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*Bringing Technology to Post Offices and Benefit Payments***HORIZON PLAN FOR ACCEPTANCE DURING THE ICL PATHWAY
OPERATIONAL TRIAL**

Reference: BA/ACC/001
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Classification: Horizon controlled document
Version: 2.0
Date: 12/01/99
Status: Revisions to Approved Version
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Document Summary: Provides a high-level description of the Horizon Plan for the management of Acceptance of the Operational Trial of ICL Pathway. This has been developed as a PRINCE style Stage Plan. The paper indicates the source of detailed Horizon documentation dealing with specific aspects of the task. It includes outline details of the Horizon Acceptance organisation and resource requirements and the overall Acceptance Plan. The procedures to be used and the tasks expected of those to be actively involved in the process are covered in those supporting documents.

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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, the DSS and/or POCL.

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DOCUMENT CONTROL**0.1 Version History**

Version	Date	
0.1	23/09/98	First rewrite by Iain Kerr based on an earlier draft paper and comments from a review of that paper.
0.2	25/09/98	Revision to include Peer Review comments.
1.0	30/10/98	Consolidating comments from Sponsor Review. For Approval.
2.0	12/01/99	Revisions to Approved Version to include process diagrams and to reflect results of tripartite audit of Technical Testing. Some renumbering of sections and paragraphs has been made to make the layout more logical.

0.2 Related Documents

(Not all documents listed are referred to in this paper)

Ref	Document	Reference	Ver	Date
1	Contract Schedule A07 - Acceptance Procedures	BA/POCL	7.2	22/05/97
2	ICL Pathway Nile Release 2 High Level Plan	ICL Pathway PM/PLA/031	5.0	10/09/98
3	Horizon Programme Replan - Level 0 Plans	Horizon	5?	2/09/98
4	Pathway New Release 2 Contents Description	ICL Pathway	2.0	24 Feb 98
5	Pathway New Release 2 Contents Description	ICL Pathway	0.6	28 Aug 98
6	Service Architecture Design Documentation	ICL Pathway	4	
7	Contract Schedule C03	BA/POCL	5.6	24/09/96
8	Principles of Acceptance Trials for Pathway Release 2	Pathway	2.0	8/12/97
9	Acceptance of the Operational Trial	PDA PDA/REL/A CC/001	1.0	22/05/97
10	Acceptance Scoping Study	Horizon	1.0	12/06/98
11	Live Trial Scope and Management	PDA	A	11/08/97
12	Role and Tasks of the Horizon Acceptance Test Managers	Horizon BA/ACC/007	2.0	2/12/98
13	Horizon Programme Quality Review Procedures	Horizon	0.4	31/03/98
14	Horizon Acceptance Management Organisation	Horizon BA/ACC/004	2.0	2/12/98
15	Witnessing of Acceptance Trials (and Acceptance Reviews) examining the approach	Horizon BA/ACC/002	0.2	25/09/98

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16	Horizon Process for Witnessing Acceptance Trials	Horizon BA/ACC005	1.0	9/12/98
17	Horizon Process for Handling Acceptance Incidents	Horizon BA/ACC/003	2.0	30/11/98
18	Horizon Acceptance Management Tools	Horizon BA/ACC/008	0.1	4/01/99
19	Process for contractual Acceptance of the Operational Trial [based on Reference 9]	Horizon BA/ACC/006	0.1	to be issued
20	Horizon Critical Path Plan	Horizon	9.0	28/10/98
21	Nile Release 2.0 End to End Interface and Model Office Testing Approach	PDA TSTMOSTS TR02.DOC	1.0	12/02/98
22	Terms of Reference for tripartite audit of Technical Testing	Horizon TOR-30	3.0	25/11/98
23	Review of Technical Testing (Draft)	Tripartite Team R004VDAT.DOC	0.2	16/11/98
24	Horizon Process for Conducting Acceptance Reviews	BA/ACC/009	0.1	4/01/99
25	Release Authorisation of the NR2 (Child Benefit) Release	Horizon RANR2 (ChB)	2.2	9/11/ 98

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1.

1. MANAGEMENT SUMMARY

- 1.1 Acceptance is the act of accepting a ICL Pathway Service or Deliverable on confirming that it meets contracted obligations in accordance with the relevant Acceptance Criteria. This stage plan indicates the assumptions and broad principles used for the management of the Horizon Acceptance of Products and Services during the ICL Pathway Operational Trial. The plan has been developed on PRINCE lines from the Horizon perspective. The plan specifically deals with Acceptance of the Operational Trial Service and Deliverables, and the processes to confirm that it meets contracted obligations.
- 1.2 Following the present Replan proposals, which are yet to be agreed and contractually finalised, it is assumed by all parties that the Operational Trial system will be delivered in three Steps (referred to in the Replan Level 0 as “stages”). It is further assumed that each Step will be subject to a separate Acceptance activity, culminating in eventual Acceptance of the Operational Trial Services and Deliverables as a whole, when all contracted obligations have been met.
- 1.3 In the Acceptance process both Authorities, that is DSS and POCL, the Sponsors of Horizon, have sovereign acceptance rights. Horizon is tasked with the management of the Acceptance process on behalf of both Authorities.
- 1.4 The Horizon plans for the management of Acceptance are outlined at the higher level. The paper goes on to outline the various management organisations and covers the relationships between Horizon and the Authorities and with ICL Pathway during Acceptance.
- 1.5 The purpose of the document is to provide high level guidance for Horizon’s management of Acceptance activities generally. The paper shows and explains the various processes involved.
- 1.6 The paper indicates the subordinate Horizon documents which provide detailed guidance on Acceptance practice, organisation and activities. D.N. This paper, and the other Horizon Acceptance documents are living documents which will be updated to reflect any changes in policy and processes which arise.

2.

INTRODUCTION

- 2.0.1 The purpose of the document is to provide high level guidance for Horizon's management of Acceptance activities generally. This paper describes the overall principles and practice of Horizon's management of the Acceptance of the ICL Pathway Operational Trial Services and Deliverables on behalf of DSS and POCL. The paper then sets out the PRINCE style stages of the Horizon Acceptance Plan and offers the principles for the relationships between Horizon and its Sponsors and between Horizon and ICL Pathway during Acceptance. The paper includes a number of process diagrams and accompanying text which explain the practical steps involved in all phases of Acceptance.
- 2.0.2 The definitions given in the Glossary at Annex A are those which were offered and agreed by the Sponsors in Reference 9. They are intended to emphasise aspects which relate to the Acceptance this process and so do not always exactly equate to those given in the Related Agreements. The source of those definitions not directly from the Agreements is indicated at Annex A.

2.1. Definition of Acceptance

- 2.1.1 Acceptance is the act of accepting a ICL Pathway Service or Deliverable on confirming that it meets contracted obligations in accordance with Acceptance Criteria [Reference 1]. This paper specifically deals with Acceptance of the Operational Trial System, and the process to confirm that it meets contracted obligations. Consistent with the present Replan proposals [References 2 and 3], which are yet to be agreed and contractually finalised, it is the current working assumption by all parties that the Operational Trial services and products will be delivered in three Steps (referred to in the Replan Level 0 as "stages"). It should be noted that the Horizon three Step approach is not accepted by ICL Pathway. Each Step will be subject to a separate Acceptance activity, culminating in eventual Acceptance of the Operational Trial Services and Deliverables as a whole, when all contracted obligations have been met.
- 2.1.2 The contents of Pathway New Release 2 are fully defined at Reference 4.
- D.N. The assumptions cited here and the breakdown of Acceptance into three Steps may be altered as a result of the replanning and contract renegotiations which are ongoing.
- 2.1.3 The working assumption is that Acceptance Step (1) for ICL Pathway New Release 2 (NR2) Single Benefit will take place once ICL Pathway has demonstrated:
- that ICL Pathway NR2 working against a single benefit Child Benefit (ChB) meets contracted obligations;
 - the Proof of Concept of mobile counter configuration (for outlets at which Horizon equipment cannot be installed in a permanent position or are installed in vehicles);
 - satisfactory progress in developing NR2+;
 - that a satisfactory stage has been reached in preparing for Acceptance Step 2.

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- 2.1.4 Acceptance Step (2) for ICL Pathway NR2 Multiple Benefits will take place once the ICL Pathway has demonstrated:
- that ICL Pathway NR2 meets contracted obligations when working against multiple benefits [ChB, Income Support (IS), Job Seeker's Allowance (JSA) and Retirement Pension (RP)]; and
 - the proof of concept for NR2+.
- 2.1.5 The contents of Pathway New Release 2 are fully defined at Reference 5.
- 2.1.6 Acceptance Step (3) for ICL Pathway NR2+ will take place once ICL Pathway has demonstrated that NR2+ operates against multiple benefits in accordance with contracted obligations.
- 2.1.7 All Acceptance activities are directed to Contractual Acceptance. Contractual Acceptance of the Operational Trial Services and Deliverables has significant implications to the Programme as payment guarantees come into force, rights of termination are effected and service levels and remedies apply. Note however, the working assumption that on Acceptance of Step 1, the Authorities' termination rights for failed Acceptance of the Operational Trial System for Step 2 will not be surrendered.
- 2.1.8 In the development of the project, the Authorities' Agreements have been divided into 24 Acceptance Specification documents. Although the DSS has argued that Acceptance of the Operational Trial System should be considered against a single logical Acceptance Specification for each of the three Acceptance Steps, this is not the contractual position. Acceptance Tests against an Acceptance Specification may begin as soon as that Specification has been signed-off as agreed by the Authorities and the Contractor. The Acceptance Specifications for Step 1 have been developed by ICL Pathway against the Service Architecture Design Document (SADD) version 4 [Reference 6] to cover NR2. The Acceptance Specifications for the Operational Trial include Operational Trial Criteria derived as required by Authorities Agreement Schedule C3.
- 2.1.9 The drafting of the current Acceptance Specifications had assumed that NR2 would be operating against multiple benefits. Step 1 NR2 Technical Tests and End to End (E2E) Tests will be conducted against multiple benefits. Model Office Test and Live Trial will not test against multiple benefits. Since the Step 1 Model Office Test and Live Trial acceptance conditions will differ from those for Step 2, modified and additional Acceptance Specifications will be required for the Step 2 testing of NR2.
- 2.1.10 The process for the development, review and sign-off of those amended and additional Acceptance Specifications will follow those used earlier and managed by Horizon to minimise delays by all parties.
- 2.1.11 These and other definitions used during Acceptance are listed at Annex A. The definitions are intended to reflect the usage in the Horizon Acceptance processes. and complement the definitions in use in the Related Documents.

2.2. Objectives of Acceptance

2.2.1 The strategic Horizon Acceptance Objectives, on behalf of the DSS and POCL, are:

- To fully recommend acceptance of the ICL Pathway Deliverables and Services only if key contracted obligations are met.
- To provide the means by which the Contracting Authorities may agree with ICL Pathway that they are capable of delivering the Services contracted for in the Related Agreements.
- To ensure that the Authorities termination rights and other remedies in the event of Failed Acceptance are not diluted.
- In the event of Failed Acceptance, to ensure that the provisions allowing for a cure period may be properly followed. (For example, in the context of the Operational Trial, failure to cure could lead to termination of the contract).
- In the case of less than complete Acceptance to ensure that the Authorities are able to accept such part of the Operational Trial System as the Authorities may decide and to provide the mechanisms where pro-rated charge or otherwise arrangements may be agreed.
- To maintain synchronisation with the Release Management processes which run in parallel with Acceptance.

