

COPDR User Acceptance Test Strategy

For

Customer Organizational Portal Data Redesign (COPDR) Project

Author: Praveen Parimi

Version: 0.02

Approved:

© 2006 Nationwide Mutual Insurance Company. All Rights Reserved.



Table of Contents

INTRODUCTION.....	3
Project Background.....	3
Description of User Acceptance Test.....	4
High Level Release Plan for COPDR UAT.....	5
APPROACH	9
Phases	10
SCOPE	15
In Scope	15
Out of Scope	16
Assumptions.....	17
Constraints.....	17
SETUP NEEDS	19
Environment	19
Test Data	19
Business Scenarios.....	20
PREPARING THE USERS	21
Training	21
Supporting Documentation	21
Environment	21
UAT Testing Community	22
Roles and Responsibilities	23
EXECUTION	25
Schedule	25
Entrance Criteria.....	25
Managing Defects.....	26
Exit Criteria	27
System Integration Testing (SIT) Exit Criteria.....	28
NEXT STEPS.....	30
Implementation	30
DOCUMENT HISTORY.....	31

Introduction

Project Background

Scottsdale Group (SG) lacks a singular view and governance of its customer and organizational data. There are multiple, redundant systems of record and applications pull the data directly into their local data stores via batch jobs. This results in delay as data is duplicated throughout the environment during nightly batch cycles. These tightly-coupled, rigid application dependencies hinder our ability to change customer and organizational data relationships in ACT without widespread impact to applications and large testing efforts. This design also encourages further duplication of data as when new operational systems are added to the environment multiple tools are required in order to manage customer data.

The process of maintaining branch office and producer's contact information, access privileges, Underwriter assignments and relationships is manual, labor intensive and has high error potential. Plus, with both internal and external administrators maintaining data, keeping track of what has been updated can be challenging and the existing solution does not keep a history of changes. Other issues are at the level of information maintained, additional login IDs to maintain, routing errors and delays.

The UWPROFILE and its underlying structure need improvements to avoid loss of business and to ensure those responsible for establishing and maintaining the information have the necessary tools to support the number of contacts, the underwriter assignments and the way in which branch offices write business today.

The proposed solution is to build a new Master Data Management system (MDM) by using IBM Info-sphere MDM tool which will create a single version of the truth (golden records). The MDM system shall have new hierarchies, new relationships, Branch office and its producer information at more granular levels. This will provide increased flexibility for SG group to maintain and access the data.

Underwriter Management group and supportive teams shall use a new solution to author and maintain the data, the existing ADCT application/tool will no longer be used for data stewardship. As per the new solution, the existing applications Agency Reporting, Bulletins and Mpower, etc. shall be enhanced as applicable.

This document provides an overview of the validation strategy for the COPDR solution and the User Acceptance Testing (UAT) timeline.

Description of User Acceptance Test

User Acceptance Testing provides the opportunity to validate that the COPDR solution meets business needs and expectations. Business partners use the solution to perform their required work functions and evaluate the usability, efficiency and overall impact of the solution being implemented. UAT is the final step performed by the business before approving that the solution be placed into production. UAT will include testing of application features and integration points.

Due to complicity of the business functionality and development release plan the UAT will have multiple phases/iterations of UAT before Final UAT.

The objectives of UAT are:

1. Focus on functionality and usability of the application.
2. Simulate real world scenarios as closely as possible.
3. Develop confidence in Business users that the application meets their requirements.
4. Determine the business readiness of the release against business requirements.
5. Collaborate with Training and provide feedback.

