has completed and identified a number of data defects which are now in the scope to be fixed in time for the MT data load. There are challenges that remain to fully fix all MT related data defects.• A detailed defect plan and prioritisation is being managed to ensure that all possible fixes are applied to the MT data load understanding that not all defects will be fixed for MT load.• Activities have now started to load data into the Market Trials environment and understand the impacts of fall out and defects on market participants portfolios. Fall out reports are planned for delivery on 8th January 2016 identifying those MPRNs which should not be used for testing. Xoserve continues to take all steps to minimise the amount of fall out, however, the Data load plan is currently around 1.5 days behind plan• Rigorous validation will take place following the load• A risk remains that the MT data load being undertaken may identify further unknown defects. A fix team remains in place to continue to rectify the maximum number of defects before the start of MT L3/4

Xoserve Readiness for MT L3/4

1st February 2016

Area	Status for 01/02/16	Commentary
Pre-requisite Testing	R	<ul style="list-style-type: none">• E2E testing continues behind schedule with 79 scenarios in progress and will not be complete by 31st December.• Analysis of testing plans show in order to complete by 31st January 2016 meeting planned execution test rates and timely resolution of outstanding defects is required. It is expected that there will be an overlap of Xoserve UAT & MT from 1st February. Options and mitigations are being investigated.• Design phase for RAASP continues to have an impact on testing progress as key resources are allocated to this phase.• SAP BW is behind schedule and reports are being prioritised for external facing reports and critical reports• CMS UAT Phase 1 (functional testing) has completed. CMS UAT Phase 2 (Regression testing) is in progress and on track to complete in December 2015.• All unconnected Gemini testing is complete. A small number of integrated tests are outstanding and being covered under E2E testing. Testing for CR for additional API is currently in progress.• DES UAT has completed and is awaiting formal approval.
Fix Lifecycle (including Governance)	G	<ul style="list-style-type: none">• External defect management process is documented in the approach.• Code and configuration management process has been finalised• Support structure to be agreed and implemented.
Reporting	G	<ul style="list-style-type: none">• Xoserve reporting process has been agreed and approved as part of L3 Approach document• NB: PwC responsible for organisation-level assurance reporting.

Revised UAT Milestone Plan and
UAT 'burn down' metrics to be
provided separately by Xoserve

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E2E UAT Defects Breakdown

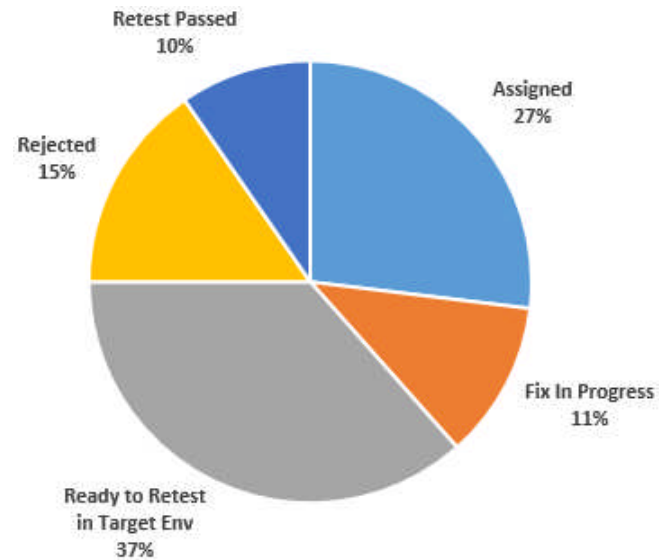
- Defect numbers are a snapshot view – a considerable proportion (46%) of currently open Critical/Major severity defects are in a ‘Ready to Retest’ or ‘Retest Passed’ status
- Specific areas of rework will address multiple defects and facilitate bulk closure

UAT Defects by Category	Aug	Sept	Oct	Nov
Defects Severity 1	13	19	2	5
Defects Severity 2	36	66	21	47
Total	39	85	23	52

Table 1: MT L3/4 Readiness Stats (Defects Breakdown)

Defect Status	Count of Defects
Assigned	14
Fix In Progress	6
Ready to Retest in Target Env	19
Rejected	8
Retest Passed	5
Total	52

Table 2: UAT E2E Defects (Critical and Major Severity) Breakdown by Status



Graph 1: UAT E2E Defects by Status



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All stats shown are as of 26/11/2015.

