ICL	Audit	Ref.: CR/ACS/011
		Version: 2.0
Pathway	Acceptance Specification	Date: 13/11/98

Document Title Audit Acceptance Specification

Document Type Acceptance Specification

Abstract This document describes the Acceptance Test for Audit

Status Issued

Author J C C Dicks

Approval By (approved version)

Distribution

	Pathway	Management Team
		Test & Integration Manager
		Pathway Library
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Recommended for Approval ICL Pathway Test Manager   Authority(ies) Test Manager

Signature

Name
Date

Approved For and behalf of ICL Pathway   For and behalf of Authority(ies)

Signature

Name

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Nothing contained herein shall be deemed or construed as affecting existing contractual obligations or creating new contractual obligations between ICL Pathway and the DSS and/or POCL.

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1._ DOCUMENT CONTROL

2.1 DOCUMENT HISTORY

Version	Date	Reason
0.1	1/5/97	First draft for internal Pathway review
1.0	12/5/97	Issued for joint review
1.1	29/4/98	Revised for New Release 2, issued for partial joint review pending availability of Business Thread and HLTP
1.2	23/7/98	Version factoring in BT and HLTP material
1.3	2/9/98	Version treating additional comments
1.4	20/10/98	Version factoring in agreements from QR meeting 8/10
2.0	13/11/98	Approved version to accompany CCN361

0.2 ASSOCIATED DOCUMENTS

	Reference	Version	Date	Title	Source
(1)					
(2)	Acceptance Standard	0.1	13/09/96	Standard for Raising and Progressing Acceptance Incidents.	Pathway
(3)	Acceptance Standard	1.2	13/7/98	Standard for documenting Acceptance Specifications	Pathway
(4)	Authorities' Agreement	7.2	22/5/97	Acceptance Procedures Schedule (A)A07	DSS/POCL
(5)	POCL Agreement	7.2	22/5/97	Acceptance Procedures Schedule (P)A11	POCL
(6)	DSS Agreement	7.2	22/5/97	Acceptance Procedures Schedule (D)A11	DSS
(7)	Authorities' Agreement	8.1	8/3/98	Requirements Schedule (A)B04	DSS/POCL

	Reference	Version	Date	Title	Source
(8)	Authorities' Agreement	8.1	8/3/98	Solutions Schedule (A)B05	Pathway
(9)	DSS Agreement	8.1	8/3/98	Requirements Schedule (D)A15	DSS
(10)	DSS Agreement	8.1	8/3/98	Solutions Schedule (D)A16	Pathway
(11)	POCL Agreement	8.0	13/11/97	Requirements Schedule (P)A15	POCL
(12)	POCL Agreement	8.1	8/3/98	Solutions Schedule (P)A16	Pathway
(13)	CR/FSP/004	4.0	30/9/97	Service Architecture Design Document	Pathway
(14)	PA/STR/009	2.0	24/2/98	Release Contents Definition for Pathway New Release 2	Pathway
(15)	CR/FSP/006	2.3	20/10/98	Audit Trail Functional Specification	Pathway
(16)	IA/MAN/003	0.3	2/7/98	Pathway Internal Audit Manual	Pathway
(17)	IA/MAN/004	0.2	tba	Horizon Audit Manual (NR2)	Pathway
(18)	CR/SPE/002	0.4	30/4/98	Specification for PAS Card Payment Accounting & Reconciliation (CBoS) Reports -From Release NR2	Pathway
(19)	TD/STD/0001	1.0	9/03/98	Host Application Database Design and Interface Standards	Pathway
(20)					

0.3 ABBREVIATIONS

Nothing contained herein shall be deemed or construed as affecting existing contractual obligations or creating new contractual obligations between ICL Pathway and the DSS and/or POCL.

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APS   Automated Payment Service
BES   Benefit Encashment Service
BPS   Benefit Payment Service
BT   Business Thread
CAPS   Customer Accounting and Payments Strategy
CAS   CAPS Access Service
CCN   Change Control Notice
CMS   Card Management Service
DLT   Digital Linear Tape
DSS   Department of Social Security
HAPS   Host APS
HLTP   High Level Test Plan
NPO   Nominated Post Office
OBCS   Order Book Control Service
OPS   Office Platform Service
PAS   Payment Authorisation Service
PCHL   Payment Card Help Line
PDA   Programme Delivery Authority
POCL   Post Office Counters Ltd
RED   Reconciliation Exceptions Database
SIS   Strategic Infrastructure Service

0.4   CHANGES IN THIS VERSION

Version raised to 2.0 to accompany CCN361.

