

Acceptance of the Operational Trial

ACCEPTANCE OF THE OPERATIONAL TRIAL

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Circulation

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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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0. Document Control

0.1 Version History

Version	Date	
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1. MANAGEMENT SUMMARY

1. Contractual Acceptance is the process for agreeing with ICL Pathway that the business needs of the DSS and POCL as stated in the Related Agreements are met. This paper describes the approach to accepting from ICL Pathway the Operational Trial (specifically release 1e and the functionality of release 2).
1. The Acceptance of the Operational Trial has very significant implications to the Programme as payment guarantees come into force, right of termination are effected and service levels and remedies apply.
1. The process is divided into three stage. They are as follows:

	April	May	June	July	Aug	Sept	Oct	Nov
Acceptance Preparation								
Acceptance Testing								
Contractual Acceptance								

1. ICL Pathway are responsible for designing, planning and conducting Acceptance Tests in accordance with the guidelines in the Related Agreements. The PDA are responsible for reviewing their proposals and witnessing the Acceptance Tests.
1. Acceptance Criteria have already been produced by ICL Pathway and agreed with the PDA. These relate directly to the requirements in the Related Agreements.
1. ICL Pathway have divided the Acceptance Criteria into Acceptance Tests, one for each service, these describe the Acceptance Trials (demonstrations, site visits etc.) or Acceptance Reviews (QR document reviews) that will be undertaken.
1. The structure of the PDA needs to include an acceptance team and individuals with knowledge of the business from the PDA and the sponsor organisations must be available to witness the acceptance tests.

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1. GLOSSARY

1. The definitions given below 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.

Acceptance	Is the procedure for contractually accepting a Deliverable or Service provided by ICL Pathway.
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 Incident	Any unusual or undesirable occurrence, or request for advice and guidance, which has been reported in writing by the PDA to ICL Pathway during an Acceptance Test
Acceptance Manager	A central post within the PDA that is responsible for co-ordinating the Acceptance activities and liaising with the ICL Pathway acceptance manager.
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 the PDA or the sponsor organisations and will be chosen for their experience and specialist business knowledge of the subject being accepted.
Acceptance Test Manager	The manager of the Acceptance Group and PDA owner of the Acceptance Test. This person will have an in-depth knowledge of the particular business area that they own.
Acceptance Period	The period of time for an Acceptance Test.
Acceptance Review	This is 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	A document, produced by ICL Pathway, that describes an Acceptance Test.
Acceptance Support Team	A support team managed by the Acceptance Manager.
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

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	chosen to map these 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	This 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.
Deliverable	An item which ICL Pathway is required to provide under the terms of the Related Agreements.
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.
Live Trial	The third and last phase of the Operational Trial
Model Office Test	The second phase of the Operational Trial
Operational Trial	A process for assessing the functionality and performance of the Services and the Service Infrastructure prior to National Rollout. 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.
Related Agreement	The Authorities agreement, the DSS agreement and the POCL agreement.
Services	All the Services to be performed by, and all other obligations of, ICL Pathway under the Related Agreements.
Technical Test	The first phase of the Operational Trial.

1. PURPOSE OF THIS PAPER

1. This paper sets out the approach for the contractual Acceptance of the ICL Pathway Services at the end of the Operational Trial. It is intended to bring together discussions between the sponsors, the PDA and ICL Pathway following the issue of the working paper “The Acceptance of Pathway Service RWP1”.
1. In terms of releases this Acceptance relates to ICL Pathway Release 1e plus the requirement to accept the ICL Pathway release 2 functionality during the Operational Trial [see CCN105].

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1. The Acceptance processes, plans and activities will be clarified in subsequent papers and the process for accepting future releases will also be produced at a later date.