UAT End Milestone Replan – Risk Profile

Risk Area	Potential Impact	Potential Mitigation
Testing UAT & MT business processes in parallel	<ul style="list-style-type: none"> • Increased complexity in the Xoserve testing plans • Risk of MT participants attempting to test functionality which Xoserve has not yet successfully UAT'd • Increased defect rates • Increased number of queries into the MT team 	<ul style="list-style-type: none"> • Separate environments being used for UAT & MT • A defined Release Management Approach has been approved, covering defects & code drops • Prioritisation of UAT scenarios relating to MT mandatory processes & any defects identified
Resource (Xoserve SME & Supplier) constraints	<ul style="list-style-type: none"> • Longer defect resolution timescales • Longer support times (query management) • Longer timespan to execute test scenarios • Lack of availability of experts across the wider Programme 	<ul style="list-style-type: none"> • Being transparent on outstanding UAT defects (what can & can't be tested in MT & a plan for when they will be available to test) • Resource management / prioritisation • Prioritisation of defects over queries
Limited / No 'down-time' to functionally pipe clean the MT environment	<ul style="list-style-type: none"> • Limited / No opportunity to close down any outstanding areas & resolve associated defects • Limited / No period of code stability • Limited / no time to conduct transports from UAT environment to MT environment • Potential impact to the quality of Programme products 	<ul style="list-style-type: none"> • Defects will be prioritised to those which are aligned to a MT mandatory process • Continuity of Programme resource between UAT & MT phases, supporting knowledge transfer, which will support in issue / defect resolution.

4. RAASP Design Progress Update

4.1. RAASP Design Progress – PwC Update

PNSG Requirement

PwC to Monitor RAASP design phase progress and feasibility of delivery plans

Work Performed

- Attendance at industry RAASP design workshops during November and December 2015 (final workshop on 3rd December 2015).
- Workshop with Xoserve, Wipro and Baringa on 9th November 2015 to discuss RAASP design progress and delivery plan.
- Further workshop with Xoserve, Wipro and Baringa planned for 7th December.

Note – Documentation available for review included content provided at the industry workshops. Review of Business Requirements Documents or functional specifications has not been performed.

Summary of Emerging Observations

We concur with the key risks identified by Xoserve on **Page 22**. Other key observations include:

- Timeframes for completion of RAASP design activities are tight.
- There is no contingency in the plan to accommodate additional effort required if there is any deviation from the proposed design that is currently proposed by Xoserve.
- The Xoserve plan for build, test and trialling of RAASP **contains no contingency and significant levels of parallelism**.
- Discussion and slides at the industry workshops sessions will form the output that Xoserve provides to the industry to assist with their detailed design. Detailed design documentation will not be provided to industry.
- The SAP report is due imminently and we would expect this to include a number of enhancement observations, rather than a definitive opinion.

Xoserve RAASP Progress Update

Delivery Status

- The final scenario walkthrough workshop with the industry takes place on 3rd December.
- Focus remains on completing the RAASP design documentation within the specified timescales.

Risk Areas

- RAASP activities continue to need significant input from programme SMEs which is placing additional risk onto CORE delivery by constraining resource availability to focus on critical path activities such as UAT and post load data validation.
- The RAASP detailed design progression has identified the need for revisions to the baseline file formats. We aim to present the proposals for the revised formats at December's UK Link Committee.
- During the RAASP industry workshops, several challenges have been raised against requirements in the baseline BRDs, challenges are being referred to PNUNC for consideration. If any challenge is raised during the final workshop and requires PNUNC referral the design timeline may be at risk.
- In order to meet constrained timelines, build activities have commenced for 3 out of the 8 RAASP functional areas
- Build activities are commencing when RAASP Functional Specs are completed pending approval in order to complete build activities before the end of January.
- 50% of RAASP functional areas/code objects have dependencies with core functional areas and are particularly complex with 20-30 steps for each process (Retro Removal, Retro Install, Retro Exchange, Retro Amendments).
- Regression testing of core objects is required in Xoserve RAASP UAT and Industry RAASP MT.

Milestones

Milestone	Milestone Date
Detailed Design Complete (including SAP input)	31/12/15
Build, ST, SIT Complete	06/04/16
UAT & Performance Test Complete	31/05/16

5. Transition and Go-Live Readiness

Note – Transition update provided by Xoserve. Go-live readiness to be included in future versions as the programme progresses towards this stage of delivery.

Transition Progress Group Update

- First Transition Progress Group (TPG) held on 24th November.
- Well attended – 23 organisations (shippers, GT, iGT); 30 individuals.
- Terms of Reference reviewed within meeting – pending further review before approval by consensus (expected 7/12/15)
- Scope of work discussed and documented in a Transition Operational Document – will be updated throughout the life of the Group.
- Action Log to be maintained.
- Next meeting planned for 21/12/15
 - Action on Xoserve to poll attendees to confirm date is acceptable.
- Feedback of attendees suggested the Group would benefit from an independent Chair and Administrator – similar in nature to the role performed by PWC for MTWG.
 - Action on Xoserve to raise at PNISG.