2.3. Assumptions

D.N. The assumptions cited here and the breakdown of Acceptance into three Steps may be altered as a result of the replanning and contract renegotiations which are ongoing.

2.3.1 In producing this plan the assumptions outlined in the following paragraphs have been made in addition to those made about the three Step Acceptance process detailed above.

2.3.2 Acceptance must follow the procedures defined in the Related Agreements as amended by formal change control. This plan is based on the assumption that the evolution of Acceptance of the Operational Trial into a 3 Step process is agreed by all parties and the Related Agreements are amended under change control. Failing that agreement, this plan will be amended where applicable..

2.3.3 The Related Agreements are contractually binding and any proposed changes, before becoming valid, must be formally agreed by the relevant parties via formal change control.

2.3.4 Contractual Acceptance of the Operational Trial Services and Deliverables constitute confirmation by the Authorities to ICL Pathway that contracted obligations for the Operational Trial system have been met. Acceptance at the end of Steps 1 and 2 of the Operational Trial constitutes confirmation to ICL Pathway that they have met their contracted obligations for that Step of the Operational Trial, and that they have made satisfactory progress in the outstanding Step(s).

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- 2.3.5 ICL Pathway are responsible for producing a Testing and Integration Strategy for the Operational Trial, the Operational Trial Acceptance Specifications and the Acceptance Criteria contained within them.
- 2.3.6 The Authorities are responsible for providing Acceptance Test Conditions (although in the event, those for the Technical Test have been produced by ICL Pathway). (It should be noted that Acceptance Test Conditions have been developed for Model Office Test and End to End Test and are being developed for Live Trial. It is expected that this process will be repeated for the changing scope of Steps 2 and 3.)
- 2.3.7 ICL Pathway are responsible for the production of Business Threads, High Level Test Plans and Test Scripts to meet the Test Conditions.
- 2.3.8 The Acceptance Specifications, High Level Test Plans and Test Scripts are based on the ICL Pathway design for Release NR2. Thus:
- The Acceptance Specifications are Release specific (and may be Acceptance Step specific) and may not represent the contracted obligations;
 - The Acceptance Specifications, and all subordinate documents will have to be checked before use in later Steps of Acceptance. Where required, this will entail a repeat of the Acceptance Specification review and agreement process managed by Horizon.
- 2.3.9 Horizon are responsible for managing the agreement of the Acceptance Specifications.
- 2.3.10 ICL Pathway are responsible for writing all Test Scripts and for designing and organising the majority of tests which occur during the Operational Trial. Outline details of those tests which involve Acceptance [extracted from Reference 7] and notes on Joint Testing [Reference 8] are at Annex B. ICL Pathway are also responsible for supporting the Model Office Test
- 2.3.11 Either Authority may at any time request that additional Acceptance Tests be performed. The conditions under which additional tests might be sought would be where the tests conducted by ICL Pathway failed to provide adequate evidence that a Test Condition had been met.
- 2.3.12 Horizon is responsible for ensuring suitable attendance for the Acceptance Trials and Reviews.
- 2.3.13 During the course of the Acceptance Trials, effective management procedures will be in place to ensure that Acceptance Incidents are managed to resolution in known versions of software, and for effective retesting and configuration management. The procedures will produce an audit trail through which it is possible to track from incident to resolution, identifying each test and software version involved. Up to date management information, and the audit trail will be made available to the Horizon Test Manager, Horizon Acceptance Manager, DSS Acceptance Manager, DSS Audit, the Horizon Acceptance Incident Manager and/or relevant Horizon Acceptance Test Manager.

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2.4. Acceptance Testing Timetable

2.4.1 The outline high level timetable based on the ICL Pathway and Horizon Programme Replan documents [Reference 3] is shown at Figure 1 below. D.N. This timetable will be refined to reflect the outcome of the current contractual negotiations and the agreed Horizon Critical Path Plan [Reference 20].

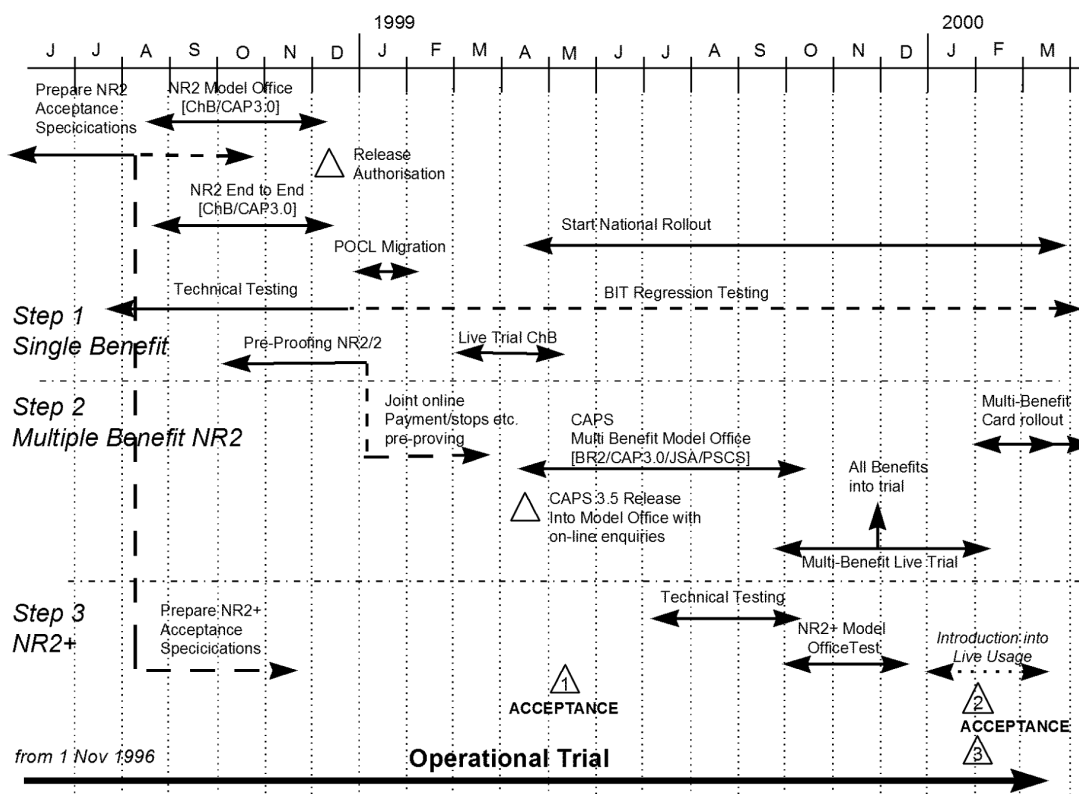


Figure 1 - Overall Timetable for Operational Test

2.4.2 It should be noted that the definitions of the contents of NR2 and NR2+ (References 4 and 5) include a number of specific exclusions which will not form part of Acceptance Tests.

2.4.3 More detail of the timetable is held in the Horizon Master Plan [Reference 3]. An extract giving detailed timetable for Acceptance activities is at Annex B (D.N. To be added after replanning is completed.)

2.5. Overview of Acceptance Process

2.5.1 The structures involved in the Acceptance process and the outline responsibilities of the various groups involved are summarised at Figure 2 below. The processes involved are developed further in this paper.

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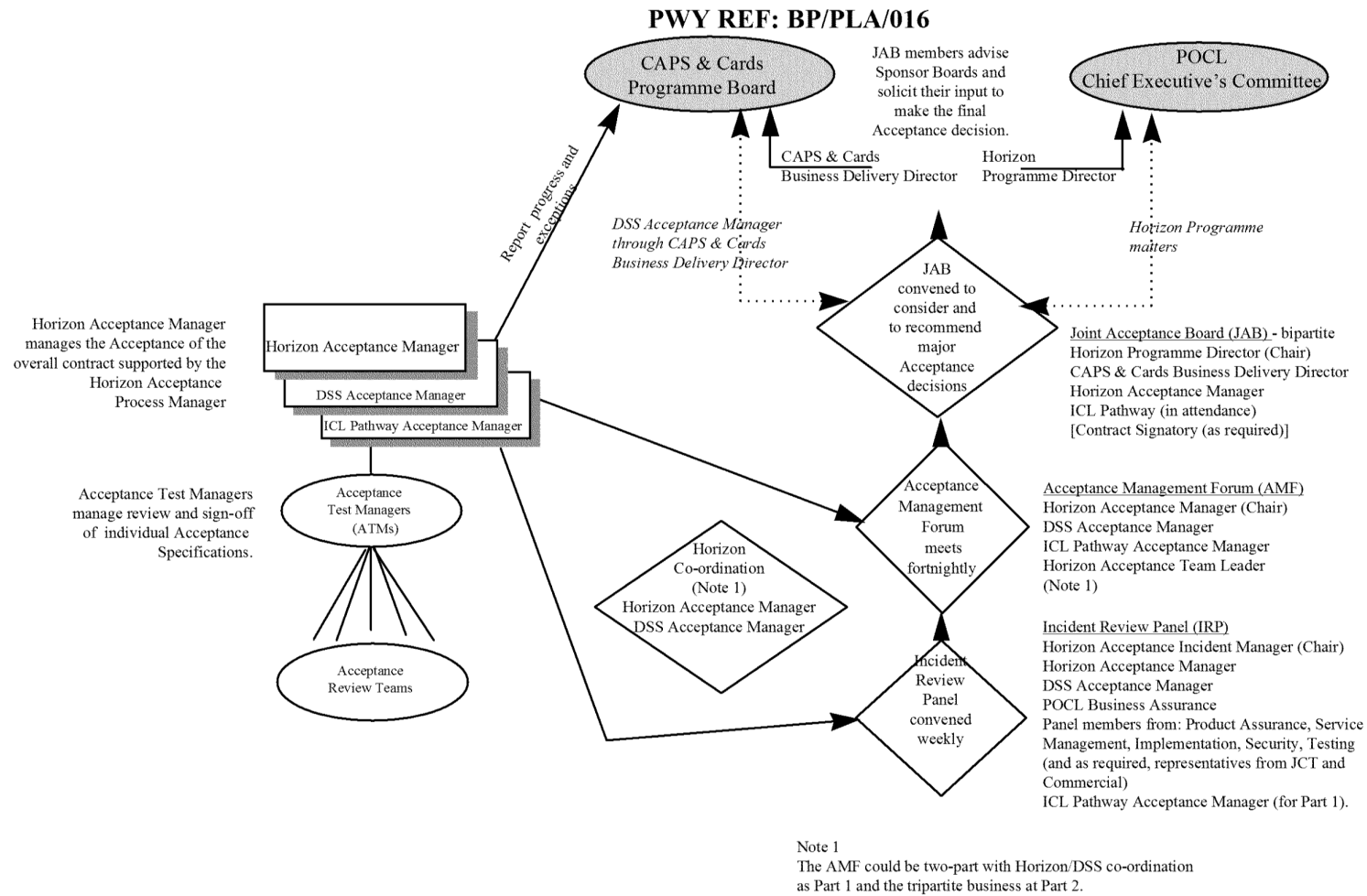


Figure 2 - Overview of the Structures and Responsibilities for the Acceptance Process

3. ACCEPTANCE TEST METHODS

3.1. Acceptance Process

- 3.1.1 Acceptance is a process for assessing the functionality and performance of the ICL Pathway Services and the Service Infrastructure prior to National Rollout. Each Step of Acceptance has three parts: Technical Test, Model Office Test (MOT), End to End Interface Test (E2E) and Live Trial, save that Step 3 ends with Introduction into Live Service, rather than Live Trial.
- 3.1.2 Acceptance Specifications produced by ICL Pathway in fulfilment of a contractual obligation, but to be agreed by the Authorities, refer also refer to Technical/Security Testing, Business Integration Test (BIT) and System Test. These are ICL Pathway owned tests which have their own High Level Test Plans, and form part of Acceptance Trials. Horizon will seek visibility of the HLTPs and LLTSs for Technical Tests on behalf of the Sponsors and to confirm that these test documents are under firm change control.
- 3.1.3 The ICL Pathway approach to business and technical testing is outlined within the Principles of Acceptance Trials for ICL Pathway Release NR2 [Reference 8].