Circulation updated.

0.5   CHANGES FORECAST

Revisions for changes in levels of associated documents.

Inclusion of BIT HLTP defined test conditions.

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obligations or creating new contractual obligations between ICL Pathway and the DSS and/or
POCL.

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0.5 TABLE OF CONTENT

Nothing contained herein shall be deemed or construed as affecting existing contractual obligations or creating new contractual obligations between ICL Pathway and the DSS and/or POCL.

1.   PURPOSE & SCOPE

This document describes the Acceptance Test for Audit in accordance with the Acceptance Procedures that are set out in the Schedules referred to in section 0.2 and also in the Pathway document "Standard for Documenting Acceptance Specifications". This Test will determine that Audit meets all the Acceptance Criteria that are agreed in the Acceptance Specification and that are within the scope of the "Pathway Release Contents Specification" document for New Release 2, if applicable.
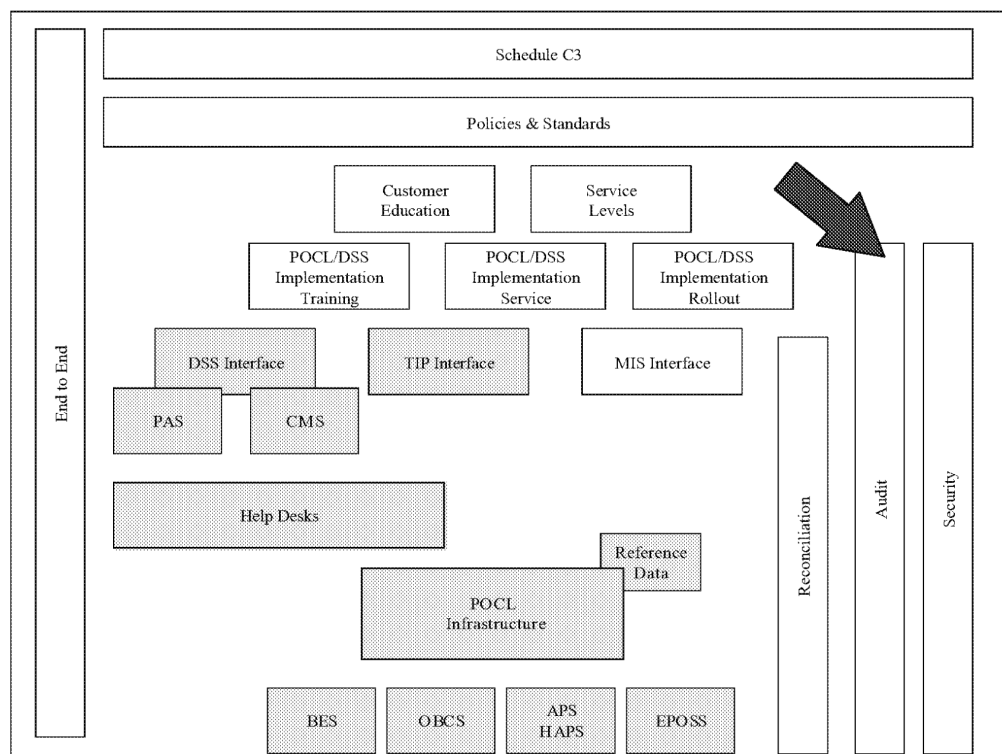
Figure1-1: This Acceptance Test in relation to others

2.   ACCEPTANCE INCIDENTS

The standard and method for originating, progressing and resolving Acceptance Incidents shall be as described in the associated Document "Standard for Raising and Progressing Acceptance Incidents".

Nothing contained herein shall be deemed or construed as affecting existing contractual obligations or creating new contractual obligations between ICL Pathway and the DSS and/or POCL.

3.   ACCEPTANCE PERIOD

The Acceptance Period for the Acceptance Tests, which comprise the Operational Trial, is as determined by schedule B07 of the AUTHORITIES' Agreement.

The Pathway programme plan details the schedule for the Audit Acceptance Test.

4.   DELIVERABLES & SERVICES

This section details the Deliverables and Services that are the subject of this Acceptance Test and as defined by the related Agreements.