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













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6. Change Pipeline and Release Plan

Release Management Plan





(1/2)

 R1	29/01/16	 R2	26/02/16	 R3	25/03/16	 R4	29/04/16	 R5	13/05/16
<ul style="list-style-type: none"> • Xos_CR_1 (Mod 0487) • Xos_CR_2 (Mod 0477) • Xos_CR_3 (Mod 0466) • Xos_CR_5 (Rolling AQ Market Tolerance Breaker) • Xos_CR_6 (Dec 2014 File Format Changes) • Xos_CR_8 (Aug 2015 File Format Changes) • Xos_CR_9 (Negative Value Description Field Changes) • Xos_CR_10 (ERR / FRJ Phase 1) • Xos_CR_11 (ERR / FRJ Phase 2) 		NO CHANGE SCHEDULED		NO CHANGE SCHEDULED		NO CHANGE SCHEDULED		<ul style="list-style-type: none"> • Xos_CR_4 (Mod 0466A) 	

FRIDAYS	 R1	 R2	 R3	 R4	 R5	 R6	 R7	 R8	 R9																												
	13- Nov	20- Nov	27- Nov	04- Dec	11- Dec	18- Dec	25- Dec	01- Jan	08- Jan	15- Jan	22- Jan	29- Jan	05- Feb	12- Feb	19- Feb	26- Feb	04- Mar	11- Mar	18- Mar	25- Mar	01- Apr	08- Apr	15- Apr	22- Apr	29- Apr	06- May	13- May	20- May	27- May	03- Jun	10- Jun	17- Jun	24- Jun	01- Jul	08- Jul	15- Jul	22- Jul
L2 Testing						L3/4 Core						L3/4 RAASP & US																									

Pipeline

- Xos_CR_7 (Mod 0466AV)
- Xos_CR_12 (Sep 2015 File Format Changes)

 R6	27/05/16	 R7	10/06/16	 R8	24/06/16	 R9	08/07/16
NO CHANGE SCHEDULED		NO CHANGE SCHEDULED		NO CHANGE SCHEDULED		NO CHANGE SCHEDULED	

Release Management Plan

(2/2)

Date Added	Industry Reference No.	Industry Change Title	Functional description of change	Impacted Stakeholders				Release No.
				Shipper	GT	DMSP	iGT	
01/12/2015	Xos_CR_1	Mod 0487	File format changed to include AMR and ASP details. Changes made in GEA file to include ASP details in it. File for registration process changed to include the AMR indicator. Changes made in other interface systems such as the Business Warehouse to store the AMR and ASP information. The purpose of the MOD is to ensure that Suppliers can find out if Automatic Reading equipment is at site.	YES	NO	NO	NO	R1 - 29/01/2016
01/12/2015	Xos_CR_2	Mod 0477	Faster switching changes are captured in RRC during design phase. Changes include to the minimum confirmation timescales to 14 days instead of 20days. There is no change to the timescale for shared site registration process.	YES	NO	NO	NO	R1 - 29/01/2016
01/12/2015	Xos_CR_3	Mod 0466	Amend the time the MDR file is provided to Shippers (i.e. currently sent at 11.00hrs to be sent at 12.00hrs). DMSPs to provide DLC files later, (i.e. currently provide DLC file at 08.30hrs will be able to provide DLC files at 09.30hrs).	YES	NO	YES	NO	R1 - 29/01/2016
01/12/2015	Xos_CR_4	Mod 0466A	Amendment to the Performance Relevant standards associated with Daily Metered sites. D+1 liability to apply at 2pm. -D+1 Liability charge to reduce to £3 from £30.	YES	NO	YES	NO	R5 - 13/05/2016
01/12/2015	Xos_CR_5	Rolling AQ Market Tolerance Breaker	Introduction of new checks while doing the rolling AQ calculation and as per current RRC rules, will run until 3 years after the go live date.	YES	NO	NO	NO	R1 - 29/01/2016
01/12/2015	Xos_CR_6	December 2014 File Format Changes	Following the review by Shippers of all File Formats that were consulted on as part of the UNC Section U UK Link Committee process, all accepted changes to the original baselined File Formats have been agreed with Shippers. Agreed changes to the original versions of products (records, files or hierarchies) require changes to be made to the agreed December 2014 Shipper File Formats.	YES	NO	NO	NO	R1 - 29/01/2016
02/12/2015	Xos_CR_7	Mod 0466AV	Amendment to the performance relevant standards of service (liabilities) associated with Daily read provisions, and so changes the values and calculations for daily read liabilities, and removes the 97.5% performance standard. Make available within day read data – Hourly reads via IX (User Pays Service) – no requirement to record reads provided just ability to sen Via IX.	YES	NO	YES	NO	TBC (Pipeline)
01/12/2015	Xos_CR_8	August 2015 File Format Changes	August File Format Changes Agreed and Approved by Industry.	YES	YES	NO	YES	R1 - 29/01/2016
01/12/2015	Xos_CR_9	August 2015 File Format Changes	Amendments to the file formats to incorporate negative field values and updating the AMT catalogue based on the revised file formats.	NO	NO	NO	NO	R1 - 29/01/2016
01/12/2015	Xos_CR_10	ERR/FRJ File Format & Rejection Codes Phase 1	ERR rejection response moving back to legacy logic. Issue 1: Amendments to the ERR file so that the ERR file content has the entire input file attached. Issue 2: Amendments to the response file name so that it is a match to the inbound file (adding .ERR) Issue 4: Rejections codes have been reverted back to legacy codes with no changes to the FRJ rejection codes.	YES	YES	YES	YES	R1 - 29/01/2016
01/12/2015	Xos_CR_11	ERR/FRJ File Format & Rejection Codes Phase 2	ERR rejection response moving back to legacy logic. Issue 3: The behaviour of DLC files when responding to DLC errors has been amended to ensure that XOS are the first three characters of the file name. Issue 5: The file type FSG and a set of six similar files have been amended so that the response does not send ERR/FRJ but instead FSR files (corresponding files).	YES	YES	YES	YES	R1 - 29/01/2016
02/12/2015	Xos_CR_12	September 2015 File Format Changes	September File Format Changes Agreed and Approved by Industry.	YES	YES	NO	YES	TBC (Pipeline)