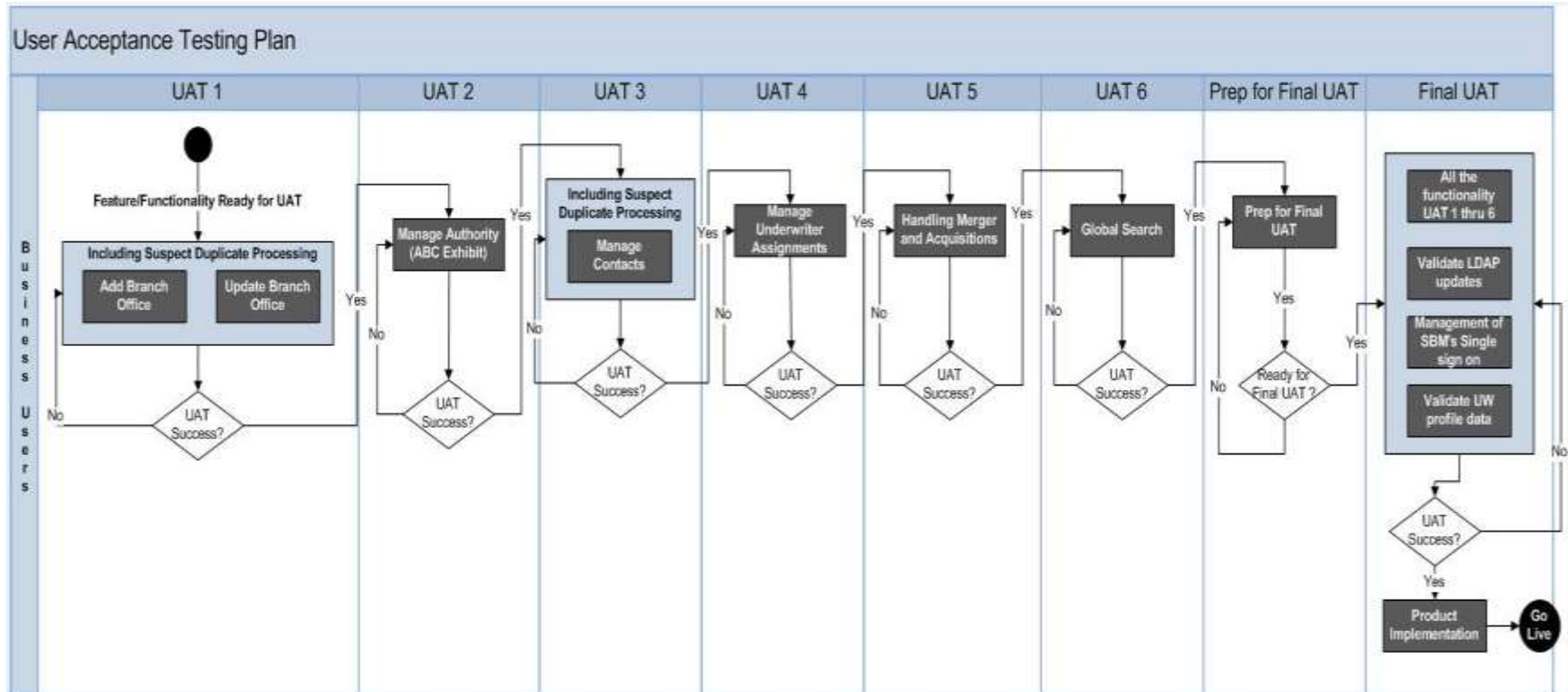
Business users will engage in UAT execution for the following efforts from **xx-xx-xxxx to xx-xx-xxxx**.

1. Business partners will use the IBM BPM 8.5.5 applications user interface, Lotus Notes/Outlook (as applicable), Submission Manager Application.
2. Business partners will engage in testing the remaining functionality of Agency Collaboration Tool's User Interfaces (ADCT) and any other applications within scope of the project.
3. In addition to UAT efforts, the business users will also be involved in the validation of testing by IT resources for UWPROFILE backfill i.e. ACT Listener validation. These efforts must be completed before Final UAT.

SG COPDR User Acceptance Test Strategy

High Level Release Plan for COPDR UAT

As COPDR project is following agile methodology for development, hence the primary activities for COPDR User Acceptance Testing will be carried out in various phases as illustrated below:



SG COPDR User Acceptance Test Strategy

UAT 1 or Phase 1

User acceptance testing for this phase would only start after completing system integration testing (SIT) for below mentioned functionality.

- a. Add, Update, View and Search Parent
 - i. Including Suspect duplicate processing
- b. Add, Update, View and Search Organization
 - i. Including Suspect duplicate processing
- c. Add, Update, View and Search Branch Office
 - i. Create ABC Exhibit
 - ii. Add Contacts
 - iii. Update Contact Privileges
 - iv. Underwriter Assignments (Assigning Underwriters to ABC Exhibits)
 - v. Including Suspect duplicate processing
- d. Notifications

UAT 2 or Phase 2

User acceptance testing for this phase would only start after completing system integration testing (SIT) for below mentioned functionality.