1. ASSUMPTIONS

1. In producing this paper the following assumptions have been made:
 - that Acceptance must follow the procedures defined in the Related Agreements;
 - Acceptance is the process for contractually agreeing with ICL Pathway that the Services meet the business needs of BA and POCL as stated in the Related Agreements;
 - the Related Agreements have already received sponsor approval and any subsequent changes will seek sponsor approval via the PDA Change Control Process;
 - ICL Pathway are responsible for designing the Acceptance Tests and producing the corresponding Acceptance Specifications.
 - the PDA are responsible for agreeing the Acceptance Specifications;
 - ICL Pathway are responsible for designing and organising the Acceptance Tests;
 - the PDA may at any time request that additional Acceptance Tests be performed, but these requests should be used with restraint;
 - the PDA is responsible for ensuring suitable attendance for the Acceptance Trials and Reviews;
 - that after Acceptance Trials have commenced all incidents and upgrades to the Services must be controlled and access to this information must be available to the Acceptance Manager and/or relevant Acceptance Test Manager.

1. THE ACCEPTANCE PROCEDURE

0.1. Overview

1. Acceptance has been divided into three stages. A simple diagram of these stages follows at figure 1.

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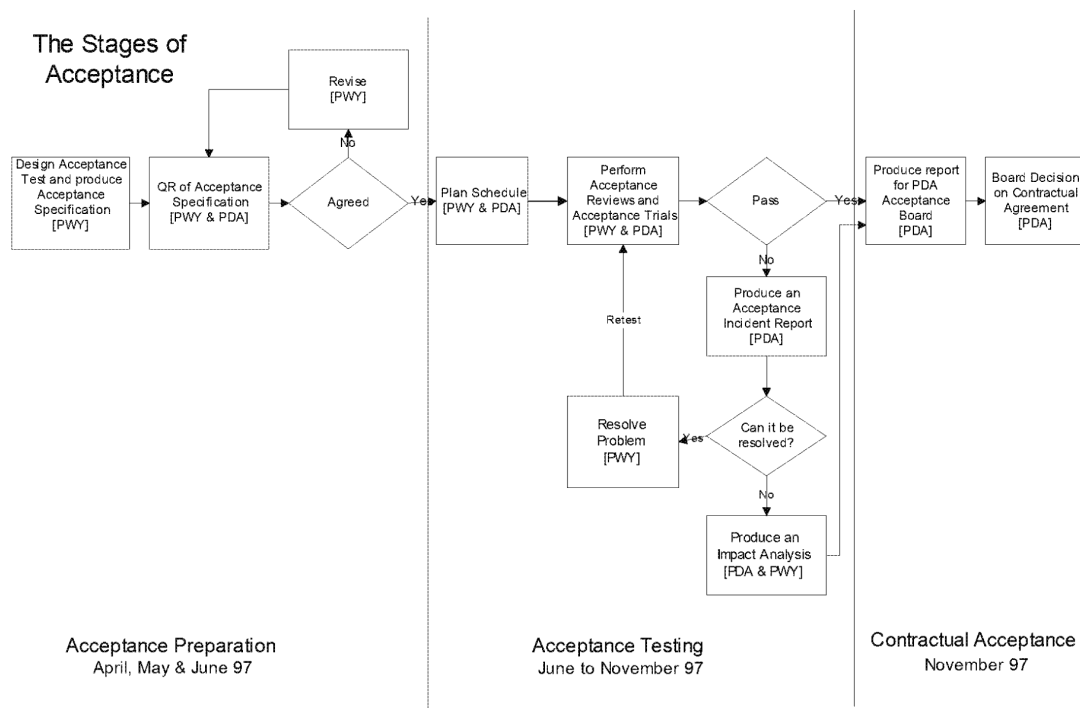


Figure 1

- Each of the stages is described in further detail in the subsequent sections. Further information can also be found in the Related Agreements.
- The dates given in figure 1 are planning estimates. The planning details including the dates for each Acceptance Trial or Review in the acceptance testing stage will be planned with ICL Pathway during the acceptance preparation stage.

0.1. Acceptance Preparation

- Basically during this stage the Acceptance Specification for each Acceptance Test is produced by ICL Pathway and then delivered to the PDA for agreement. A list of the Acceptance Tests is given at Annex A.
- 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;

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- 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.
1. The process for agreeing these Acceptance Specifications will be to use the standard PDA Quality Review Process.