Deliverable or Service.	Contract Reference	Method
Audit	Requirements Schedule (A)B04 Requirements Schedule (D)A15 Requirements Schedule (P)A15 Schedule A3 (version Ja03v50p.doc, 10/5/96)	Acceptance Trial Acceptance Review

Table of Deliverables and Services.

5. ACCEPTANCE CRITERIA

This section lists the identifier of each Acceptance Criterion that will be demonstrated by the Acceptance Test. It also lists the Acceptance Test Conditions that are used to determine whether (or not) the Acceptance Criterion has been met together with the applicable test Phase, Technical Test, or Live Trial.

Acceptance Criteria are split into three sets of tables according to the nature of the acceptance method, one set for those tested by Acceptance Trial, a second for those tested by Acceptance Review and a third which lists those criteria which are for Acceptance at a later release. The Release on which Acceptance is to be conducted is defined by reference to the Release Contents Description included in the Associated Documents section of the Acceptance Specification. Exceptionally, it may be necessary for one particular Acceptance Criterion to be tested by a combination of trial and review in which case there are entries for Trial and Review.

5.1 ACCEPTANCE CRITERIA AND TEST CONDITIONS

Conformance of the Audit Acceptance Criteria will be demonstrated through Acceptance Trials and/or Acceptance Reviews.

Tests conducted by Acceptance Trials comprise practical tests using prepared test scripts. If applicable the Test Condition(s) appropriate to a criterion are specified in section 5.1.1 together with a description of the test. Detailed composition of the test in terms of sequences of Test Conditions is contained in Section 10. In the tables in section 5.1.1 the rows labelled Function Run Entry will be populated immediately prior to the running of the Acceptance Trials in a working version of the Acceptance Specification. These will provide invigilators with references to the checklists used to monitor the progress of the testing. The order of running of Test Conditions will not necessarily correspond to the order presented in HLTPs because of the "physicalisation" of the testing. The Function Run Entry will allow the invigilator to read across from the criterion to the checklist.

Tests conducted by Acceptance Review comprise typically document reviews, site visits or presentations. If applicable the Test Condition(s) are described in section 5.1.2.

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5.1.1 Description Of Tests Conducted By Acceptance Trial

The tables below show which Acceptance Criteria will be met by Acceptance Trial.

All of the tests in this section will be scheduled during the Technical Test phase.

Requirement Id	699
Criterion	1-5,10
Derivation	Requirement
Criterion Description	1. An audit trail shall be maintained during periods of Service operation including fallback and Recovery. 2. The audit trail shall record all Data File transfer, messaging and processing, whether as a result of manual or automated action. 3. The information recorded shall be sufficient to identify the action, by whom it was undertaken, when it was undertaken, why it was undertaken, where it was undertaken and the resulting outcome. 4. The audit trail shall allow activities that utilise more than one of the Services to be traced across the Services from start to finish, or from an intermediate Service in any direction, with certainty. 5. The audit trail shall provide information to allow the original Transaction to be recreated. 6. The integrity of the audit trail shall be continued during periods of partial or complete service loss or failure.
HLTP / Business Thread Scenario	HLTP Aud0101 / BT Aud01 / BT Refs 1-24
Scenario Description	Business oriented processing will be performed to prove the Audit Tracks for POCL SIS and POCL Client (DSS) and to record the list of Audit events from Tivoli Event Management Server. 1, 2, 10 Both main Audit Tracks are populated with a full representation of traffic including fallback and recovery and automated and manual transactions.

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	1. BPS customers and payments 2. Stopped Payments 3. Encashed payments 4. Recalls and reissues following NPO change 5. Despatched card batches 6. [Despatched Temporary Token batch purging (NR2+)] 7. Temporary Token operations 8. Removing unwanted notes 9. PCHL operation 10. Counter auditing at session level 11. Table level audit monitoring changes 12. Medium term Post Office closures 13. Stopped card damage reorder control 14. Reissued card damaged reorder control 15. Overdue payment stops 16. Exception tables purging 17. Contingency payments 18. "40/14" type exceptions 19. Reference data changes including revalued stock 20. Duplicate payment stops 21. Cardholder amendments 22. CAS log files 23. OBCS stops and recalls 24. OBCS book handling and encashment
Function Run Entry	