7. Xoserve FAQ Progress

Query status by stakeholder type

	DMSP	Network	Shipper	Grand Total as at 04/12/2015	Grand Total as at 30/10/2015	Difference
Closed	18	109	1771	1898	1811	87
Open	5	3	99	107	124	-17
Grand Total	23	112	1870	2005	1935	70

All Open Queries Age Analysis

	Figure as at 30/10/2015		Figure as at 04/12/2015		Difference	
<= 10 days	9	7%	21	20%	+12	+13%
11 - 20 days	19	15%	23	21%	-4	+6%
21 - 30 days	13	10%	2	2%	-11	-8%
31 - 40 days	7	6%	6	6%	0	0
> 40 days	76	61%	55	51%	-21	-10%

Key Messages:

- 94% of all queries raised are now closed.
- 13% increase over the last month of questions received.
- Xoserve have cleared 10% of questions over 40 days since the last meeting, with an outstanding figure of 55.

All Closed Queries Age Analysis

	Figure as at 30/10/2015		Figure as at 04/12/2015		Difference	
<= 10 days	404	22%	416	22%	+15	0
11 - 20 days	520	29%	543	29%	+23	0
21 - 30 days	341	19%	345	18%	+4	-1%
31 - 40 days	168	9%	171	9%	+3	0
> 40 days	377	21%	423	22%	+46	+1%

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All Open Query Topic by Status			
Topic Area	30/10/15	04/12/15	Difference
AQ	10	3	-7
BRD	0	0	0
Check Reads	0	0	0
CMS	1	0	-1
Faulty Meters	1	0	-1
File Formats	57	46	-11
Gemini	1	0	-1
iGT	8	12	+4
Invoices	7	12	+5
Market Trials	12	4	-8
Other	12	5	-7
Reads and Settlement	2	6	+4
Reconciliation	2	1	-1
RAASP	4	3	-1
SPA & RGMA	6	13	+7
Transition	1	2	+1
Unique Sites	0	0	0

All Closed Query Topic by Status			
Topic Area	30/10/15	04/12/15	Difference
AQ	266	281	+15
BRD	22	22	0
Check Reads	17	18	1
CMS	7	8	+1
Faulty Meters	27	28	+1
File Formats	285	311	+26
Gemini	25	26	+1
iGT	173	182	+9
Invoices	81	83	+2
Market Trials	13	21	+8
Other	248	256	+8
Reads and Settlement	245	247	+2
Reconciliation	19	20	+1
RAASP	87	89	+2
SPA & RGMA	288	293	+5
Transition	6	6	0
Unique Sites	2	2	0