Acceptance Criteria

1. High level Acceptance Criteria have been agreed and are defined for each service in the Related Agreements.
1. More detailed Acceptance Criteria have been produced by ICL Pathway who have taken the requirements from the Related Agreements and broken them down into sections that equate to the requirement paragraphs.
1. These Acceptance Criteria may relate to one or more Acceptance Test Conditions that are used to determine whether or not the Acceptance Criteria have been met.

Acceptance Methods

1. The Acceptance Methods for each Acceptance Test will consist of one or more Acceptance Trials and one or more Acceptance Reviews. In general the Acceptance of Services will be by Acceptance Trial and the Acceptance of Deliverables will be by Acceptance Review.
1. A point to be remembered is that the scope of Acceptance Trial is very wide and can encompass such activities as site visits, inspections, demonstrations, presentations, monitoring the service and running real or simulated operational workloads.

0.1. Acceptance Testing

1. 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.
1. 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.

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1. Acceptance Reviews are normally used for documents and they will use the standard PDA Quality Review process and can be completed whenever the document is delivered.
1. Acceptance Trials can take many formats. The majority of them will be walkthroughs of the Service under exam type conditions usually on ICL Pathway premises. Any other type of activity can be linked to an Acceptance Criteria if it in some way provides assurance to the PDA.
1. The outcome of an Acceptance Trial or Review is either a pass or a fail (a deficiency). If no Acceptance Incidents are raised, to record deficiencies, then the Service or Deliverable has been accepted. The outcomes of these events need to be carefully recorded on the Acceptance database by the Acceptance Support Team.
1. The process for managing Acceptance Incidents is described at section 7.

0.1. Contractual Acceptance

1. Contractually the Acceptance Board (see section 6) 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).
1. The process has still to be designed but to enable the Acceptance Board to make an informed decision the Acceptance Manager will produce a management summary to summarised the acceptance reports produced by each Acceptance Test Manager. Details of the impact assessment for any outstanding Acceptance Incidents will also be included.
1. The Acceptance Board will either reject, accept or partially accept the ICL Pathway Services. This decision will then be given to the Release Authorisation Board.
1. The significance of this Contractual Acceptance is that:
 - the payment guarantees come into force;
 - the rights to termination at the end of the Operational Trial period are lost;
 - service levels and remedies apply.

1. ROLES AND RESPONSIBILITIES

0.1. The Acceptance Board

1. For each Acceptance Specification, after the Acceptance Trials and Reviews have been completed and the Acceptance Incidents that can be resolved have been (and retested), then a Acceptance report will be produced by the Acceptance Test Manager. These reports will be summarised and issued to the Board who will formally accept Release 1 and will notify the Release Management Board of this action.

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1. This Acceptance Board will probably be based on the Core Negotiation Team with additional representation where necessary.

0.1. The Acceptance Test Managers

1. The Acceptance Test Managers for each Acceptance Specification have been identified and are shown in Annex A.

1. Their responsibilities will be to:
 - manage the quality review and agreement of the ICL Pathway Acceptance Specification for their Service(s) using the PDA Quality Review process;
 - liaise with their opposite numbers in ICL Pathway;
 - decide on a suitable composition for the Acceptance Group and negotiate the required time with the persons concerned;
 - to co-ordinate and manage the Acceptance Group and organise their attendance at Acceptance Tests and/or Reviews;
 - liaise with the Acceptance Manager on progress and return information on the Acceptance Trials and Reviews;
 - produce a signed off report for each Acceptance Test within the timescale given in the detailed procedure;
 - raise Acceptance Incidents and submit them to ICL Pathway and the Acceptance Manager;
 - decide if an Acceptance Trial is no longer required because a previous action e.g. technical test has adequately covered the topic.

0.1. Acceptance Groups

1. Each Acceptance Test Manager will need resources from the PDA and the Sponsors to contribute to their Acceptance Test(s). For the purpose of this paper these resources have been called a group because in reality they will mostly belong to other teams or organisations and there will be no line manager responsibilities. For example members of the PDA from the Implementation, POCL Infrastructure, Security or Testing Teams may all contribute to an Acceptance Test and the Sponsors may also choose to be represented.
1. The Acceptance Groups will be formed for each type of event to ensure that the most suitable business representatives are present. For example the Sponsors may choose which type of Acceptance Trial for each Acceptance Test they need to witness.