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Requirement Id	699
Criterion	8,11
Derivation	Requirement
Criterion Description	The audit trail shall be available for inspection by the AUTHORITIES or their representatives as listed in paragraph 2.1 of Schedule A03 of the AUTHORITIES' Agreement. The audit trail shall comply with Requirement 829. *[DN: Requirement 829 specifies evidential admissibility.]*
Test Condition	A satisfactory Operational Audit Procedure is in operation and has been exercised by means of sample site visit.
Method	Sample site visit.
References	(17)
Phase	Technical Test

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Requirement Id	699
Criterion	9
Derivation	Requirement
Criterion Description	9. The audit trail shall have a level of security such that it cannot be altered or deleted.
HLTP / Business Thread Scenario	HLTP Aud0101 / BT Aud01 / BT Refs 25-29
Scenario Description	Operational activities available cannot alter or delete the Audit Trail. 25. Operational checks using Discoverer 26. Restoration of operational data from non-audit archive 27. Audit Archive checked from Audit Workstation 28. Audit Archive – file successfully re-gathered 29. Audit Archive file successfully deleted
Function Run Entry	

Nothing contained herein shall be deemed or construed as affecting existing contractual obligations or creating new contractual obligations between ICL Pathway and the DSS and/or POCL.

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Requirement Id	816
Criterion	1
Derivation	Requirement
Criterion Description	A complete set of Outlet Records, for a rolling period of 18 months, shall be maintained as available for retrieval and review (but not amendment).
HLTP / Business Thread Scenario	HLTP Aud0101 / BT Aud01 / BT Refs 1, 3-10, 12-14, 17-19, 21, 23-24, 27-34.
Scenario Description	Business oriented processing will be performed to prove the Outlet records 1. BPS customers and payments 2. - 3. Encashed payments 4. Recalls and reissues following NPO change 5. Despatched card batches 6. [Despatched Temporary Token batch purging (NR2+)] 7. Temporary Token operations 8. Removing unwanted notes 9. PCHL operation 10. Counter auditing at session level 11. - 12. Medium term Post Office closures 13. Stopped card damage reorder control 14. Reissued card damaged reorder control 15. - 16. - 17. Contingency payments 18. "40/14" type exceptions 19. Reference data changes including revalued stock 20. - 21. Cardholder amendments 22. - 23. OBCS stops and recalls 24. OBCS book handling and encashment 25. - 26. - 27. Audit Archive checked from Audit Workstation

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	28. Audit Archive – file successfully re-gathered 29. Audit Archive file successfully deleted 30. Audit Archive file retrieval 31. POCL Auditor outlet asset verification 32. POCL Emergency Manager operations 33. Horizon Help Desk calls 34. Legato 18 month DLT handling *[DN: Whether the retention period for the operational audit trail is 18 months or six years is in dispute and has been referred to the CNT for resolution.]*
Function Run Entry	

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Requirement Id	921
Criterion	5
Derivation	Requirement
Criterion Description	The circumstance where the [OPS Secure Time-out] facility has been overridden by an appropriate authority shall be expressly logged to the audit trail.
HLTP / Business Thread Scenario	HLTP Aud0101 / BT Aud01 / BT Ref 32
Scenario Description	OPS Secure Timeout is recorded 32. POCL Emergency Manager operations
Function Run Entry	

Nothing contained herein shall be deemed or construed as affecting existing contractual obligations or creating new contractual obligations between ICL Pathway and the DSS and/or POCL.

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Requirement Id	942
Criterion	3 (DSS only)
Derivation	Requirement
Criterion Description	The CONTRACTOR shall provide all Services to support the functional specification [(15)]
HLTP / Business Thread Scenario	HLTP Aud0101 / BT Aud01 / BT Refs 1-9, 11, 13-18, 20-30, 34.
Scenario Description	The DSS related parts of audit are performed. 1. BPS customers and payments 2. Stopped Payments 3. Encashed payments 4. Recalls and reissues following NPO change 5. Despatched card batches 6. [Despatched Temporary Token batch purging (NR2+)] 7. Temporary Token operations 8. Removing unwanted notes 9. PCHL operation 10. - 11. Table level audit monitoring changes 12. - 13. Stopped card damage reorder control 14. Reissued card damaged reorder control 15. Overdue payment stops 16. Exception tables purging 17. Contingency payments 18. "40/14" type exceptions 19. - 20. Duplicate payment stops 21. Cardholder amendments 22. CAS log files 23. OBCS stops and recalls 24. OBCS book handling and encashment 25. Operational checks using Discoverer 26. Restoration of operational data from non-audit archive 27. Audit Archive checked from Audit Workstation 28. Audit Archive – file successfully re-gathered 29. Audit Archive file successfully deleted 30. Audit Archive file retrieval

Nothing contained herein shall be deemed or construed as affecting existing contractual obligations or creating new contractual obligations between ICL Pathway and the DSS and/or POCL.