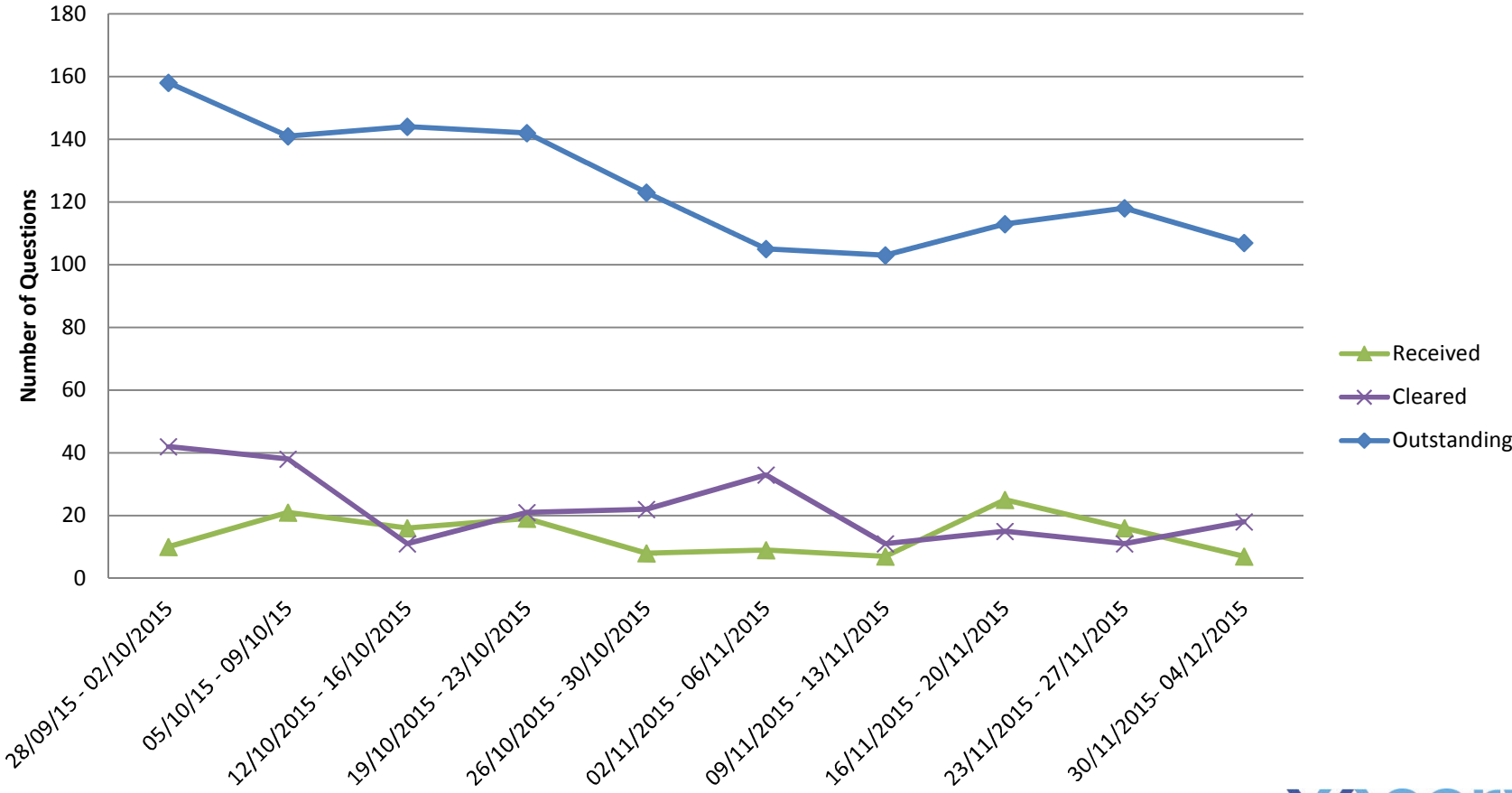
Key Message:

- File Formats still remains as our main focus area with over 40 questions still outstanding. Since the last meeting Xoserve has received 16 new questions in this area and closed 26.



Weekly Volumetric Figures

(3/3)



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8. Key Risks and Issues

Note: Only risks / issues that are new; have a score of 12 or above; have adverse movement; or are due for further action are presented in the table.

See Appendix A1 for full definitions. The full risks and issues logs are available on the PwC Nexus Assurance Portal.







8.1 Key Industry Risks

ID	Risk Category	Description	Date Raised / Raised By	Risk Score / Movement	Mitigation Actions	Mitigation Action RAG	Action Target Date	Action Owner
R.01	Ongoing – monitor	Key Industry Milestones are not met - Key milestones in the industry plan, such as entry or exit to Market Trials and Go-live, are missed because Xoserve, or a significant proportion of the market, are not ready.	14 Mar 2015 PNSG	15 Likelihood: 3 Impact: 5 	Market-wide plan and risk and issues log. Increased transparency through PwC's ongoing assurance role should assist in providing early warning and assist in identifying milestone threats earlier. (See updated Plan on a Page with PwC Continuous Assurance touchpoints.) Escalation to PNSG and Ofgem as necessary. Xoserve and PwC to produce 'Monthly Nexus Status Update' reporting pack as recommended in the Governance Paper - COMPLETE		Ongoing - monitor progress at 18/01/16 PNSG	PwC
R.03b	CLOSED	Market Trials L3/4 - Scope and approach is not sufficiently clear to allow MT L3/4 to commence on time. Planned timescales for L3/4 MT approach documents remain tight and will continue to be monitored and any delays escalated as required.	29 Jul 2015 MTWG	12 Likelihood: 3 Impact: 4	Market Trials Working Group (MTWG) established and ongoing remit and oversight of MT activity to be evaluated on 15 Sept. COMPLETE	CLOSED	N/A - Closed	MTWG
R.04	Ongoing – monitor	Industry Resource Constraints - Potential for industry-wide resource constraints due to competing industry changes (e.g., Smart DCC or company specific initiatives) that may impact timely delivery of Nexus Industry plan. Single person reliance which could compromise Programme delivery Linked to risk R02.	1 Jul 2015 Xoserve	12 Likelihood: 3 Impact: 4 	All industry parties to continue to pro-actively monitor resource profile for Nexus and escalate through PNSG representatives as required. PwC will assess industry readiness informally through their ongoing Project Assurance role and report to PNSG. Continue to monitor wider industry changes through Change Overview Board and PNSG		Ongoing - monitor progress at 18/01/16 PNSG	All parties