- a. Manage Authority (ABC Exhibit)
 - i. Search ABC Exhibit
 - ii. Create ABC Exhibit
 - iii. Update ABC Exhibit
 - iv. Assign Underwriters (Assigning Underwriters to ABC Exhibits)
 - v. Assign Contacts (Assigning Contacts to ABC Exhibits)
 - vi. Print ABC Exhibit
- b. Notifications

UAT 3 or Phase 3

User acceptance testing for this phase would only start after completing system integration testing (SIT) for below mentioned functionality.

- a. Manage Contact
 - i. Search Contact
 - ii. Add and Update Contact at Organization and/or Branch Office
 - iii. Assign Contacts to different Organization and/or Branch Office
- b. Including Suspect duplicate processing
- c. Notifications

SG COPDR User Acceptance Test Strategy

UAT 4 or Phase 4

User acceptance testing for this phase would only start after completing system integration testing (SIT) for below mentioned functionality.

- a. Manage Underwriter Assignments
 - i. Search Underwriters
 - ii. Create/Update Underwriter's Profile
 - iii. Manage Underwriter Reassignments
 - iv. Manage Underwriter Delegations
- b. Notifications

UAT 5 or Phase 5

User acceptance testing for this phase would only start after completing system integration testing (SIT) for below mentioned functionality.

- a. Handling Mergers and Acquisitions
 - i. Handling M&A at Organization level
 - ii. Handling M&A at Branch Office level
 - iii. Handling M&A at Agent Number level
 - iv. Handling M&A at Contact level

UAT 6 or Phase 6

User acceptance testing for this phase would only start after completing system integration testing (SIT) for below mentioned functionality.

- a. Global Search
- b. Reference Data Management

Prep for Final UAT

User acceptance testing for this phase would only start after completing system integration testing (SIT) for below mentioned functionality.

- a. The SIT exit criteria should be met and refer to respective section.
- b. The UAT exit criteria for all the phases should be met and refer to respective section.

SG COPDR User Acceptance Test Strategy

Final UAT

User acceptance testing for this phase would only start after completing system integration testing (SIT) for below mentioned functionality.

- a. Functionality listed in UAT 1 to UAT 6.
- b. Updates to LDAP from new User Interface.
- c. Submission Manager Single Sign on Management.
- d. UWprofile Data to check updates from ACT Listener, the applications that can be used to validate will be listed as project gathers more information.

SG COPDR User Acceptance Test Strategy

Approach

The User Acceptance Testing approach the COPDR Project outlines the plan for completing Business user validation of the SG-PIM (Scottsdale-Producer Information Management) solution.

The following is a list of UAT approaches that may be employed as part of the COPDR Project solution validation (COPDR Solution Analysts will coordinate and monitor the results):

- Business partners work alone to perform UAT (for some local/remote locations) applicable
- Solution Analysts work with Business partners
- Business partners may work in groups
- Other interface and/or crossover Business areas participate and/or assist in the UAT validation session(s)

The size of the Business group performing COPDR UAT may vary and will be addressed as part of the Business scenario set (audience size requirements will be addressed by the Business and the Solution Analyst(s) to ensure the most effective solution validation).

Business testers will enter data into the COPDR SG-PIM application or will use existing data already loaded into the UAT environment (such as data from similar interfaces and/or data created using automated test scripts). Testing scenarios will include functions related to the Underwriter assignments, Managing external contacts, managing authority, management of branch office and will represent COPDR user roles for the Scottsdale Group (SG).

The duration of COPDR UAT execution to validate the SG-PIM application will span **TBD**. Business testers will execute pre-defined business scenarios and compare actual results to expected results. They will work with SAs (Solution Analysts), ADC Business Analysts and SG Business Leads to determine if gaps discovered during UAT are defects that need to be fixed per the COPDR Defect Management Process (refer to the UAT Test Plan, Appendix D), possible enhancements or training issues.