	31. -
	32. -
	33. -
	34. Legato 18 month DLT handling
	[DN: Whether the retention period for the operational audit trail is 18 months or six years is in dispute and has been referred to the CNT for resolution.]
Function Run Entry	

Nothing contained herein shall be deemed or construed as affecting existing contractual obligations or creating new contractual obligations between ICL Pathway and the DSS and/or POCL.

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Requirement Id	942
Criterion	6-11 (DSS only)
Derivation	Requirement
Criterion Description	The audit trail shall be maintained during all periods of operation including fallback and Recovery. The audit trail shall record all Transactions and data passing across service boundaries and all major processing actions. The information recorded shall allow tracking of a business Transaction through the Services and across service boundaries to other suppliers' services. The information recorded shall identify origin of Transaction, time and outcome. The audit trail shall be made available to DSS as logically a single entity showing a chronological trail of events. *[DN: other attributes than date/time may be used and other arrangements of the audit trail than a single entity may be formed.]* The CONTRACTOR shall make available utilities to facilitate inspection of the audit trail by DSS.
HLTP / Business Thread Scenario	HLTP Aud0101 / BT Aud01 / BT Refs 1-9, 11, 13-18, 20-30, 34.
Scenario Description	Satisfactory maintenance, content and usage of the Audit Trail. 1. BPS customers and payments 2. Stopped Payments 3. Encashed payments 4. Recalls and reissues following NPO change 5. Despatched card batches 6. [Despatched Temporary Token batch purging (NR2+)] 7. Temporary Token operations 8. Removing unwanted notes 9. PCHL operation

Nothing contained herein shall be deemed or construed as affecting existing contractual obligations or creating new contractual obligations between ICL Pathway and the DSS and/or POCL.

	10. - 11. Table level audit monitoring changes 12. - 13. Stopped card damage reorder control 14. Reissued card damaged reorder control 15. Overdue payment stops 16. Exception tables purging 17. Contingency payments 18. "40/14" type exceptions 19. - 20. Duplicate payment stops 21. Cardholder amendments 22. CAS log files 23. OBCS stops and recalls 24. OBCS book handling and encashment 25. Operational checks using Discoverer 26. Restoration of operational data from non-audit archive 27. Audit Archive checked from Audit Workstation 28. Audit Archive – file successfully re-gathered 29. Audit Archive file successfully deleted 30. Audit Archive file retrieval 31. - 32. - 33. - 34. Legato 18 month DLT handling *[DN: Whether the retention period for the operational audit trail is 18 months or six years is in dispute and has been referred to the CNT for resolution.]*
Function Run Entry	

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5.1.2 Description of tests conducted by Acceptance Review

The table below shows which Acceptance criteria are to be met by Acceptance Review. Acceptance Tests will use the versions of any relevant documents (as referenced from section 0.2) contained in the approved version of the Acceptance Specification.

Requirement Id	697
Criterion	1-6
Derivation	Requirement
Criterion Description	1. The CONTRACTOR and his sub-contractors shall keep or cause to be kept Records (including financial records) of all Services, covering materials and Services provided, timesheet records, contracts let to sub-contractors and Charges levied to the AUTHORITIES. These Records shall not be more detailed than those held by the CONTRACTOR for its own audit purposes. 2. The CONTRACTOR shall permit the AUTHORITIES or AUTHORITIES' representatives (including those bodies listed in paragraph 2.1 of Schedule A03 of the AUTHORITIES' Agreement) unrestricted access to the Records for the purpose of auditing and reporting on the performance, including charging and accounting aspects, of the Services. 3. DSS shall have the right of access to inspect the DSS Services and POCL shall have the right of access to inspect the POCL Services. The AUTHORITIES may appoint an independent auditor to examine areas that are mutually commercially sensitive. 4. Such access shall be provided on request and shall include access to premises, facilities, Services, documentation, information (magnetic or otherwise), staff, procedures, timesheets and other data used directly as a basis for charging belonging to the CONTRACTOR which relate to the provision of the Services.