0.1. The Acceptance Manager

1. The role of the Acceptance Manager is to co-ordinate and facilitate the PDA Acceptance Process and ensure that all the business requirements in the Related

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Agreements are fully covered in a complete and comprehensive way. The Acceptance Manager will be managed by the Release Authorisation Manager

1. The Acceptance Manager will manage the Acceptance Support Team which includes the Acceptance Incident Manager and the Acceptance Process Support Team.

1. The responsibilities include:

- definition of the process, ensuring all are able to fulfil their roles;
- ensure that the process fits with that required by release authorisation;
- monitoring and recording the progress of Acceptance Incidents;
- Acceptance planning;
- managing the Acceptance Support Team;
- interfacing with the activities that are running in parallel, such as Release Authorisation;
- monitoring progress and producing management information for the PDA and Sponsors;
- providing a focal point for ICL Pathway, the PDA and Sponsors;
- monitoring and recording the sign off of Acceptance Trials and Tests;
- ensuring that all the Services and Deliverables in the Related Agreements are included and are complete and that all interested parties have been consulted;
- checking on probity of the procedures;
- manage the Acceptance Support Team in their tasks of incident management, producing management reports on progress, managing a PDA database of information on the status of Acceptance Criteria.

0.1. The Acceptance Incident Manager

1. The Acceptance Incident Manager will be part of the Acceptance Support Team and will be responsible for managing the acceptance incident process by:

- maintaining the Acceptance Incident database;
- managing any Acceptance Groups deemed necessary,;
- producing management reports;
- planning;
- liaising with the Testing Team;

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- monitoring the resolution of Acceptance Incidents;
 - co-ordinating and distributing information.
1. This post should be an full time Higher Executive Officer grade post. The candidate would need an understanding of the Related Agreements and of processes.

0.1. The Acceptance Process Support Team

1. This team will support the Acceptance process by:
 - maintaining the Acceptance Database;
 - distributing and managing documentation;
 - minuting meetings where necessary;;
 - co-ordinating diaries.
1. This post should be an Executive Officer grade post and will be the equivalent of one whole time person.

1. ACCEPTANCE DEFICIENCIES

1. Errors that occur during Acceptance will be classified as Acceptance Incidents and will be analysed by ICL Pathway in accordance with the process described in the relevant Acceptance Specification.
1. The Acceptance Incident Manager will log all the Acceptance Incidents that have been raised onto a database and monitor the progress. Incidents that have failed to be resolved or are causing concern will be entered in to the standard PDA Issues Management Process by the Acceptance Manager.
1. A more detailed process for managing Acceptance Incidents will need to be developed and could be based on that used in for Model Office Testing.

1. THE NEXT STEPS

1. This paper has been intended to provide an overview of Acceptance. Some of the major tasks in the next steps are given below:
 - planning and preparation for the ongoing monitoring of ICL Pathway's plan (Acceptance Manager);
 - producing a deliverable description for an Acceptance Specifications(Acceptance Manager);
 - designing a process and procedures for Managing Acceptance Incidents (Acceptance Manager and Acceptance Incident Manager);

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- consolidating the available information on acceptance criteria, requirements, responsibilities etc. into a database (Acceptance Process Support Team);
- designing a process and procedures for sign off (Acceptance Manager);
- further work on the membership and responsibilities of the Acceptance Board (Acceptance Manager);
- liaison with ICL Pathway (Acceptance Manager and Acceptance Test Managers);
- accepting Acceptance Specifications (Acceptance Manager, Acceptance Test Manager and the Acceptance Groups).

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ANNEX A - PATHWAY ACCEPTANCE SPECIFICATIONS

The following table lists ICL Pathway's Acceptance Tests and the ICL Pathway Test Managers, the Acceptance Test Managers.