3.2. Acceptance in Steps

- 3.2.1 Step 1 Acceptance Tests will be conducted on the MOR 3 version of Release NR2 and include a Technical Test which is common to Steps 1 and 2. Step 1 also includes stand-alone MOT, E2E Test and Live Trial. MOT and Technical Testing can overlap but should finish in sequence.
- 3.2.2 Step 2 Acceptance Tests will be conducted on a later version of Release NR2 and include the Technical Test which is common to Steps 1 and 2. Step 2 also includes its own stand-alone MOT and E2E Test and Live Trial of Multi-Benefits. MOT and Technical Testing can overlap but should finish in sequence.
- 3.2.3 Step 3 Acceptance Tests will be conducted on Release NR2+ and include Technical Test and stand-alone MOT, E2E Tests and Introduction into Live Usage. MOT and Technical Testing can overlap but should finish in sequence.

3.3. Technical Test

- 3.3.1 Technical Test is the first phase of each Step to ensure that the ICL Pathway solution for that stage meets the performance, volume, resilience and operability requirements of the BA/POCL programme. The objective of the Technical Test in all three Steps is to confirm that the underlying elements of the Services and the Service Infrastructure function correctly and to confirm their readiness for the MOT.
- 3.3.2 The E2E Interface Trial was originally ex-contractual but, having been included in the Replan proposals, it is assumed that it will be included in the Contract under change control.

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- 3.3.3 If that is the case, it is assumed that the E2E element of Integration Test will be conducted in association with Model Office Rehearsal (MOR). The assumed overall objectives for the performance of E2E centre on the bringing together of the IT functionality across all the participating systems, with the operational and business procedures, to form an overall business system. E2E and MOR activities are planned and scripted together, run on the same environment, and involve the same personnel. E2E forms a natural extension of Direct Interface Test (DIT). It is run in parallel with, but separate from, MOR.

3.4. Model Office Test

- 3.4.1 Model Office Test (MOT) is the second phase of each Step of Acceptance. MOT is a further test of the Pathway system to provide evidence as to whether the contracted obligations to both parties have been met. It uses simulated data and as near lifelike arrangements in a production like environment using actual. Tests are conducted to ensure the system and manual business processes interact through the use of training and procedures to meet the overall business needs of the BA/POCL programme. MOT is designed and run by Horizon in co-operation with ICL Pathway.
- 3.4.2 The objective of the MOT is to test the Services and the Service Infrastructure in an environment which simulates (as far as possible without using live operational data) the live operation of the end to end Services and the Service Infrastructure, and to confirm their readiness for the Live Trial. [Reference 21]

3.5. End to End Interface Test

- 3.5.1 The End to End Interface Test has been designed to ensure that the integrity of data remains intact when all systems, including, Pathway, are linked together throughout the End to End environment. The tests are also required to test some of the lengthier business procedures across the business domains. User procedures will be used for tests which cannot be covered during Model Office Rehearsal and Model Office Test. [Reference 21]
- 3.5.2 The End to End Interface Test has been designed jointly by representatives of both systems and business processes working jointly with ICL Pathway and other external system representatives.

3.6. Live Trial

- 3.6.1 Live Trial, outlined at Reference 11, is the third stage of the first and second Steps in Acceptance and runs over a core period of 11 weeks. The main elements are:
- the implementation and operation of the Live Trial services, that is the full core services to be implemented which support the assessment of other areas including POCL implementation, Service Management, Transaction Timings and Invoice Production;
 - reporting success to Release Management in order for them to authorise the next release processes;

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- identification of improvement opportunities for the ICL Pathway and Sponsor services and support for Sponsor's benefit realisation work.

3.6.2 The objective of the Live Trial shall be to test the Services and the Service Infrastructure with operational data, Users and Customers, to confirm that the Services and the Service Infrastructure function in the live environment, and to confirm their readiness for national Roll-Out.

3.6.3 The number of Outlets involved in the Live Trial is defined in the controlled document entitled "Delivery and Implementation during the Operational Trial Period". At present the Live Trial is to involve the 204 existing Outlets plus 100 new Outlets.

3.7. Decision Making - Acceptance of the Release

3.7.1 Each Step will have a final phase which will be the decision making processes of Horizon and the business Sponsors regarding the Acceptance of the Release. This is dealt with in the document dealing with the third Step of Acceptance - Contract Acceptance [Reference 19]. D.N. This paper will be developed and issued following the outcome of the replan.

3.8. Contract Acceptance

3.8.1 At the end of Step 3, the formal Contract Acceptance processes will include:

- the negotiation with ICL Pathway of any service elements requiring partial acceptance;
- formal Contract Acceptance of the Operational Trial.

3.9. Audit of Testing and Witnessing Strategy

3.9.1 At the request of its Sponsors, Horizon initiated a tripartite audit of the ICL Pathway testing process under Terms of Reference approved by the Acceptance Management Forum [Reference 22].

3.9.2 The audit team have recommended in their report [Reference 23] that witnessing in relation to contract Acceptance should be defined with its objective and scope as follows.

- Objective: As part of the contract Acceptance process, to utilise an opportunity available to the Authorities to obtain independent and objective information from the performance and results of Pathway testing that the underlying elements of the Service and Service Infrastructure function correctly.
- Scope: Operating within the Technical Testing stage of Acceptance Trials.

3.9.3 The audit team recommended that the Witnessing strategy to be adopted is selective witnessing of priority Acceptance areas in services and/or functionality that the Authorities believe to be of crucial importance, or where there are known or perceived problems in ICL Pathway's ability to deliver the functionality. The resulting approach to witnessing being a combination of "Process and Content Witnessing"

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involving a mixture of forward looking and retrospective examination.

- 3.9.4 In the event, the Acceptance Management Forum have agreed to concentrate on the “Content” witnessing of remaining Acceptance Trials, of any Acceptance elements of continuing ICL Pathway testing (such as the BIT Regression Tests) and of course during the Model Office and End to End Interface Tests and the Live Trial.
- 3.9.5 The detailed processes for witnessing of Acceptance Trials and the conduct of Acceptance Reviews are detailed at References 16 and 24 respectively.

4.

ACCEPTANCE TEST ACTIVITIES**4.1. Acceptance Trial**

- 4.1.1 Acceptance Trial is one of two methods of testing the acceptability of a Deliverable or Service (the other being Acceptance Review). Descriptions of one or more Acceptance Trials will be included as part of each Acceptance Specification. These Acceptance Trials can consist of one or more inspections, demonstrations, running real or simulated operational workloads, monitoring the service or presentations.

4.2. Acceptance Review

- 4.2.1 Acceptance Reviews cover any Acceptance scrutiny of the ICL Pathway products, deliverables and services that are not an actual Acceptance Trial. They include demonstrations witnessed by Horizon and Sponsor staff, site visits by Horizon and Sponsor staff, presentations to Horizon and Sponsors, etc., in addition to the actual review of Deliverable documents and other items. See Reference 24.

4.3. Acceptance Specifications

- 4.3.1 The format for an Acceptance Specification is given in the Related Agreements and includes:
- a definition of its purpose and scope;
 - procedures for raising and resolving Acceptance Incidents. This will probably be a reference to a standard process and details of any deviations;
 - the Acceptance Period e.g. Live Trial;
 - the Deliverables and Services covered;
 - the acceptance method(s) to be used and thus the events to be organised e.g. Acceptance Reviews (Document Quality Reviews) or Acceptance Trials;
 - the Acceptance Criteria for each Deliverable or Service (the requirements), and the associated Acceptance Test Conditions;
 - guidelines for analysing Acceptance Incidents;
 - test data for Acceptance Trials;
 - Authorities responsibilities and resources required for each Acceptance Trial/Acceptance Review.

4.4. The Acceptance Implications of Replan

- 4.4.1 As outlined earlier, the Replan has effectively divided Acceptance into three Steps. The implications of this are:

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- that Acceptance will be a much longer activity and will require additional resources;
- the Acceptance Specifications, HLTPs and other supporting documentation may have to be revised, reviewed and the revisions signed-off for the second and third Steps, prolonging the Acceptance preparation activities, in parallel with execution on earlier Steps;
- there may be further adjustments if and when the contracted Acceptance obligations are contractually altered under current change control activity and commercial negotiations.

4.4.2 The creation of two additional Steps requires additional work in revising and reviewing documents, obtaining witnesses and other resources and completing reports. The Acceptance Management Forum [defined in Reference 14] is now in existence and will direct the co-ordination of these new activities.

4.5. The Acceptance Process

4.5.1 The essential process of each Step of Acceptance is considered to occur in three phases illustrated at Figure 3 below. There are other associated processes not shown in the interests of simplicity.