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	5. The CONTRACTOR shall implement audit recommendations in accordance with provisions of the change control procedures. 6. The CONTRACTOR shall provide within reasonable timescales either documentary or demonstrable evidence of such changes and shall if required provide access to the AUTHORITIES' representatives to monitor and confirm the implementation of such changes.
Test Condition	A satisfactory Commercial Audit Procedure is in operation.
Method	1. Document inspection, sample site visits, review meeting 2. Document inspection, sample site visits, review meeting 3. Document inspection, sample site visits, review meeting 4. Document inspection, sample site visits, review meeting 5. Document inspection 6. Document inspection
References	(16)
Phase	Technical Test/Live Trial

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Requirement Id	699
Criterion	3-5
Derivation	Requirement
Criterion Description	The information recorded shall be sufficient to identify the action, by whom it was undertaken, when it was undertaken, why it was undertaken, where it was undertaken and the resulting outcome. The audit trail shall allow activities that utilise more than one of the Services to be traced across the Services from start to finish, or from an intermediate Service in any direction, with certainty. The audit trail shall provide information to allow the original Transaction to be recreated.
Test Condition	Satisfactory maintenance, content and usage of the Audit Trail.
Method	Inspection of live trial operation of the Services to establish satisfactory provision of the specified areas of functionality. The live trial operation inspection will also include the Reconciliation Exceptions Database.
References	(15)(18)
Phase	Operational Trial

Nothing contained herein shall be deemed or construed as affecting existing contractual obligations or creating new contractual obligations between ICL Pathway and the DSS and/or POCL.

Requirement Id	699
Criterion	6
Derivation	Requirement
Criterion Description	The content of the audit trail shall be agreed with the AUTHORITIES by a date consistent with the project plan agreed by the parties, such that the date does not adversely impact contractual milestones as defined in Clause 605.1 of the Authorities Agreement.
Test Condition	Agreement to referenced documents
Method	Document inspection
References	(15)(18)
Phase	Live Trial

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Requirement Id	699
Criterion	7
Derivation	Requirement
Criterion Description	Subject to Clause 801 of the Related Agreements, audit trail records shall be retained for a period consistent with Companies Act requirements, or for a period of eighteen (18) months, whichever is longer. *[DN: The operational Audit Trail is to be retained for not less than 18 months.]* *[DN: Whether the retention period for the operational audit trail is 18 months or six years is in dispute and has been referred to the CNT for resolution.]*
Test Condition	Statement of obligation
Method	Document inspection for explicit obligation
References	(15)(18)
Phase	Live trial

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obligations or creating new contractual obligations between ICL Pathway and the DSS and/or
POCL.

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Requirement Id	699
Criterion	8,11
Derivation	Requirement
Criterion Description	The audit trail shall be available for inspection by the AUTHORITIES or their representatives as listed in paragraph 2.1 of Schedule A03 of the AUTHORITIES' Agreement. The audit trail shall comply with Requirement 829. *[DN: Requirement 829 specifies evidential admissibility.]*
Test Condition	A satisfactory Operational Audit Procedure is in operation and has been exercised by means of sample site visit.
Method	Document inspection.
References	(17)
Phase	Operational Trial

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Requirement Id	699
Criterion	12
Derivation	
Criterion Description	Technological changes to the Services or the Service Infrastructure shall not render the audit trail unusable. *[Note: this criterion is not scheduled for formal test.]*
Test Condition	Statement of obligation
Method	Inspection for explicit obligation in functional specification.
References	(15)
Phase	Operational trial

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Requirement Id	816
Criterion	1,2 (POCL only)
Derivation	Requirement
Criterion Description	A complete set of Outlet Records, for a rolling period of 18 months, shall be maintained as available for retrieval and review (but not amendment). *[DN: The test to show that it is not possible to amend a set of outlet records is included in the Acceptance Trials Section.]* On retrieval all Records shall be packaged in weekly batches as a complete POCL Outlet Accounting Period cycle. *[DN: There is an outstanding interpretation here as to the intended meaning of week. Note that the Solution specified "Information will be retrieved as complete set of records for the specified outlet account period."]* *[DN: Whether the retention period for the operational audit trail is 18 months or six years is in dispute and has been referred to the CNT for resolution.]*
Test Condition	Satisfactory operation of retrieval and review facility.
Method	Inspection of usage of facility to retrieve and review outlet records.
References	None
Phase	Technical Test