Risk Score = Impact (1 to 5) multiplied by probability (1 to 5) to a maximum score of 25. Only new risks, risks with a score of 12 or higher or risks with adverse movement are presented above. See Appendix A1 for full definition.

Mitigating Action RAG Key:  Mitigating action complete. Risk reduced to an acceptable level  Mitigating action identified and underway  Mitigating action not yet identified and underway

8.1 Key Industry Risks (continued)

ID	Risk Category	Description	Date Raised / Raised By	Risk Score / Movement	Mitigation Actions	Mitigation Action RAG	Action Target Date	Action Owner
R.05	Ongoing – monitor	Xoserve Resource Constraints - As a specific extension of Risk R.02, any significant constraint in the availability of Xoserve SME resource could undermine the current delivery plan. For example, SMEs may be called back from RAASP design to UAT if testing progress is below plan or UAT resources are required support L2 MT defect resolution if defect levels are higher than expected. Single person reliance which could compromise Programme delivery. There is a risk that resource constraints within Xoserve impacts achievement of programme milestones.	1 Jul 2015 Xoserve	12 Likelihood: 3 Impact: 4  	Ongoing monitoring of Xoserve UAT progress. It may be possible to consider prioritising Xoserve activities to ensure resources are focussed on Nexus as opposed to BAU if required. Xoserve have increased SME resources by sourcing from external parties (Baringa, TCS and Capita) as well as increasing internal SMEs. Xoserve resource is ring-fenced to programme and thus cannot work on alternative changes. Robust change management is in place. PwC, Xoserve and PNSG will monitor progress of market trial execution and defects. Xoserve will improve feedback loops and processes. Xoserve UAT testing progress being formally reported to PNSG.		Ongoing - monitor progress at 18/01/16 PNSG	Xoserve / PwC
R.09	Ongoing – monitor	Governance of changes - There is a risk that impact assessments over changes and decision-making to approve changes does not happen on a timely basis. This is linked to R.11 (see PwC Nexus Assurance Portal).	18 Aug 2015 PMO/MTWG	12 Likelihood: 3 Impact: 4  	Clarify that UK Link is design authority (with accelerated meeting time if needed). See Issue I.11 related to formalisation of change impact assessments. Published change horizon / pipeline across file, data and functionality within the Monthly Nexus Status Update - COMPLETE PwC to attend UKLC from 30 November 2015 to monitor effectiveness and ability of group to make decisions and perform technical impact assessment in an effective manner - Ongoing If issues are not being progressed or resolved in a timely fashion they should be escalated through to the PNSG. PwC to attend UKLC from now to monitor effectiveness and ability of group to make decisions in an effective manner. If issues are not being progressed or resolved in a timely fashion they should be escalated through to the PNSG.		30/11/2015 Re-review at 18 Jan PNSG prior to L3/4 start. Minimal change requests in Level 2	Xoserve / PwC










8.1 Key Industry Risks (continued)

ID	Risk Category	Description	Date Raised / Raised By	Risk Score / Movement	Mitigation Actions	Mitigation Action RAG	Action Target Date	Action Owner
R.13	Further Action - Update 07/12/15	Smart DCC and Nexus date conflict - With Smart DCC scheduled to go live during August 2016, any delay to this could result in Nexus and Smart dates co-coinciding. This could compromise both programmes due to reliance on key personnel for both programmes	15 Sept 2015 Alex Travell	9 Likelihood: 3 Impact: 3 	It is assumed that each participant will consider this potential scenario as part of their Smart DCC change planning. UPDATE 11 November 2015: Intention to use majority / all of contingency time announced, bringing Smart DCC full service go-live close to Nexus go-live. PNSG reps to canvas their constituents on potential impact of a delay, with update due to PNSG on 7 December. PwC to work with OFGEM and link into DECC to understand current status.		Update to PNSG on 07/12/2015	Xoserve / PwC
R.14	Further Action - Update 07/12/15	The delivery of RAASP is uncertain - Work is required to prove that the design, build and test is feasible in the time available. This is linked to R.08.	1 Jul 2015 Xoserve	12 Likelihood: 3 Impact: 	SAP provide quality review of RAASP design deliverables during design phase. Feedback following pilot process workshops with industry - this will confirm planning assumptions. Regular catch ups between Baringa/PwC/Xoserve to track progress. Sign off between Xoserve/SAP and industry would be required to convert the Resolution Action RAG status from amber to green (This is currently not planned).		Update to PNSG on 07/12/2015	Xoserve


Risk Score = Impact (1 to 5) multiplied by probability (1 to 5) to a maximum score of 25. Only new risks, risks with a score of 12 or above or risks with adverse movement are presented. See Appendix A1 for full definition.