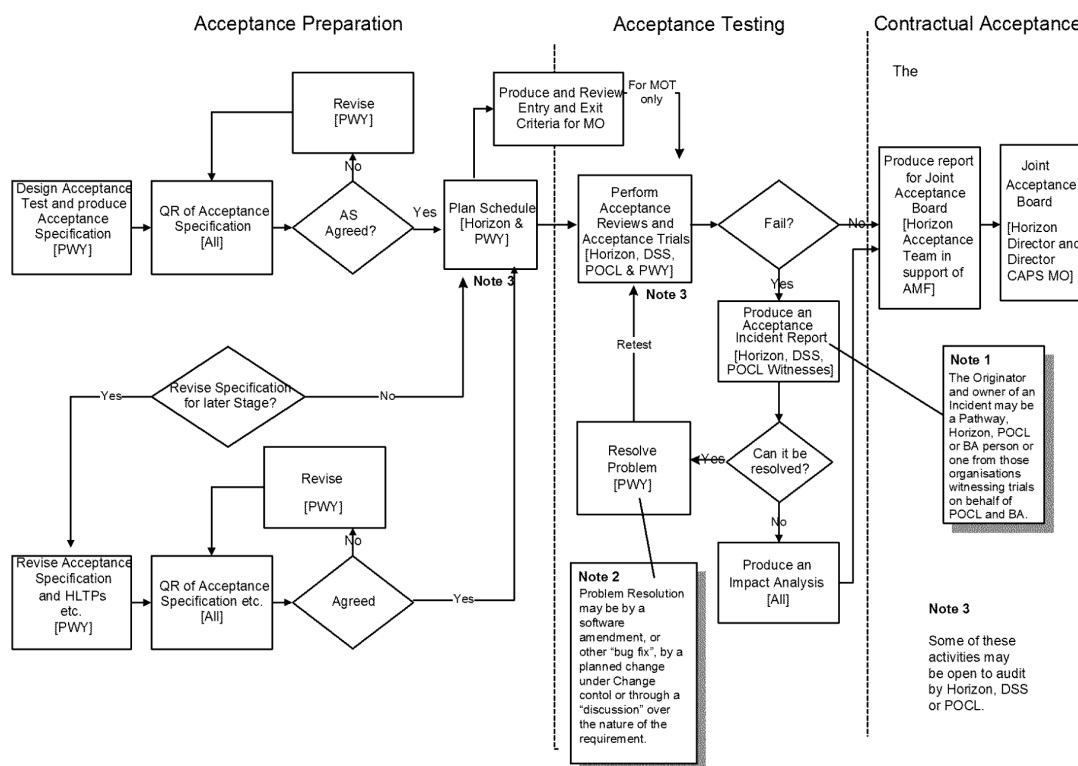
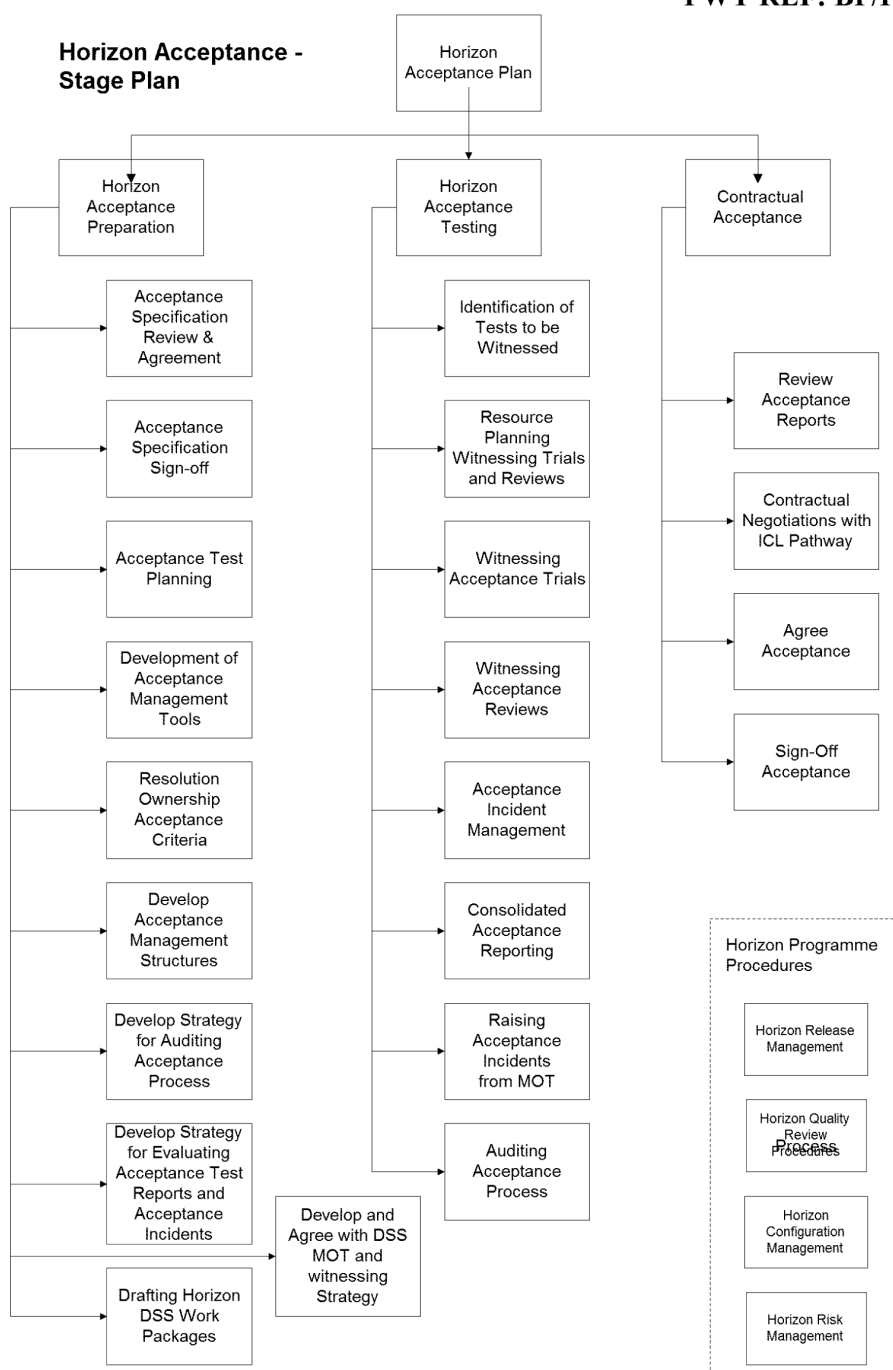


Figure 3 - The Horizon Acceptance Process

4.5.2 These phases have been used as the basis of the Stage Plan for the Acceptance of ICL Pathway which is shown at Figure 4 below.

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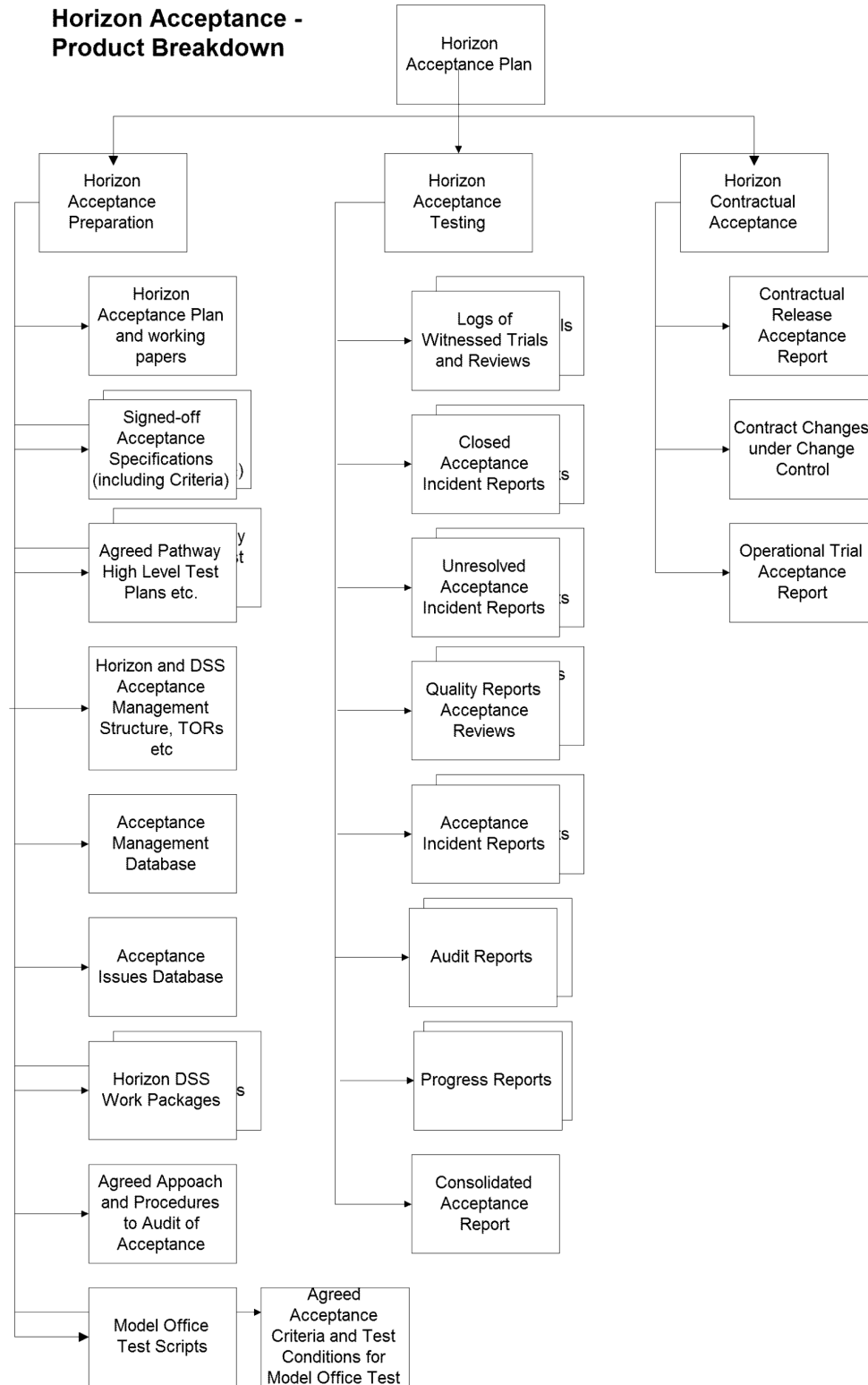
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*Figure 4 - Horizon Acceptance Stage Plan*

- 4.5.3 Each Step of Horizon Acceptance of the Operational Trial of ICL Pathway will be conducted in the phases described below, each of which has associated Horizon Acceptance Products as shown at Figure 5 below. The overall view of the main processes involved is shown at Figure 6 - the bold entries indicating those Horizon processes described in this paper.