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Requirement Id	942
Criterion	1,2 (DSS only)
Derivation	Requirement

Criterion Description	1. DSS shall have access to the audit information captured as part of the audit trail functional requirement. The nature and form of the access shall be defined by the CONTRACTOR subject to the agreement of DSS by a date consistent with the project plan agreed by the parties, such that the date does not adversely impact contractual milestones as defined in Clause 605.1 of the Authorities. Agreement but is likely to be needed to support some or all of the following:
	
	   a) fraud detection and prevention;
	
	   b) security violation investigation;
	
	   c) probity assurance;
	
	   d) failure investigation;
	
	   e) Service and contractual disputes;
	
	   f) criminal investigations;
	
	   g) information to support policy development, policy monitoring, parliamentary and Ministerial questions etc.
	
	2. The CONTRACTOR shall provide a detailed functional specification for approval by DSS prior to implementing any such Services.

Test Condition	1. A satisfactory Operational Audit procedure is in operation 2. A detailed functional specification has been provided
Method	Sample access during Live Trial Document inspections
References	(17) (15)
Phase	Live Trial

Nothing contained herein shall be deemed or construed as affecting existing contractual
obligations or creating new contractual obligations between ICL Pathway and the DSS and/or
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	Operational Trial

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Requirement Id	942
Criterion	4,5 (DSS only)
Derivation	Requirement
Criterion Description	4. The CONTRACTOR shall ensure that the contents of the audit trail are accurate and that suitable legal assurances can be given as to the integrity of the audit trail *[Interpreted as evidential admissibility in accordance with Requirement 829].* 5. The CONTRACTOR shall ensure that the total or a filtered subset of the audit trail is delivered to a limited number of central DSS services for further processing. The delivery shall include any technical transformation and/or reformatting that is required to ensure the audit trail is understandable by the receiving services. *[DN: Horizon provides generic facilities for Oracle based Host applications to generate audit data. These are defined in (19) and provide for the self description of files at the file level described in (15) Section 1.2.8.1).]*
Test Condition	A satisfactory Operational Audit Procedure is in operation The description of the native host file formats is satisfactory
Method	Sample usage and sample assurance Sample delivery
References	(17)(19)
Phase	Live Trial Live Trial

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5.2   CRITERIA FOR LATER ACCEPTANCE

No Acceptance Criteria are for Acceptance at a later level of specification.

5.3   CRITERIA SUMMARY

Req ID	Criterion	Trial	Review	Later Acceptance
699	1,2,10	✓		*
699	9	✓		
816	1	✓		*
921	5	✓		
942	3	✓		*
942	6-11	✓		*
697	1-6		✓	
699	3-5	✓	✓	
699	6		✓	
699	7		✓	
699	8-11	✓	✓	
699	12		No test	
816	1,2		✓	
942	1,2		✓	
942	4,5		✓	

*   The Despatched Temporary Token batch purging function is for introduction at NR2+.

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6.   ACCEPTANCE INCIDENT SEVERITY

This section identifies the guidelines to be applied during the analysis of Acceptance Incidents, in order to establish the severity of such Acceptance Incidents.

6.1   HIGH SEVERITY INCIDENTS

Failure to meet an Acceptance Criterion which would have a substantive impact on the service received by the Customer, e.g. failure to pay benefits to the right person, at the right place, at the right time.

Failure to meet an Acceptance Criterion which would have a major impact on the ability of the AUTHORITY or AUTHORITIES to perform their business, or where there was a major impact on the resources of the AUTHORITY or AUTHORITIES necessary to overcome that impact on their business, e.g. failure to support accurate POCL accounting.

Failure to meet an Acceptance Criterion which would impact the security of the service where there is no acceptable procedural workaround.

Consistent failure to meet Minimum Acceptable Thresholds for Service Levels, e.g. where particular transactions do not meet the minimum Acceptable Threshold under normal loading.

6.2   MEDIUM SEVERITY INCIDENTS

Failure to meet an Acceptance Criterion which is visible to the Customer and is likely to give rise to an adverse public perception of the service, but does not substantively impact the service received by the Customer, e.g. incorrect spelling on a receipt.