Mitigating Action RAG Key:  Mitigating action complete. Risk reduced to an acceptable level  Mitigating action identified and underway  Mitigating action not yet identified and underway



8.1 Key Industry Risks (continued)

ID	Risk Category	Description	Date Raised / Raised By	Risk Score / Movement	Mitigation Actions	Mitigation Action RAG	Action Target Date	Action Owner
R.18	Action TBC / Overdue	<p>Data Quality for L3/L4 MT - Data quality for MT is not adequate to allow participants to execute all planned tests using the historic transaction data cut. This includes the risk that L4 MT partnering arrangements are impacted by a lack of good quality transactions between parties within the data cut following migration.</p> <p>This arises from Xoserve's migration of data into the L3/L4 trials environment. A number of translation rules have been applied and Xoserve are currently analysing the output to identify areas of poor data quality that may impact the ability to use the resultant data in market trials.</p>	10 Nov 2015 PNSG	12 Likelihood: 3 Impact: 4  	<p>Current sharing and tracking of data quality issues (via the Nexus data forum) identified to date in the UK Link data. This focuses on data that would prevent accurate settlement from occurring.</p> <p>(Planned): Increased focus and visibility of data migration and cleansing progress at PNSG.</p> <p>Potential for Xoserve to include further fix / load activity to fix data quality issues.</p>		Update at 7 Dec PNSG	Xoserve
R.20	Further Action - Update 07/12/15	<p>Risk of delay to Xoserve core UAT and 'knock on' risk to the L3/L4 trials start date - Xoserve highlighted that due to a pervasive issue that required testing to cease for a number of days, their core UAT end date may slip from 31 Dec 2015 to 31 Jan 2016. This removes any existing contingency in the plan, with Xoserve's UAT completing just before the start of L3 / L4 market trials.</p>	14 Sept 2015 PNSG	15 Likelihood: 5 Impact: 3  	<p>Xoserve challenging if plan changes can prevent slippage in UAT to 31 January 2016.</p> <p>Xoserve to consider and articulate how an impact on L3/L4 trials can be avoided if there is further slippage from this date. For example, how the completion of UAT could be better sequenced against the MT phases for L3/L4.</p> <p>PNSG to consider draft change request CRO01.</p>		Update at 7 Dec PNSG	Xoserve
R.21	Action update required	<p>Enduring data quality issues - other SAP IS-U implementations have shown that period of time (e.g. 2 years) is need to enhance data quality to support effective and efficient process execution following go-live.</p> <p>Enduring business processes may be impacted and result in an increased level of exceptions at Xoserve.</p> <p>Xoserve may require additional resource and investment to address these exceptions and / or develop workaround and automated clearance routines. Xoserve may not be able to take unilateral action to address the underlying data quality issues as they are not the data controller.</p>	14 Sept 2015 PNSG	12 Likelihood: 4 Impact: 3  	<p>(Planned) Establish enduring data quality KPIs (e.g. as part of enduring performance assurance) that identify areas of weakness for root cause analysis and market wide action planning.</p> <p>(Planned) Xoserve should identify likely key exceptions and failure modes that will impact their ability to operate to service levels. Resolution pathways should be mapped out and agreed between Xoserve and participants (including timelines) to ensure timely resolution and accountability.</p> <p>(Planned) Determine if UNC change is needed to facilitate this.</p>		Revisit required actions and set due date at 18/01/2016 PNSG.	Xoserve

8.1 Key Industry Risks (continued)

ID	Risk Category	Description	Date Raised / Raised By	Risk Score / Movement	Mitigation Actions	Mitigation Action RAG	Action Target Date	Action Owner
R.22	Action TBC / Overdue	The approved file formats are not a single source of all conditionality validation information, with information scattered in a number of other documents. As a result, there is a risk that participants may not accurately build or test the conditionality requirements. This may crystallise during L3/L4 MT or at go-live. Participants may not have built the correct conditional validation for outbound and inbound files and their own internal processes.	19 Nov 15 Blanka Caen	6 Likelihood: 3 Impact: 2  NEW	[TBC] - Xoserve to investigate whether file format documentation can be updated with full conditionality validation details.	TBC	TBC	Xoserve