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*Figure 5 - Horizon Acceptance Product Breakdown*

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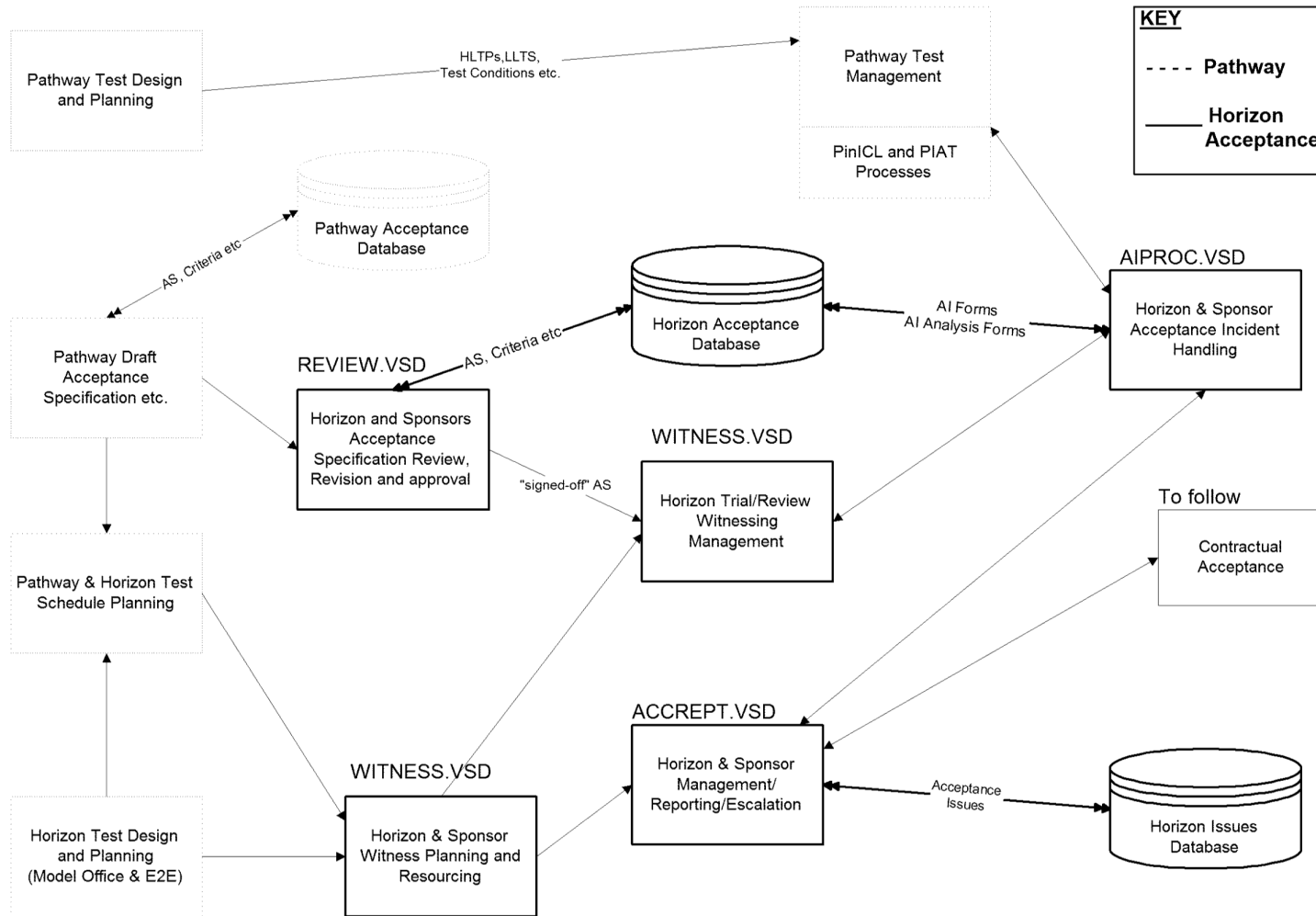


Figure 6 - Overall View of Horizon Acceptance Processes

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4.6. Horizon Tasks During Acceptance

- 4.6.1 As explained above, each Step in the Acceptance process involves three phases of work; Preparation, the actual Testing and Contractual Acceptance activity. The next three sections detail the processes in those phase in some detail.

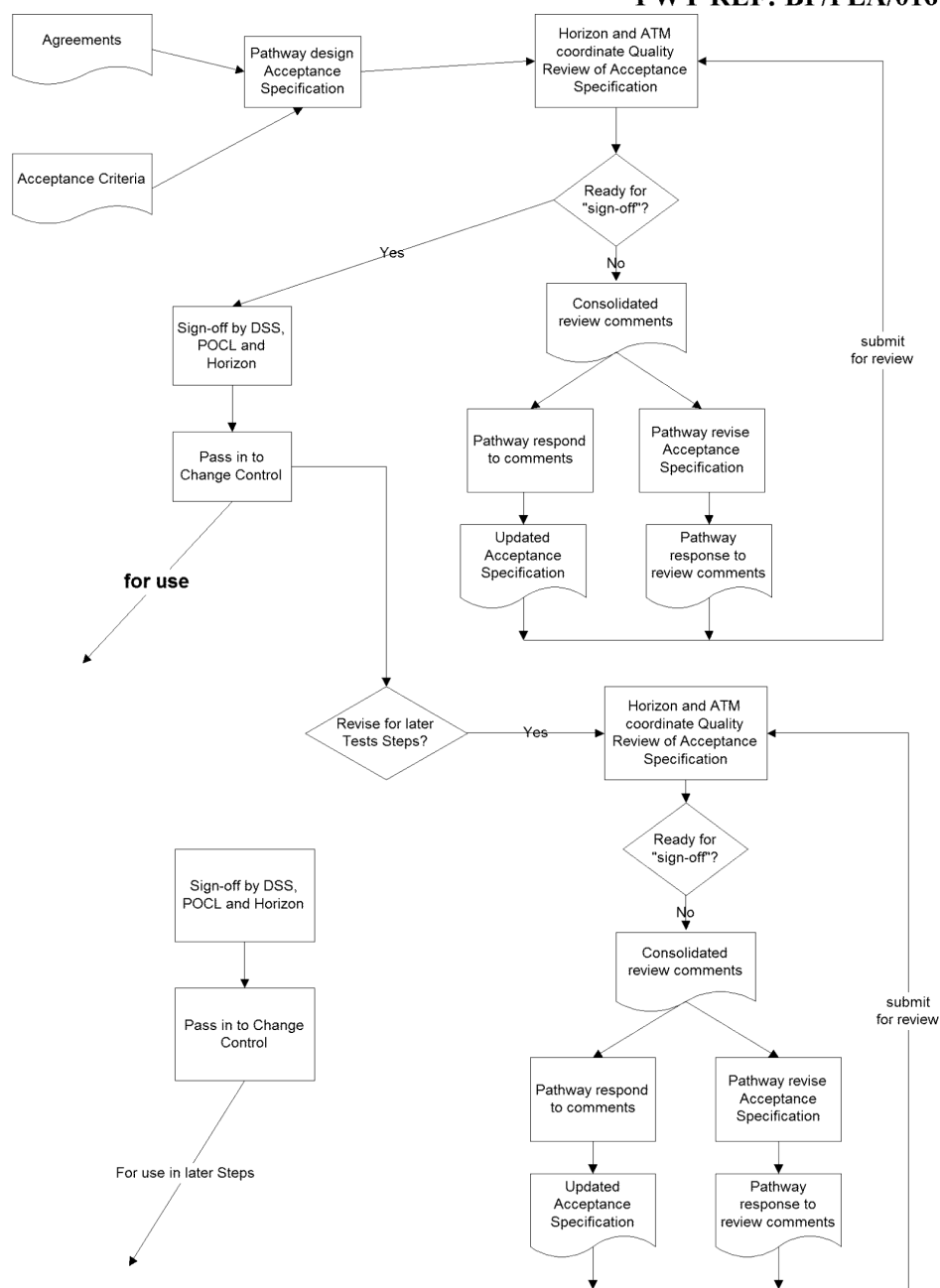
5. PHASE 1 - PREPARATION FOR ACCEPTANCE

5.1. Acceptance Specifications Review and Agreement

- 5.1.1 During this stage the Acceptance Specification for each Acceptance Test is produced by ICL Pathway and then delivered to Horizon [formerly the PDA] for review and agreement by the Authorities. The processes involved are shown at Figure 7 below.

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*Figure 7 - The Acceptance Specification Review Process*

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- 5.1.2 The initial stages are the development by ICL Pathway of the Acceptance Specification, together with other associated documents from the Agreements and the Acceptance Criteria.. In some cases new Acceptance Criteria have been developed to represent new requirements of the changes in the solution which have been mutually agreed between Horizon and ICL Pathway. The Acceptance Specifications are delivered to the Horizon Team for recording in the Horizon Library and for the formal review process.
- 5.1.3 Horizon conducts a formal quality review using a panel of reviewers from relevant parts of the Sponsor organisation or organisations; their activities and the collation of comments being the responsibility of the nominated Horizon Acceptance Test Manager. DSS reviews and comment collation are co-ordinated by the DSS Acceptance Manager. POCL reviews and collation are the responsibility of POCL Business Assurance. The review, consolidation of comments and subsequent negotiations with ICL Pathway are managed by a nominated “document guardian”, more correctly the Acceptance Test Manager.
- 5.1.4 If there is consensus that the Specification is fit for purpose in the Acceptance process the Acceptance Test Manager and their ICL Pathway opposite number will notify those concerned that the Specification is ready for “sign-off” and submit the document into Change Control. The agreed document will then be published for use.
- 5.1.5 If the DSS, POCL and Horizon reviewers believe that the Specification is incomplete or inadequate they will complete quality comment sheets spelling out the deficiencies, the reasons for the comments and, if possible, suggested changes. The reviewer's responses are channelled through the Acceptance Test Manager and passed back to ICL Pathway in a consolidated format.
- 5.1.6 ICL Pathway then analyse the consolidated comments. ICL Pathway can then accept the comments and make appropriate changes or respond to the reviewers comments, explaining reasons for rejecting the comments. At the same time, ICL Pathway will produce and issue a revised version of the Acceptance Specification and an updated consolidated review sheet indicating their responses. The ATM will then distribute the new version and review sheet.
- 5.1.7 The review process is usually conducted in two cycles before ICL Pathway issue the final version of the Acceptance Specification for approval by the Authorities and entry into the Change Control process.
- 5.1.8 The process for agreeing these Acceptance Specifications is based on the standard Horizon Quality Review Process [Reference 13].
- 5.1.9 Products in this stage include:
- Acceptance Specifications which are agreed by both ICL Pathway and the Sponsor or Sponsors and ready for submission into Change Control for “sign-off” and use in Acceptance Testing.
 - agreed supporting Acceptance documents under ICL Pathway configuration management (High Level Test Plans, Low Level Test Scripts, SADD etc.)
 - Agreed Acceptance Criteria.

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5.1.10 This stage has the following external dependencies:

- timely preparation and completion of Acceptance Specifications and supporting documents by ICL Pathway;
- competent, timely and comprehensive staged reviews of Acceptance Specifications by DSS and POCL reviewers;
- timely preparation of acceptable supporting documentation (HLTPs, BTs etc.) under configuration control for the Acceptance Tests by ICL Pathway;

5.2. Acceptance Specifications in Dispute

5.2.1 Some Acceptance Specifications have not been completely agreed and signed-off by the agreed start date for Acceptance Tests in mid October 1998. Faced with the delay in obtaining agreement to the Specifications, the contracting Authorities have indicated that they would be willing to agree to ICL Pathway commencing Acceptance Testing without approval of the relevant Acceptance Specification or Specifications. As part of that agreement, ICL Pathway would consider including any additional Acceptance Tests identified after the start date within a subsequent stage of regression testing or fitting outstanding Acceptance Tests as part of Acceptance Reviews.

5.2.2 At a meeting between the Horizon Acceptance Manager and ICL Pathway Acceptance Manager on 2 September 98, it was agreed that, wherever possible, the Acceptance Tests should be conducted against complete and signed-off Acceptance Specifications. Failing that, the Acceptance Tests and Reviews should be conducted against caveated Acceptance Specifications and the test results include the requirement for retesting against any missing, deficient or disputed Acceptance Criteria.