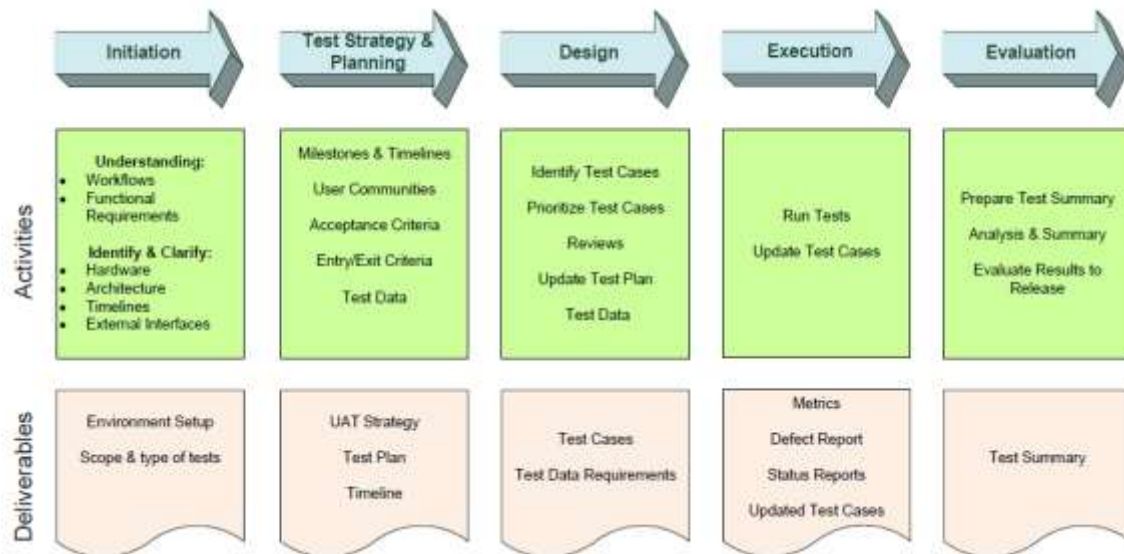
After COPDR UAT has been successfully completed, the Project team will implement the solution. The SG Solution Analysts will be the main point of contact for questions and support throughout the post-implementation warranty period.

The identified participants will perform UAT on **Business Scenarios** mentioned in below in Business Scenarios section. UAT participants will execute the UAT scenarios generated by the testing team.

SG COPDR User Acceptance Test Strategy

Phases

The primary activities and deliverables associated with the UAT approach are highlighted below (refer to Appendix C for the Schedule of UAT Strategy Deliverables) - please note that dates included are as known at the time of approach document publication (refer to appendices for most current documents and dates):



Initiation

The Initiation phase will take place during initial phase of design. During this phase, the UAT core team will review COPDR detail requirements and identify the types of Business test scenarios required to validate the application solution. The effort will focus on functional and end-to-end test scenarios. Functional testing will be executed based on COPDR detail requirements reflecting a business workflow. End-to-end testing will focus on a business workflow but may also interact with identified interfaces. The objective of UAT is to validate whether SG-SIM application functionality allows Business users to perform daily job tasks as expected.

Considerations and understanding of interface impacts, schedules, and environment requirements will also take place.

Deliverables are due at the end of each phase unless otherwise indicated. The following deliverables are part of the Initiation phase. Roles identified in the Accountability column are outlined in the “Roles and Responsibilities” section within this document.

SG COPDR User Acceptance Test Strategy

Deliverable	Deliverable Description	Completed	Accountability
Environment Setup Requirements	Environment requirements to support the UAT execution, location and Business users.		Tech Lead/UAT Lead
Scope and Type of Tests	Scope of UAT and focus areas for types of tests to be defined.		UAT Lead Business Leads

Test Strategy and Planning

The User Acceptance Test Strategy and Planning phase will occur from **January 11, 2016 to February 29, 2016**. UAT execution is scheduled to start on **Date_TBD** and conclude on **Date_TBD**.

Deliverable	Deliverable Description	Completed	Accountability
UAT Strategy	Overall test strategy for COPDR's UAT test phase		UAT Lead Business Lead
UAT Test Plan	All UAT activities and milestones will be identified		UAT Lead Business Lead

Design

The Design phase will occur from **March 14, 2016 to May 31, 2016**. During this phase, timelines will be finalized to determine the UAT schedule and execution cycles. Solution Analysts will continue to work with Business partners to identify and capture high-level Business testing scenarios and begin building out test case details. High-level Business scenarios will be analyzed to identify those that are common to all lines of business. User Acceptance test scenarios will be categorized based on the Features and User roles. Scenarios will be evaluated for execution priority order and for dependencies on other scenarios. Test cases will focus on user job functions such that a UAT tester will execute test cases to mirror their daily job function(s). All test case details will be completed by **May 31, 2016**. Beginning **Date_TBD**, the Pre-UAT phase will begin. Pre-UAT activities will include validation of the UAT environment configuration, the defined data set, user access/permission profiles, the data refresh process as well as smoke-testing of SG-PIM application's functionality.