8.2 Key Industry Issues

ID	Status	Description	Date Raised / Raised By	Risk Score / Movement	Resolution Actions	Resolution Action RAG	Resolution Target Date	Action Owner
I.01	CLOSED	The delivery of RAASP is uncertain - Work is required to prove that the design, build and test is feasible in the time available.	1 Jul 2015 Xoserve	16 Likelihood: 4 Impact: 4	PwC and Baringa to review of the quality of the existing, high-level RAASP design – COMPLETE PwC to develop contingency options analysis: RAASP delivery – COMPLETE SAP provide ongoing quality review of RAASP design deliverables during design phase. Regular catch-ups between Baringa/PwC/Xoserve to track progress. Sign off between Xoserve/SAP and industry would be required to convert the Resolution Action RAG status from amber to green (This is currently not planned). Moved to risk ref R.14.	CLOSED	N/A – Closed	PwC
I.02	Ongoing – monitor	Communications - participants are raising issues with the turnaround time for Xoserve to respond to FAQs. In some cases, this is resulting in participants having uncertainty over their design that could result in defects during Market Trials.	18 Aug 2015 MTWG	20 Likelihood: 5 Impact: 4 	Housekeeping will be planned by Xoserve. FAQ visibility is in place and posted on Xoserve web-site. This will be reinforced through the Governance Paper Light. Constituency leads to re-inforce proper use of Q&As. If no contact on issue for 60 days then FAQ to be notified as pending closure to originator. **Risk and issue logs to be published on PwC Assurance Portal, participants able to propose risks / issues. PMO to produce guidance on how risk / issue proposal and acceptance will be governed. COMPLETE PwC to survey participants for feedback regarding communication and the Monthly Project Status Update Reports. - IN PROGRESS.		Ongoing - monitor progress at 18/01/16 PNSG	PwC
I.05	CLOSED	Agreement of Data Transfer Terms of Engagement - Sections within the data transfer Terms of Engagement agreement need to be revised (specifically related to roles and responsibilities) to allow some participants to sign up. This process may take several weeks, as it is likely to involve legal teams and data protection officers from organisations to be involved.	10 Sep 2015 MTWG	12 Likelihood: 4 Impact: 3	Terms of engagement to be reviewed by PwC Data Protection (DP) specialist. Individual discussions to be held between DP specialist and affected participants. DP specialist to call into MTWG in w/c 21/09. Complete Legal opinion is written and submitted to ICO for sign off, if required. Complete PNSG considered the legal opinion and determined no issue exists. Terms of engagement not required.	CLOSED	12 Oct 15 – Legal opinion to PNSG	Xoserve / PwC

Issue Score = Impact (1 to 5) multiplied by probability (1 to 5) to a maximum score of 25. Only new issues, issues with a score of 12 or above or issues with adverse movement are presented above. See Appendix A1 for full definition.

Mitigating Action RAG Key:



Mitigating action complete. Risk reduced to an acceptable level



Mitigating action identified and underway



Mitigating action not yet identified and underway

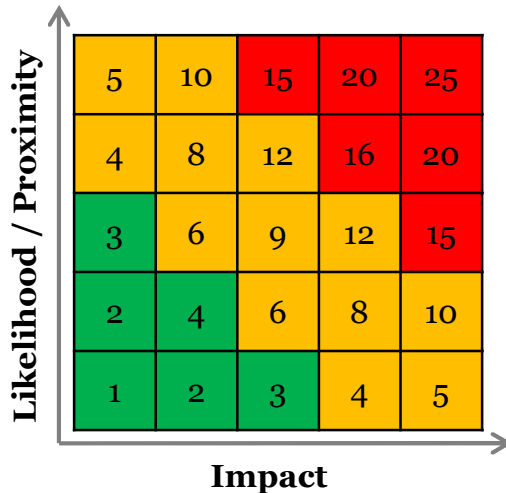
Appendices

A1. RAG and Risk / Issue Score Definitions

Overall and Key Milestone RAG Definitions

- **Risk to Go-live** - One or more milestones are at risk of delay (**greater than 5 days**) or not achieving the required quality that will likely cause a delay to the Go-live or increase the risk of quality issues during Go-live. Mitigating actions have not yet been identified or no mitigating action is possible at the current time.
- **Risk to individual milestone(s)** – One or more milestones are at risk of delay (**greater than 5 days**) or not achieving the required quality but it is unlikely, at this stage, to result in a delay to Go-live or increase the risk of quality issues during go-live. Mitigating actions have been identified and are underway.
- **On track** – Milestone(s) are on track to time and quality and no significant risks have been identified that may impact the Go-live date or pose a significant risk to the industry at Go-live.

Risk/Issue Score Definition



Likelihood / Proximity

- 5** Almost certain /Now
- 4** Likely /1 week
- 3** Moderate /2 weeks
- 2** Unlikely /1 month
- 1** Rare /1 month+

Impact

- 5** Severe
- 4** Major
- 3** Significant
- 2** Minor
- 1** Insignificant

Delay to Go-live and / or quality issues that compromise the integrity of the critical market processes, such as change of ownership.



Go-live date not impacted and / or minor defects that can be easily fixed.