5.2.3 The procedure for dealing with those issues and Acceptance Criteria omitted from the caveated Acceptance Specifications will be:

- ICL Pathway to continue to accept comments from the ongoing review of Acceptance Specifications. But this is not a “licence” for Horizon or its Sponsors to reopen those Acceptance Specifications which have been “agreed” or “published for approval”.
- ICL Pathway will add additional criteria to the Acceptance Specifications and map to HLTPs where appropriate tests exist.
- If tests do not exist, ICL Pathway will suggest alternative means for Sponsors to gain the necessary evidence - possibly through Acceptance Reviews.
- In the event that no appropriate existing Acceptance Trial or Review is available then ICL Pathway will create a test which can be executed during the Business Integration Test (BIT) regression phase, following completion of the MOT but before commencement of the Live Trial. It should be noted that the extensions to BIT may not be accomplished before the start of Live Trial;
- It may also be possible to run deferred tests in the later Steps.

5.3. Review for Completeness

- 5.3.1 The Acceptance process consists of detailed analysis which, when amalgamated, will allow the sponsors to form an overall view of proposed Acceptance Tests. The Acceptance Database [Reference 18] will be the main tool to check the completeness of the proposed tests, using full set of agreed Acceptance Specifications in order to identify gaps.
- 5.3.2 Work is in progress, under Reference 10 and follow-on gap analysis, to identify gaps through the gap analysis, but only when all of the Acceptance Specifications have reached maturity may suspected omissions be confirmed. Horizon are maintaining an ongoing dialogue with ICL Pathway throughout the preparation stage in order to minimise the number of gaps which may be identified late. However, some issues will only be confirmed towards the end of the Acceptance preparation stage, and others may be revealed as the Acceptance process is under way.

5.4. Acceptance Specification Sign-off

- 5.4.1 Once each of the Acceptance Specifications are approved by all three parties, the comments will be consolidated at Horizon and then reported up the DSS and POCL Acceptance hierarchy, with a recommendation to submit to Change Control for “sign-off” for each of the 23 specifications.
- 5.4.2 Products in this stage include:
- Signed off Acceptance Specifications.

5.5. Acceptance Planning

- 5.5.1 This stage involves:
- the establishment of the Horizon Acceptance Team, including the Acceptance Test Managers;
 - the preparation of this document, the overall Acceptance Stage Plan;
 - drafting of Stage Plans and other documents for the remaining Acceptance processes, including Acceptance Incident Management;
 - development of the Horizon Acceptance organisation including Terms of Reference for the Horizon Acceptance Boards and Job Descriptions for all of the main Acceptance roles;
 - development of a Horizon and BA body dealing with Acceptance issues of mutual interest;
 - the development of the Horizon organisation to include all Horizon related Acceptance activities;
 - development of the Horizon Acceptance management tools, including
 - Horizon Acceptance Database;

- Horizon Acceptance Forms;
- Horizon Acceptance Files for subsequent audit purposes.

5.5.2 Products of this stage are:

- Complete and Approved Horizon Stage Plan for the Management of Acceptance [this document];
- Horizon Acceptance Management Organisation [Reference 14].

5.6. Development of Acceptance Management Tools

5.6.1 The Horizon Acceptance Team will develop the following Acceptance Management Tools:

- The Horizon Acceptance Management Plan (this document);
- A set of subordinate plans and procedures to cover all three phases of Acceptance;
- The Horizon Acceptance Database (using both Access 2 and Access 95 applications) outlined in Reference 18;
- An Acceptance Incident element of the Horizon Acceptance Database also outlined at Reference 18;
- The Horizon Acceptance Database, described at Reference 18.

5.6.2 Products of this stage are:

- Terms of Reference for all Horizon Acceptance Management bodies [Reference 14];
- Horizon Acceptance Database [Reference 18];
- Horizon Issues Database[Reference 18].

5.7. Resourcing for Acceptance

5.7.1 This stage requires the Horizon Acceptance Team, together with the BA Acceptance Manager and contacts in the POCL Business and Technical Assurance groups to identify the resources required to carry out the witnessing of Acceptance Trials and Reviews, whose principles are discussed at Reference 15. Since the resources available are known to be limited, there may a need to prioritise the Acceptance Trials in order to target those offering greatest benefit to the Acceptance effort.

5.7.2 The priorities for witnessing and the co-ordinated resourcing of the witnessing tasks will be managed by the Horizon Acceptance Management Team on behalf of the Acceptance Management Forum.

5.7.3 This stage has the following external dependencies:

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- Adequate supplies of staff with appropriate technical and/or business skills from Horizon and its Sponsors;
- Timely provision of the ICL Pathway detailed timetable for conducting Acceptance Tests.

5.7.4 Products of this stage are:

- Confirmed resources for the conduct of all Horizon Acceptance Trials and Reviews
- Working timetable for the witnessing of Trials and Reviews.

5.8. DSS Work Package Drafting

5.8.1 This stage requires Work Packages to be drafted in the DSS standard for DSS approval for all Horizon Acceptance work on behalf of the DSS.

5.8.2 Products of this stage are a set of completed and accepted DSS Work packages.

5.9. Model Office Test and End to End Interface - Acceptance Criteria

5.9.1 Responsibility for Acceptance Test for the MOT and E2E Interface lies not with ICL Pathway, but with Horizon. This includes the need for clear definition of Test Conditions and Acceptance Criteria, including entry and exit criteria for the MOT.

5.9.2 MOT and E2E Interface do not involve the use of a contractually controlled Acceptance Specification. Acceptance Incident reports may still be raised during MOT and E2E, but they will not include a reference to an Acceptance Specification.

6. PHASE 2 - ACCEPTANCE TESTING**6.1. Introduction**

6.1.1 This main execution phase will consist of a number of Acceptance Tests, documented in the Acceptance Specifications, which can consist of Acceptance Trials or Acceptance Reviews or in some cases a combination of the two. In general the Acceptance of Services will be by Acceptance Trial and the Acceptance of Deliverables will be by Acceptance Review. Details of the Horizon process for the handling of Acceptance Trials is given at Reference 16. The conduct of Acceptance Reviews is detailed at Reference 24.

6.1.2 The underlying principle is that Acceptance Testing (performing Acceptance Trials and Acceptance Reviews) happens only once unless an Acceptance Incident occurs that requires a change and retest.

6.1.3 All Acceptance Trials or Acceptance Reviews undertaken in collaboration with ICL Pathway will be listed in one of the agreed Acceptance Specifications or will be part of a subsequently agreed change to an Acceptance Specification.

6.1.4 The outcome of an Acceptance Trial or Review is either a pass or a fail (a deficiency);

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the definitions of which take into account the severity of Acceptance Incidents which have occurred during the Trial or Review. If no Acceptance Incidents are raised to record deficiencies, then the Service or Deliverable will be deemed to have been accepted. The outcomes of these events need to be carefully recorded on the Acceptance Database by the Horizon Acceptance Support Team.

- 6.1.5 In the case of the MOT, where there is no ICL Pathway Acceptance Specification, Acceptance Incident Reports may be raised in the event of any incident occurring during the test which identifies a failure to meet any obligation under the Authorities' Agreements.
- 6.1.6 More details on the processes for handling Acceptance Incidents are given at Reference 17.

6.2. Acceptance and Release Authorisation

- 6.2.1 Whereas the Acceptance decision focuses on assessing whether the ICL Pathway delivered services meet the contracted obligations, Release Authorisation takes a broader view to assess the business viability of the delivered services. The key question for Release Authorisation is whether to proceed with the implementation of releases into the BA/POCL service environment (i.e. including appropriate POCL or DSS system releases). The decision to authorise the release of services into the defined environment requires a consideration to be given to the readiness of all parties to act as both supplier and customer in supporting and implementing these services in the prescribed environment.
- 6.2.2 It should be understood that although DSS retains joint responsibility for making the Release Authorisation decision with POCL, the Horizon Programme PID identifies the Horizon programme as having the responsibility for managing the Release Authorisation process. The procedures for Release Authorisation are detailed at Reference 25.
- 6.2.3 In this context it is envisaged that the Acceptance and Release Authorisation processes will be run in parallel and that although the basis for decision-making within each stream may utilise much common evidence, the two processes need to remain separate, coming together at specific points to influence decision making.

7. ACCEPTANCE TEST TASKS**7.1. Acceptance Trials**

- 7.1.1 As defined in the Authority Schedules, an Acceptance Trial consists of one or more of the following:
- inspection of any system used to provide a Service;
 - demonstration of any system used to provide a Service;
 - running a real or simulated operational workload on any system used to provide a Service;

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- monitoring provision of a Service over a trial period to verify performance to the Service Levels specified for the Service.
- 7.1.2 The scope and conduct of any Acceptance Trial is documented in the Acceptance Specification. It is contractually agreed that an Acceptance Trial may not commence until the Acceptance Specification has been approved by the Authority. However, in the case of caveated Acceptance Specifications, testing will be carried out against the agreed parts of the Specification.
- 7.1.3 Acceptance Trials can take many formats. The majority of them will be walk-throughs of the service and deliverables under examination type conditions, from a test not necessarily designed to satisfy a single Acceptance Specification and usually conducted on ICL Pathway premises. Those Trials may be witnessed as desired by Horizon and its Sponsors. Any other type of activity during Trials can be linked to an Acceptance Criteria if it in some way provides assurance to Horizon and its Sponsors.
- 7.1.4 The Horizon and Sponsor observers of Acceptance Trials are referred to as "witnesses".
- 7.2. Acceptance Reviews**
- 7.2.1 An Acceptance Review consist of one or more of the following:
- inspection of a Deliverable (e.g. a document) by one or more competent reviewers nominated by the Authority;
 - inspection by one or more competent reviewers nominated by the Authority of documentary evidence that a Service has been provided;
 - a meeting between the Authority and ICL Pathway at which one or more of the following occur:
 - Deliverables or documentary evidence are inspected;
 - a presentation is given by ICL Pathway;
 - the results of prior inspections, visits or presentations are reviewed and the outcome agreed;
 - a demonstration of a Service or Deliverable.
- 7.2.2 The scope and conduct of any Acceptance Review proposed shall be documented in an Acceptance Specification, and the Acceptance Review shall not commence until the Acceptance Specification has been approved by the Authority.
- 7.2.3 The process for the conduct of Acceptance Reviews is detailed at Reference 24. Acceptance Reviews of Deliverables will use the standard Horizon Quality Review process where this is relevant e.g. for a document review.
- 7.2.4 The Horizon, POCL and DSS personnel conducting Acceptance Reviews are also referred to as "witnesses".

7.3. Acceptance Incident Management

- 7.3.1 An Acceptance Incident is any unusual or undesirable occurrence, or any request for advice and guidance, which has been raised in writing, using the procedures set out in Reference 17, by Horizon, DSS or POCL witnesses to ICL Pathway in respect of an Acceptance Trial or Review. Acceptance Incidents may be raised by Acceptance Test Managers, by Horizon and Sponsor witnesses of Acceptance Trials or Reviews, or by ICL Pathway staff associated with Acceptance, by Horizon Service Management staff or others, such as Model Office testers.
- 7.3.2 Details of the Acceptance Incident Management process and procedures are given at Horizon Process for Handling Acceptance Incidents [Reference 17].