User Acceptance test cases will include at least the following information:

- Test Scenario Name & Description – Brief description of the test scenario
- Data Requirements – data attributes required to be in place in order to execute the test case

SG COPDR User Acceptance Test Strategy

- Prerequisite Requirements - Other events or triggers that must have occurred prior to test case execution
- Business Process - the business process by a particular step or steps
- Tester Role(s) - the role of the user executing the test
- Screen Name - the screen referenced by the Step Description
- Step Description – Brief description of test steps required to complete the test case
- Expected Results - What the tester should expect to see based on the Step Description

Data requirements specific to testing will be identified during test case creation (where applicable). The COPDR Business Functional Team will review them for UAT execution priority and dependencies.

The test case deliverables are scheduled for delivery on **May 31, 2016**. Test data requirements will be shared with the Data Coordinator in stages as the test cases are finalized so the data fulfillment process can begin as soon as possible. The test data set will need to be available for the Pre-UAT validation effort in **Date_TBD**.

High Level expectations from UAT testers:

1. Testers will ensure test environment data to match their respective source system(s) data by validating in the source systems / applications and / or existing data (as applicable).
2. Review and Report Data Validations issues.
3. Review and Report Business Rules misalignment.

Results will be reviewed by all UAT participants in a separate meeting. The Requirements team will be responsible to categorize items identified during UAT as Defects to be Fixed / Source Issue / Training Issues and report all for validation and agreement.

Deliverable	Deliverable Description	Completed	Accountability
Test Cases	Test cases (to cover COPDR business functionality and User roles) completed in the defined template.		UAT Business Partners UAT Solution Analysts
Test Data Requirements	Synthetic or converted data requirements are to be completed and submitted to Data Coordinator for fulfillment.		UAT Business SMEs UAT Solution Analysts

Pre-UAT (Execution Planning)

Pre-UAT (also referred to as UAT 0) activities will take place during the month of **Date_TBD**. The environment in which UAT execution is to occur will be validated to ensure all environment requirements were met (refer to Setup Needs).

SG COPDR User Acceptance Test Strategy

Users assigned to participate in UAT Execution will receive communications around UAT expectations. Instructions and UAT training materials will be provided as applicable.

Applications required for UAT for the COPDR solution will be made available to, and validated by, Business users in advance of UAT execution. Applications known at this time to be available for UAT are listed below:

Applications

1. BPM User Interface (New UI)
2. Submission Manager
3. Lotus Notes/MS Outlook
4. Adobe Reader
5. Word
6. Excel
7. Internet Explorer
8. VPN (remote access)
9. SharePoint (SPOT)
10. Integrations/Interfaces - refer to Appendix B for list of integrations/interfaces for UAT

UAT Execution

UAT Execution will occur from **Date_TBD** to **Date_TBD**. During this phase, a weekly schedule will be provided to the locations participating in UAT. Each location's users will execute the test cases that have been created for their area(s). Retesting of defects will take place when problem fixes become available in code deployments. Not all UAT testers will execute all of the test cases. As much as possible, UAT testers will execute test cases aligned with their current job function.

There will be multiple testing cycles for the UAT Execution phase, each **Number of (TBD)** weeks in duration (UAT Cycle 1 and UAT Cycle 2). **Testing of all UAT scenarios will be completed during UAT Cycle 1.** If code defects are detected during UAT Execution, code fixes will be deployed to the UAT environment on a predetermined basis (weekly, for example). During cycle 2, data would be refreshed and UAT scenarios would be retested to validate fixes. The frequency of code fix deployments to the UAT environment has yet to be defined.

An example of how the weekly agenda might look is shown below. Once resource needs have been assessed, a calendar showing the schedule of UAT participants by day will be provided in the UAT Test Plan (Appendix D).

SG COPDR User Acceptance Test Strategy

Time/Day	Monday	Tuesday	Wednesday	Thursday	Friday
9:00 AM	Kick-Off Presentation	UAT Execution	UAT Execution	UAT Execution	UAT Execution
10:00 AM	UAT Execution	↓	↓	↓	↓
11:00 AM	↓	↓	↓	↓	↓
12:00 PM	Lunch	Lunch	Lunch	Lunch	Lunch
1:00 PM	UAT Execution	UAT Execution	UAT Execution	UAT Execution	UAT Execution
2:00 PM	↓	↓	↓	↓	↓
3:00 PM	↓	↓	↓	↓	↓
4:00 PM	↓	↓	↓	↓	↓
5:00 PM	Finalize/Review Defects	Finalize/Review Defects	Finalize/Review Defects	Finalize/Review Defects	Wrap Up UAT