Acceptance Test	PWY Test Manager	PDA Acceptance Test Managers
APS/HAPS	David Cook	Bob Booth
Audit	John Dicks	Tom Patterson
BES	David Hollingsworth	Mike Hannont
CAPS Interface	Tony Hayward	Mick Clarke
End to End Service	Barrie Proctor	Colin Oudot
EPOSS	John Dicks	Graham Seedall
Help Desk	Denise Ivermee	Colin Standring
MIS	Peter Robinson	David McLaughlin
OBCS	David Cook	Mike Hannon
PAS/CMS	Tony Hayward	Kerry Hartley
POCL Infrastructure	David Cook	Richard Hill
POCL/DSS Implementation - Part A User Training and Implementation	Pamela Barlow	Trevor Rollason
POCL/DSS Implementation - Part B Marketing	Pamela Barlow	Debra Channon
POCL/DSS Implementation - Part C Services	Denise Ivermee	Karen Rogers
POCL/DSS Implementation - Part D Rollout	Pamela Barlow	Douglas Craik
Reconciliation	John Dicks	Tom Patterson
Ref Data	John Dicks	Richard Hill
Security	Barrie Proctor	Gareth Lewis
TIP Interface	John Dicks	John Cottam

ANNEX B - ACCEPTANCE SPECIFICATION - DELIVERABLE DESCRIPTION

**PROGRAMME DELIVERY AUTHORITY
DELIVERABLE DESCRIPTION**

TITLE Acceptance Specification

OWNER ICL Pathway

Deliverable Description written by Mary Reade - Acceptance Manager

PURPOSE

An Acceptance Specification is produced by ICL Pathway to give a detailed description of an acceptance test and all its component parts.

COMPOSITION

This document must follow the standard defined in the Related Agreements, which is as follows:

- (a) the purpose and scope of the acceptance test;
- (b) the detailed procedures for raising and resolving acceptance incidents for the acceptance test;
- (c) the acceptance period for the acceptance test;
- (d) the deliverables and services which are subject to acceptance, and the acceptance method to be used to accept each. The acceptance method can be by one or more acceptance trials or one or more acceptance reviews.
- (e) the acceptance criteria for each deliverable or service, where appropriate a reference to the Related Agreements, and for each acceptance criterion the acceptance test conditions to be used for establishing that the acceptance criterion has or has not been met;
- (f) the guidelines to be applied during the analysis of acceptance incidents, in order to establish the severity of such acceptance incidents;
- (g) the test data necessary for any acceptance trials;
- (h) the Authorities responsibilities, including resources required to carry out each acceptance trial or acceptance review.

FORM/FORMAT

A4 Word document

DERIVATION

The Related Agreements

Acceptance Criteria

SADD and other documents that are referenced from the Related Agreements

ICL Pathway "Standard for documenting Acceptance Specifications" 19/9/96

ICL Pathway "Standard for Specifying Acceptance Criteria" 9/9/96

ICL Pathway "Standard for Raising and Progressing Acceptance Incidents" 19/9/96

EXTERNAL DEPENDENCIES

ICL Pathway are responsible for producing acceptance specifications in accordance with their plan.

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QUALITY CRITERIA

Does the document comply to the ICL Pathway standards and to those in the Related Agreements?

Is it complete?

Do all the references to the service or deliverable in the Related Agreement link to an acceptance criteria?

e.g. requirements
solutions
policies and standards
service levels
Operational Trial
service definitions
software
hardware

Are the acceptance criteria complete?

Are there any references to the service or deliverables in the related documents e.g. SADD, and if so are they included?

Are all types of acceptance trial included e.g.

monitoring;
meetings;
reference site visits;
MOT;
Live Trial;
presentations;
testing.

Are the test conditions appropriate to the acceptance criteria?

Are you be satisfied that this acceptance test covers the whole of the topic?

Will you be reassured that contractual acceptance can be agreed after completion of this acceptance test.

QUALITY MEASUREMENT METHOD

Quality Review by the PDA (and Sponsors?).

Note: Check the PDA requirements and their owners spreadsheet to find the main interested parties and include the Acceptance Manager.

RELATED REQUIREMENT NUMBER(S)

All requirements

RELATED STRATEGIC MILESTONE NO