8. PHASE 3 - CONTRACTUAL ACCEPTANCE

- 8.0.1 Contractually the Joint Acceptance Board (which reports to the Boards of DSS and POCL) must confirm Acceptance of the Operational Trial to ICL Pathway within five working days of the end of the Acceptance Period (the end of Live Trial). [Details of this process and the management bodies involved, are still under review by the Acceptance Management Forum. When clarified, this section will be enlarged to reflect the agreed processes.
- 8.0.2 The process to be used in this third phase of the plan has still to be designed based on the principles set out in Reference 12. But essentially the phase is to enable the Joint Acceptance Board to make an informed decision as whether to formally accept the ICL Pathway Service and Products. The Horizon Acceptance Manager will produce a management summary for the Joint Acceptance Board which is extracted from the acceptance reports produced by each Acceptance Test Manager with the assistance of the Horizon Acceptance Team. Details of the impact assessment for any outstanding Acceptance Incidents will also be included in the management summary.
- 8.0.3 The Joint Acceptance Board will consider the Acceptance recommendations made to them and taking into account any other matters known by them, will make appropriate recommendations to the DSS CAPS& Cards Programme Board and the POCL Chief Executives' Committee. Those recommendations are likely to be either rejection, acceptance or partial acceptance of the ICL Pathway Services and Products. The decision of the two Sponsor Boards will then be passed to the Release Authorisation Board.
- 8.0.4 In this context, partial acceptance means where ICL Pathway have failed to meet the criteria for contractual Acceptance but that a negotiated route to the achievement of full service and contractual remedies can be agreed between the Authorities and ICL Pathway.

9.

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HORIZON ACCEPTANCE ORGANISATION**9.1. Structures Involved in the Acceptance Process**

9.1.1 The figure below is an overview of the structures and responsibilities for the Acceptance process. These are elaborated in Reference 14.

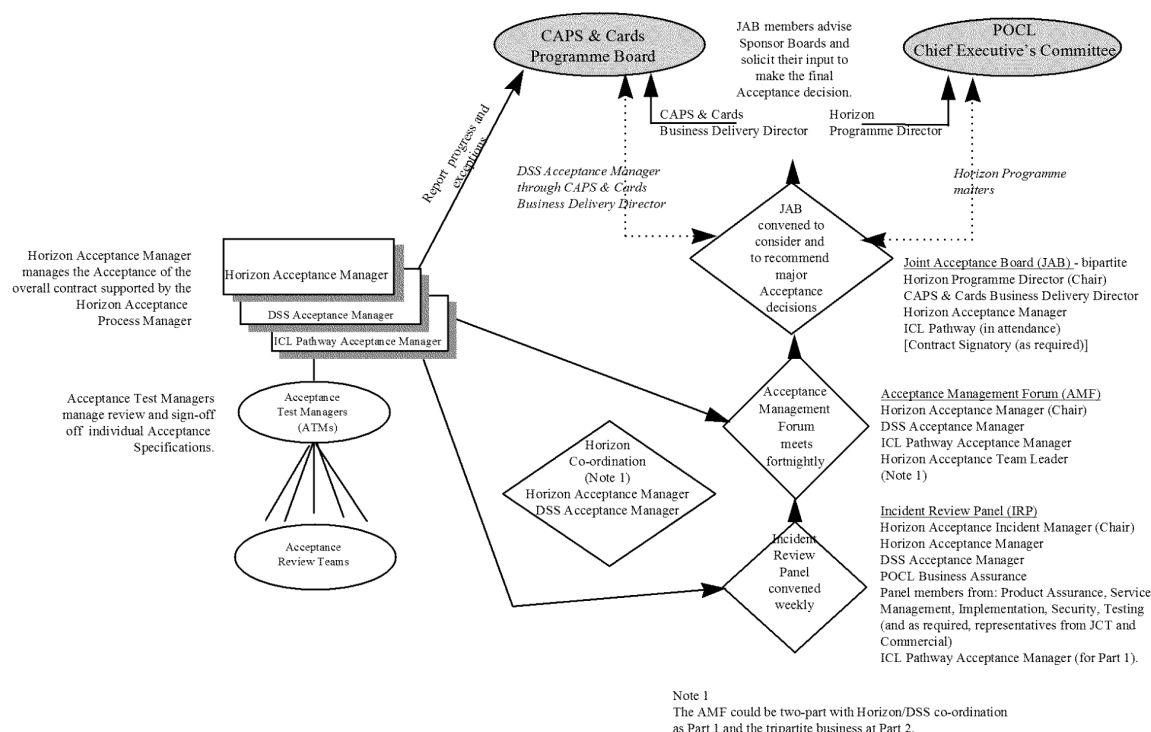


Figure 5 - Overview of the Structure and Responsibilities for the Acceptance Organisation

9.1.2 An outline of the Horizon Acceptance management organisation is given below.

9.2. Horizon Acceptance Manager

9.2.1 The Horizon Product Assurance Manager has the additional role of the Horizon Acceptance Manager. His task is to oversee the planning, co-ordination and facilitation of the Horizon Acceptance Process and ensure that all the business requirements in the Related Agreements are fully covered in a complete and comprehensive way. In addition he is charged with regular liaison with his fellow Acceptance Managers at the DSS and ICL Pathway. He is a member of several of the Horizon Acceptance boards. His duties are detailed at Horizon Acceptance Management Organisation [Reference 14].

9.3. Horizon Acceptance Team

9.3.1 Horizon have established a small Acceptance Team within the Product Assurance Group to support the management of the Acceptance process. Under the Horizon Acceptance Team Leader, the Horizon Acceptance Team includes the Acceptance Incident Manager, the Acceptance Process Manager and Acceptance Process support staff. More details of the roles and responsibilities of these staff are provided at

Horizon Acceptance Management Organisation [Reference 14].

9.4. Acceptance Test Managers

- 9.4.1 Horizon has appointed Acceptance Test Managers for each Acceptance Test. They are usually the former “document champion” for the respective Acceptance Specification. More information is at Roles and Tasks of the Horizon Acceptance Test Managers [Reference 12].

9.5. Impact Analyst(s)

- 9.5.1 The Impact Analyst(s) is/are responsible for carrying out an Impact Analysis on a specific Acceptance Incident where ICL Pathway claims that the Acceptance Incident cannot be resolved.
- 9.5.2 There may be several Impact Analysts, and they may work on one or more Acceptance Incidents. An Acceptance Incident may require Impact Analysts from one or both of the Sponsor(s), from Horizon, or from ICL Pathway.

10. HORIZON ACCEPTANCE - RELATIONS WITH SPONSORS

10.1. Relationships Between Horizon and DSS

- 10.1.1 It has been agreed that Horizon will hold Acceptance co-ordination meetings with the DSS, especially the BA COBAPS staff, on a regular basis, possibly as a precursor to the tripartite meetings of the Acceptance Management Forum.
- 10.1.2 In addition the Acceptance Test Managers have established but informal networks used in the review of Acceptance Specifications and other documents. These will become firmer during the witnessing of Acceptance Trials.

10.2. Relationships between Horizon and POCL

- 10.2.1 Horizon co-ordination with POCL occurs both formally and informally at several levels from that of the Programme Director, Horizon with the POCL Chief Executive’s Committee to similar links at lower levels.

11. HORIZON ACCEPTANCE MANAGEMENT FORUMS

- 11.1.1 Horizon Acceptance Management requires the establishment of three forums whose roles and responsibilities are shown in outline at Figure 5 above and are detailed at Horizon Acceptance Management Organisation [Reference 14]. That document covers the following:
- Acceptance Incident Review Panel (IRP), responsible for day-day management and resolution of Acceptance Incidents. Meeting formally on a weekly basis to confirm decision and priority reports and to otherwise review progress and to develop reports to the next level, the Acceptance Management Forum. The IRP will begin its meetings as soon as Acceptance Testing begins.

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- The Acceptance Management Forum (AMF) which is tasked with the co-ordinated management between POCL, ICL Pathway and the DSS of the Acceptance process within the agreed programme milestones and to resolve any issues escalated to it. It will formally meet at least formally on a fortnightly basis. Any Acceptance Incidents which are not resolved at the Forum are to be escalated to the Joint Acceptance Board, part of the Horizon Delivery Group. The AMF began its work at the first tripartite meeting on 1 October 1998.
- The Joint Acceptance Board (JAB), which is tasked with formal confirmation of the three steps of Acceptance during the Operational Trial. The Board is the final arbiter in the case of Acceptance Incidents and other programme issues which are referred to it.

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HORIZON RELATIONSHIPS WITH ICL PATHWAY

12.1. ICL Pathway Test Manager:

12.1.1 The ICL Pathway Test Manager:

- may initiate an Acceptance Incident report;
- acknowledges the receipt of an Acceptance Incident form;
- commissions the analysis of the Acceptance Incident, and completes the Acceptance Incident Analysis form;
- manages the resolution of the cause of the Incident;
- advises the Acceptance Incident Manager that the amended Deliverable or Service is ready for re-testing.

12.1.2 The ICL Pathway Acceptance Manager may also be needed to help provide undertake Impact Analysis where necessary, by providing Impact Analysts as described above.

12.1.3 The ICL Pathway Incident Manager (if one is established - to be verified with ICL Pathway) may take on some or all of the responsibilities of the ICL Pathway Acceptance Manager.

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ANNEX A - HORIZON ACCEPTANCE GLOSSARY

The definitions given below are those offered and agreed in Reference 9. They are intended to provide definitions to be used in this process and so do not always exactly equate to those given in the Related Agreements. The source of the definition is included when not directly from the Agreements.