Failure to meet an Acceptance Criterion which would have a medium impact on the ability of the AUTHORITY or AUTHORITIES to perform their business, or where there was a medium impact on the resources of the AUTHORITY or AUTHORITIES necessary to overcome that impact on their business, e.g. non-production of a weekly report, resulting in its manual transcription, which causes additional resource or effort at every outlet of the average duration of one hour per week per outlet.

Occasional failure to meet Minimum Acceptable Thresholds for Service Levels, e.g. at peak loading, some transactions fail to meet Minimum Acceptable Thresholds, but on average all transactions within the service do achieve Minimum Acceptable Thresholds.

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6.3   LOW SEVERITY INCIDENTS

Failure to meet an Acceptance Criterion that is neither visible to nor has substantive impact on the service received by the Customer e.g. presentational, style and other cosmetic faults that are only visible to the user.

Failure to meet an Acceptance Criterion which would have a minor impact on the ability of the AUTHORITY or AUTHORITIES to perform their business, or where there was a minor impact on the resources of the AUTHORITY or AUTHORITIES necessary to overcome that impact on their business, e.g. non-production of a weekly report, resulting in its manual transcription, which causes additional resource or effort at ten or fewer outlets of the average duration of one hour per week per outlet.

Failure to meet an Acceptance Criterion which would impact the security of the service but where the workaround is as secure as the original solution (i.e. the only impact on risk is in ensuring that the workaround is performed, but where procedures have been agreed and are in place).

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Pathway   *Acceptance Specification*   Date: 13/11/98

7.   TEST DATA

Test data including any operator entered scripts that are required to run the
Acceptance Test are defined below.

Business Test Thread: Aud01, VI/TSC/128
High Level Test Plan(s): Aud0101, VI/TSC/129
Organisation: Pathway T&I

These references will be replaced with BIT HLTP references as these tests are in
course transfer to the BIT environment.

8. AUTHORITY RESPONSIBILITIES

This section describes the AUTHORITY's or AUTHORITIES' Responsibilities in relation to this Acceptance Test. Particular Acceptance Tests may also require additional participation and responsibility by the AUTHORITY or AUTHORITIES.

8.1 APPOINT TEST MANAGER

The AUTHORITY or AUTHORITIES shall nominate a Test Manager and other representatives to review the tests prior to commencement of the test.

8.2 ACCEPTANCE INCIDENT REPORTS

The nominated representatives and Test Manager shall be diligent in raising complete, accurate and timely Acceptance Incident Reports as set out within this Acceptance Specification.

8.3 ACCEPTANCE INCIDENT ANALYSIS REPORTS

The Test Manager shall be diligent in returning signed Acceptance Incident Analysis Reports with their decision (e.g. Accept, Reject, Discuss) normally within five working days, or when urgency is requested by Pathway, within two working days of receipt from Pathway. A copy of all correspondence will be faxed to reduce delay.

8.4 ATTENDANCE AT TRIALS AND REVIEWS

The nominated representatives shall at their discretion attend Acceptance Test Trials and Reviews including repeat Tests at reasonable times and reasonable locations and with reasonable advance notice by Pathway.

8.5 MANAGEMENT AND CO-ORDINATION

The Test Manager shall be the single point of communication and co-ordination with Pathway's nominated Test Manager for all matters concerning this Acceptance Test from its initial planning through to Acceptance.

8.6 PROGRESS REVIEWS

Unless otherwise waived by both parties, Pathway's Test Manager and the AUTHORITY's or AUTHORITIES' Test Manager shall meet each week to review the progress and actions of both parties until Acceptance of the Acceptance Test is achieved. The time and location of review meetings will be scheduled with at least two week's advance notice by Pathway.

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9.   CONTRACTOR RESPONSIBILITIES

The Contractor shall nominate a Test Manager for each Test who shall be the single point of communication and co-ordination with the AUTHORITY's or AUTHORITIES' Test Manager for all matters concerning this Acceptance Test from its initial planning through to Acceptance.

Upon receipt of a signed Acceptance Incident Analysis Report from the AUTHORITY or AUTHORITIES, where correction is required to be re-tested within the same phase of Acceptance Test, the Contractor will return the amended component(s), on average, within 4 days. This will include re-testing necessary as per the agreed test strategies.

ICL

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Pathway

Acceptance Specification

Date: 2/9/98

10. ACCEPTANCE TRIAL TEST CONDITIONS

Not completed at this revision, the BT and HLTP documents were provided previously and are in course of transfer to the BIT environment.

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