The anticipated work day is 9 AM – 5 PM (consideration and support will be given for UAT participants who may need to begin UAT work earlier or later in the day). Test environment availability was requested for 6 AM – 7 PM Arizona time Monday through Friday along with scheduled weekend system availability as requested. At the start of UAT execution there will be a kick-off to review with testers the objectives, schedule and processes. Execution of UAT test cases will take place each morning and afternoon with breaks throughout each day. At 4 PM each day, the core team and testers will review the defects for completeness in details captured. At the conclusion of UAT execution there will be a wrap-up session to address any open questions and next steps. Gaps found between expected and actual test results will be reviewed to determine if defects exist, enhancements need to be defined or the application is functioning as designed (and training is indicated). A triage process will be in place to support UAT testers in the defect assessment process.

Training Rooms and/or Conference Rooms will be reserved for UAT at the locations defined to minimize the need for travel. Workstation/desktop setup will be evaluated to represent, as closely as possible, the desktop configuration of a user in their role for SG-PIM implementation. Conference room(s) scheduled for UAT execution will be evaluated for user setup requirements.

Scope

In Scope

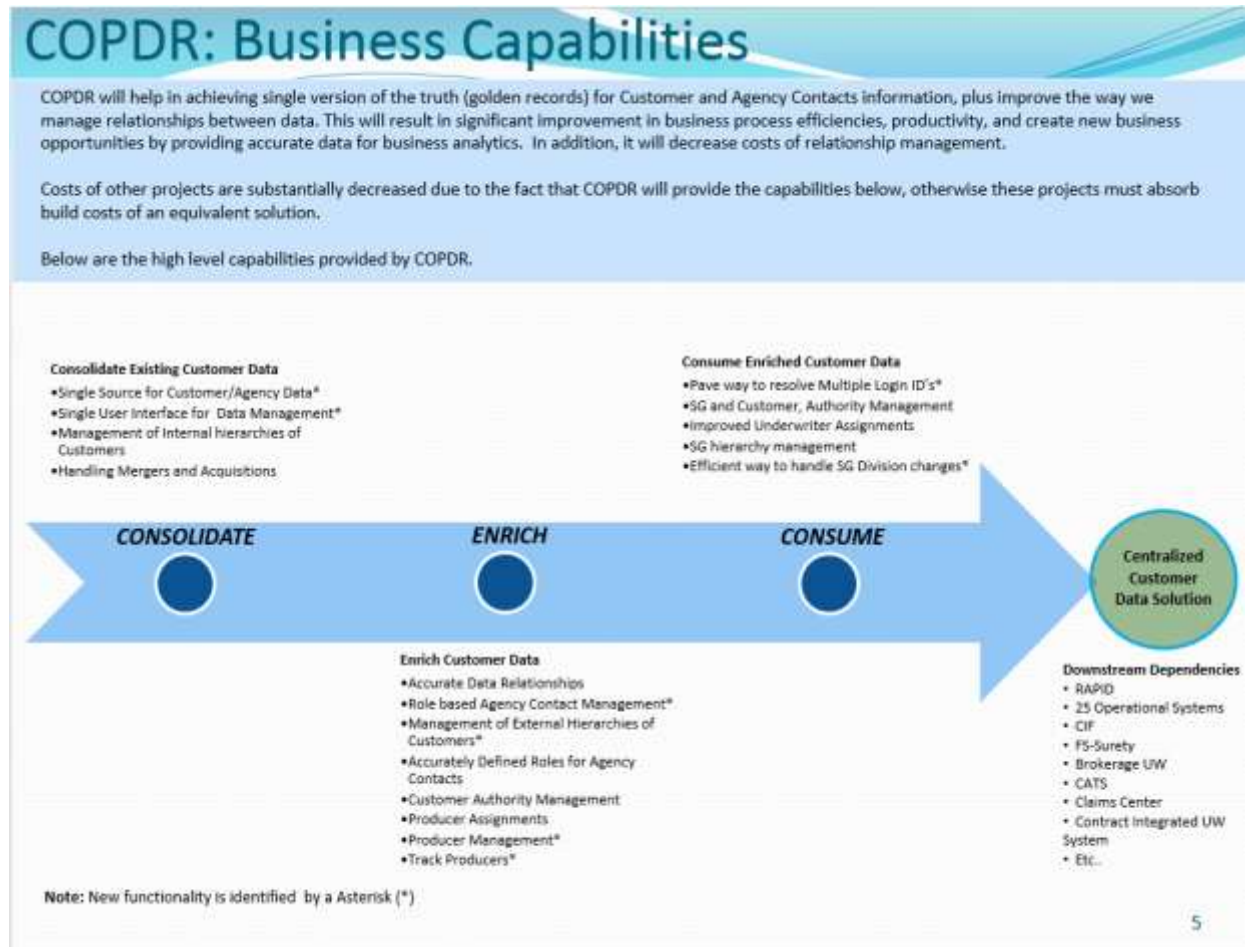
The high level business pain points that COPDR sets out to resolve in this phase for requirements are:

- The relationship between customers (producers) and internal Scottsdale Group (SG) Underwriting (UW) associates.
- Issuing and maintaining Authority (ABC Exhibit) at more granular level between Scottsdale Group (SG) and External Customers (Branch Offices, Organizations).
- The ability to assign and maintain internal underwriters to correct authority (ABC Exhibit).
- To minimize the number of User Interfaces used to perform business functions and to automate the business processes where ever applicable.
- Single Sign on Management for Submission Manager Application.
- Handling duplicate records.
- Handling mergers and acquisitions.

The following high level functionality will be addressed during UAT.

1. Add Branch Office
2. Update Branch Office Information
3. Manage Branch Office Authority
4. Manage Underwriter and Assistant Underwriter Assignments
5. Manage Branch Office Contact
6. Update Branch Office Contact Authority, Privileges
7. Assigning Underwriters and Assistant Underwriters
8. Find Underwriter/ Assistant Underwriter
9. Find Branch Office
10. Review Run-Off Requirements
11. View ABC Exhibit
12. Find Producer/Contacts
13. Manage Suspect Process
14. View all the above information thru ACT UI (as applicable)
15. Single Sign on Management for Submission Manager Application

SG COPDR User Acceptance Test Strategy



Out of Scope

1. Agency Reporting - Enhancements to existing reporting capabilities, and new reporting functionality.
2. Freedom Specialty (FS) – Creating a holistic view of the FS brand or integrating FS specific systems.
3. Western Heritage (Other than as a contributor to the goal state data design)
4. Crest brook
5. Application Changes (CATS, WINS, Omniview, Mpower, Data Connect)
6. Current policy block assignments maintained through ACT.
7. Complete refactor of Submission Manager
8. Enhancements to support downstream project (eg. RAPID, CIF, BUS, CIUS, FUS, CATS Replacement, WINS Replacement, etc.)
9. Single Sign On for SG ACT Portal
10. Current agent number assignment maintained in CATS

Assumptions

- Resources (Business community, OCM, Functional Team, Developers, Testers) needed to support UAT will be available based on defined plan.
- Supporting documentation will be available to UAT testers prior to the start of UAT execution so they will be prepared to execute UAT on schedule.
- SG-PIM code development & application configuration will be complete and the only code/application changes to be introduced into UAT will focus on defect resolution.
- UAT testing locations will have appropriate infrastructure and hardware setup to conduct UAT testing.
- UAT testers' production SG-PIM access/security profiles will be replicated in the UAT environment.
- All Critical and High severity defects found during Systems Integration Testing (SIT) will be resolved before UAT begins (or Stakeholder approval obtained to proceed with UAT start).
- All UAT Entrance criteria will be complete prior to start of UAT Execution and all UAT Exit criteria will be met prior to application go-live.

Constraints

- Any unscheduled UAT environment downtime will cause delays in UAT planning and execution
- Test data management has some dependencies on teams external to COPDR - any delay in mining, preparing or replicating data in the specified test environment will cause delays in execution
- Appropriate infrastructure not in place to support end to end testing for in-scope interfaces (see Appendix A) with ties to external test systems
- SIT cycle testing plan
- UAT resource availability

Risk/Issues

- SIT overlap with UAT - SIT execution schedule and priority pose a risk to the ability to prioritize execution of UAT test scripts
- Configuration changes made after UAT scripts have been defined may lead to gaps in existing test cases (not addressing testing of all functions) and gaps where test cases don't exist to test configured functions
- Resource constraints - if adequate resources are not available to support UAT, the ability to complete execution of test cases for each UAT cycle may be in jeopardy
- Environment and desktop - constraints in these areas may put at risk the ability to complete test script execution within UAT execution timelines
- Data management - lack of data availability, per data requirements outlined, may impact ability to support test case execution needs
- System limitations around compressing data-driven activities and work