Term	Definition
Acceptance	Acceptance is the act of accepting a ICL Pathway Service or Deliverable on confirming that it meets contracted obligations in accordance with Acceptance Criteria [Reference 1].
Acceptance Criteria	The criteria for Acceptance of Deliverables and Services as specified and formally agreed either in the Related Agreements or in the Acceptance Specifications.
Acceptance Database	A comprehensive management tool for use during all three phases of Acceptance. The main purpose of the Database is to support Acceptance management and reporting. Other uses include: provision of the means of checking ICL Pathway Acceptance Specifications, Acceptance Criteria, and their supporting documents (such as Business Threads and High Level Test Plans) against the current version of the Contract and its Schedules; support for the management of the Review and Sign-off of Acceptance Specifications issued by ICL Pathway; provision of a basis for gap analysis; support for the work of Acceptance Test Managers during Acceptance Trials and Reviews in identifying the impact of test failures or Acceptance Incidents on the objectives of Horizon and its Sponsors; provision of the means of recording the Acceptance Incident management process. [Reference 18]
Acceptance Incident	Any unusual or undesirable occurrence, or request for advice and guidance, which is reported in writing by Horizon to ICL Pathway during an Acceptance Test. An Acceptance Incident can be either where an Acceptance Criterion is not met; where there is a substantive fault; or in other circumstances. [References 1,9 and 17]
Acceptance Issue	A problem occurring during the three phases of Acceptance or the aftermath of an event in any aspect of the Acceptance process, which critically threatens to damage, hinder or stop the Acceptance process or to affect the time or other resources allocated to Acceptance. In general, Acceptance Issues are referred to and managed by the Acceptance Management Forum. [References 14 and 19]
Acceptance Issues Database	An Access 2 database containing all details of Acceptance Issues referred to and managed by Horizon Acceptance Manager or by the Acceptance Management Forum. [Reference 18]
Horizon Acceptance Manager	A central post within Horizon that is responsible for co-ordinating the Acceptance activities and liaison with the ICL Pathway Acceptance Manager. [Reference 14]
Horizon Acceptance	A manager answering to the Horizon Acceptance Manager who is responsible for the management of the reporting of

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Incident Manager	Acceptance Incidents and the process of resolution. [Reference 14]
Acceptance Group	A separate Acceptance Group will be formed for each Acceptance Test and may also, in some instances, differ for individual Acceptance Reviews and/or Acceptance Trials. The activities of the Acceptance Group will be managed by the Acceptance Test Manager. Members of the Acceptance Group will come from Horizon or the sponsor organisations and will be chosen for their experience and specialist business knowledge of the subject being accepted. [Reference 17]
Acceptance Test Manager (ATM)	The former “document champion” for on Acceptance Specification; the manager of the Acceptance Group of witnesses and others and the Horizon “owner” of a specific Acceptance Test. This person will have an in-depth knowledge of the particular business area that they are to manage. [Reference 12]
Acceptance Period	The period of time for the completion of an Acceptance Test.
Acceptance Review	One of two methods of testing the acceptability of a Deliverable or Service (the other being Acceptance Trial). Descriptions of one or more Acceptance Reviews will be included as part of each Acceptance Specification.
Acceptance Specification	One of 23 comprehensive documents produced by ICL Pathway specifying a Deliverable or Service (as defined in the Agreements). The document, also describes the relevant Acceptance Test. [This document]
Acceptance Step	One of the three phases of the Acceptance process comprising Step (1) for ICL Pathway Nile Release 2 Single Benefit; Step (2) for ICL Pathway NR2 Multiple Benefits; and Step (3) for ICL Pathway Nile Release 2+. [This document]
Acceptance Support Team	A support team managed by the Horizon Acceptance Team Leader. [Reference 14]
Acceptance Test	A procedure for determining whether a Deliverable or Service meets the relevant Acceptance Criteria. It may include one or more Acceptance Trials or/and Acceptance Reviews. ICL Pathway have chosen to map some Acceptance Tests onto Services e.g. BES, OBCS.
Acceptance Test Conditions	The conditions used to determine whether or not each Acceptance Criteria has been met.
Acceptance Trial	One of two methods of testing the acceptability of a Deliverable or Service (the other being Acceptance Review). Descriptions of one or more Acceptance Trials will be included as part of each Acceptance Specification. These Acceptance Trials can consist of one or more inspections, demonstrations, running real or simulated operational workloads, monitoring the service or presentations.
Business Thread	Documents developed by ICL Pathway. Business Threads which

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(BT)	describe very high level business driven test scenarios which will form the backbone of the System Test stage.
contractual Acceptance	The third phase of the Acceptance process, during which the Joint Acceptance Board is contractually required to confirm Acceptance of the Operational Trial to ICL Pathway within five working days of the end of the Acceptance Period. [Reference 9]
Deliverable	An item which ICL Pathway is required to provide under the terms of the Related Agreements.
Direct Interface Test (DIT)	Tests to ensure that each of the system interfaces conform to the Application and Technical Interface Specification and support the business, technical and security requirements of both parties on either end of the interface. [Reference 8]
End to End Interface Test (E2E)	Testing to ensure that the full end to end business processes, within the BA/POCL scope, are satisfied by each of the systems involved, whether existing or new. [Reference 8]
Failed Acceptance	The outcome of an Acceptance Test where one or more high or medium severity deficiencies remain unresolved at the end of the Acceptance Period.
High Level Test Plan (HLTP)	Documents developed by ICL Pathway against the requirements of the Acceptance Test Specifications. The HLTP cover each of the stages of testing, detailing the specific scope, coverage, objectives and success criteria that apply. In this high level test planning stage, the test objectives have been formally documented and agreed by both Horizon and by ICL Pathway, and combined to form a joint set of test objectives which serve to drive all subsequent testing activity.
Low Level Test Script (LLTS)	A detailed test script developed by ICL Pathway from the HLTP and the BT which details the actions to be carried out during each Test. [This document.]
Live Trial	The third and last phase of the Operational Trial
Model Office Test (MOT)	The second phase of each Step of Acceptance; and a further test of the Pathway system to provide evidence as to whether the contracted obligations to both parties have been met. It uses simulated data and as near lifelike arrangements in a production like environment using actual. Tests are conducted to ensure the system and manual business processes interact through the use of training and procedures to meet the overall business needs of the BA/POCL programme. [This paper]
Operational Trial	A process for assessing the functionality and performance of the Services and the Service Infrastructure prior to National Rollout. Each Step of the Operational Trial has three phases: Technical Test, Model Office Test and Live Trial. Contractual Acceptance is linked to the completion and outcomes of this trial.
Product Acceptance Test	ICL Pathway tests to confirm their acceptance of products from both ICL Pathway development teams and from ICL Pathway sub-contractors. [Reference 8]
Release	A documented collection of software and/or data provided by the Contractor to deliver a Service.

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	The ICL Pathway Release Policy further refines the above definition into: “Software Releases”; “Reference Data Releases” (of which there are five classes); and “Maintenance Releases”. [Release Management paper]
Related Agreements	The Authorities Agreement, the DSS Agreement and the POCL Agreement.
Service Architecture Design Document (SADD)	<p>This document provides the design of the service architecture in accordance with Clause 401.1 of the Authorities’ Agreement, and Requirements 928 and 951.</p> <p>The purpose of the SADD is to describe the design of the service architecture (R951). It must as a minimum specify:</p> <ul style="list-style-type: none"> The major components used in providing the services; The functionality within major components; The interfaces between components and with Authorities’ and other parties’ systems; The service levels required across interfaces. [Reference 6]
Services	All the Services to be performed by, and all other obligations of, ICL Pathway under the Related Agreements.
Security Test	Tests conducted to ensure that the ICL Pathway solution meets the security requirements of the BA/POCL programme. Some of these tests will be achieved through tests conducted in other phases. [Reference 8]
System Test	The testing to ensure that the ICL Pathway solution functionally conforms to the requirements of the BA/POCL programme. In addition, these tests will ensure that the Human Computer Interface for the combined products meet the HCI requirements. [Reference 8]
Technical Test	The first phase of the Operational Trial to ensure that the ICL Pathway solution meets the performance, volume, resilience and operability requirements of the BA/POCL programme.
Witnessing	The observation by staff from Horizon, the DSS and POCL of Acceptance Trials carried out by ICL Pathway to provide an opinion on the reliability and sufficiency of information contained in the Pathway Acceptance Test Closure Reports and to assess the ICL Pathway management of those tests. Witnesses should have either technical or business expertise relevant to the tests or have experience in the technical audit of complex system tests. Witnessing may be process and/or criteria related. Process witnessing entails examination of aspects of management control over the testing process as applied to Acceptance Trials. Criteria witnessing involves verification of the output of particular service or product operating successfully within the Acceptance Test environment. Both aspects of witnessing may be applied whilst Acceptance Testing is underway by means of observation. Similarly both aspects may be applied retrospectively by examining the supporting documentation e.g. Test Results, ICL Pathway Closure Reports and PinICLs and Acceptance Incident reports raised during the Trial.

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ANNEX B - DETAILED TIMETABLE

1. The following GANTT chart is the detailed time table for Acceptance activities in Step 1.

To be added

ANNEX C - NOTES ON TESTING**System Test Streams**

1. System Testing is an ICL Pathway managed set of tests which covers the following Pathway systems:
 - Automated Payment Service (APS);
 - Electronic Point of Sale Service (EPOSS);
 - Benefit Payment Service (BPS) which covers Automated Payment Service, Card Management System Payment Authorisation Service;
 - Order Book Control Service (OBCS);
 - Transaction Processing System (TPS);
 - Management Information System (MIS);
 - Training;
 - Audit.

Integration Test Streams

2. Integration Test covers a wide range of complementary test streams. The test streams where Acceptance Testing will be carried out are:
 - DIT - Direct Interface Test;
 - T&S - Technical & Security Test (including Security Test; Performance Test; Integrity Test and Systems Management Test);
 - BIT - Business Integration Test;
 - E2E - End to End Interface Test;
 - MOR - Model Office Rehearsal.
3. The phased approach to test execution is the '3 pass model' formalised for Release NR2:
 - 1st Pass - stabilise;
 - Main Pass - iterative defect removal;
 - Final Pass - audit trail, which then pass used for Acceptance Trials.

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4. MOR is an integral part of Integration Test which prepares the way for Model Office Test. MOR involves Joint Business Test Team, and Horizon testing (including POCL counter staff) play a major role in it, but it must be emphasised that MOR remains a Pathway test activity with specific Pathway test objectives.
5. The aims of E2E and MOR test streams are to bring the IT system together with the business procedures, to trial the training activities and to deploy the target live support channels, running all the contributing systems in unison and exercising all major end to end business flows. In effect to trial the overall business system.
6. The 1st and Main passes of both E2E and MOR are recognised as Pathway owned test phases, an integral part of the Integration Test stage, operating within the Joint Testing agreement. MOT remains an independently owned PDA test stage. The Final Pass of E2E is proposed likewise to be an independently owned PDA test stage. The start of E2E Final Pass should be aligned with that of MOT to facilitate baseline control.

Live Trial

7. Live Trial is a stage of testing, and that there are certain aspects of the service which it will not be possible to demonstrate prior to actual live operation. Hence the contractual acceptance of the service cannot be concluded until the Live Trial has been completed.

BIT Maintenance and Regression Testing

8. With the completion of BIT, ICL pathway will switch to a continuous programme of BIT regression testing to sustain fault rectification and system software modifications. The regression tests may be used for delayed Acceptance Trials.

Test Programme

9. The sequence of test passes which involve Acceptance is detailed at Annex B.

Joint Testing

10. Joint Testing is a set of activities which input to ICL Pathway and will operate under the direction of ICL Pathway and will not, therefore, have any assurance aspect such as Acceptance. It is possible that the joint testing resource may have involvement in Acceptance Testing on behalf of either ICL Pathway or the Horizon.
11. In Joint Testing, Horizon resources will be deployed to work with ICL Pathway, within this agreement, on System Test, BIT, DIT, End to End (E2E), Security and Technical testing streams. The work on E2E is separate from the Horizon activities on E2E and Model Office Test (documented in the Nile Release 2 End to End Interface Model Office Testing Approach). The resource will operate within two Horizon teams, the Joint Business Test Team at Feltham, and the Joint Technical Test Team at Bracknell.
12. The Joint Business Test Team will provide resource to work with ICL Pathway on

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System Test and BIT. In addition, a DSS and a POCL resource will work with ICL Pathway to support DIT and E2E tests, in particular to aid ICL Pathway with analysis on data reconciliation and accounting.

13. The Joint Technical Test team is a Horizon team which works with The Solution Centre, Bracknell, on ICL Pathway's Security and Technical testing.