SG COPDR User Acceptance Test Strategy

- If system date changes cannot be changed in, or recognized by, a SG-PIM integration point, that integration point may not be able to be fully validated as part of the UAT effort
- If an integration point has been identified within a Business scenario as being critical to completion/validation of that scenario, and that integration point is not accessible or functional as part of the UAT effort, then that integration point may not be able to be validated by UAT
- Some Medium and Low severity defects found in the SIT phase may not be resolved before UAT begins (depending on the potential size of the defect debt, there may be a risk that SIT defect resolution could hinder UAT execution)
- Prior to the start of UAT execution, all open SIT defects will be reviewed to analyze impact to UAT (open SIT Defects will continue to be monitored throughout the month prior to UAT start)

Setup Needs

IT resources will ensure that the solution is made available to the users so that UAT can be performed. There are a wide range of activities that must be performed to support this such as moving code to the right environment, getting login ids, and loading test data. IT will leverage the business needs for the environment, test data, and business scenarios to make sure all necessary components are in place.

Environment

There are many environments from which UAT can be executed (QA, Training, or independent) however having a separate UAT environment is advisable. The responsibility for selecting the environment lies with the IT resources on the project team. The access (and authority) level for the test environment is based on test Sign-on IDs. UAT testers will be provided with test IDs dedicated to the UAT environment. Requirements needed to support UAT execution are listed below:

1. Integration points to support UAT Business scenarios.
2. The ability to refresh UAT environment data if needed (data refresh after initial load).
3. The ability to modify the UAT environment system date (to trigger Activities and to support moving scenarios).
4. The ability to modify the system date for the supporting UAT Integration points (to align with changes to UAT environment system date).
5. The ability to push code builds to the UAT environment and on and on-demand basis to support UAT defect fixes (code push timing TBD, but to be outside of 6:00 a.m. - 7:00 p.m. AZ time to respect Business access needs).
6. The ability to have all functional COPDR application components (including forms, templates, user access/security profiles, etc.) available in the UAT environment.
7. The ability to have a Recovery Plan in place for a failed code builds.
8. The ability to have a timeline for UAT Environment readiness and Integration readiness (if Applicable).

Test Data

The actual test setup required to support UAT will be created by the Test Lead and the data would be provided by Business. The Business will work with the Solution Analyst(s) to define the UAT scenarios. Test data required to test each scenario may vary in volume and complexity.

In cases where the UAT environment must be refreshed, the Test Lead will coordinate between UAT testing teams and the development team.

Business Scenarios

The Business Leads and the Solution Analyst(s) will work together to compile and distribute the Business scenarios. The Solution Analyst(s) will make sure all business testers have the materials ahead of time and will make updates as needed. The Business testers will document the actual results from executing the scenarios and indicate whether each scenario passes or fails.

Business Scenarios will be located in SharePoint and developed prior to UAT execution.

Link to Business Stakeholders involved in Submission Manager Changes:

Business Scenarios mentioned below will be tested with respect to all the features in Scope for COPDR Project.

Scenario ID	Scenario	Acceptance Criteria/End Point	Resource

Preparing the Users

Training

Business partners have been involved with the requirements process and have witnessed demos of the changes made. Some remote User Acceptance testers may not have been involved in that process and may need to have new application training materials provided and they may need to be trained on UAT expectations as well if applicable.

Supporting Documentation

The following materials may be employed as part of UAT:

1. The COPDR Requirements documents.
2. UAT Scenarios document(s).
3. FAQ documentation.
4. Training aids.
5. Demonstrations.

Requirements Documents:

1. Solution Requirements document (process maps, use cases and business rules).
2. Detail requirement documents (User Stories (Story Cards)).
3. Functional Design (research potential issues/defects).

Tools and Systems

The set of tools being used for UAT could change depending upon the needs of the project and the capabilities of the tool. Here is the current set of tools being employed:

- SharePoint (SPOT) – storage repository for test scripts in the COPDR Project.
- Microsoft Excel – execution platform for test scripts. Users will also capture defect details in a template that will be imported into the project's defect management tool, Quality Center.
- Quality Center – storage repository for all defects for the COPDR Project.
- COPDR UAT environment – all users will be provided login and password credentials to use for User Acceptance test execution purposes.
- Lotus Notes/MS Outlook 360 (as applicable).

Environment

There are many environments from which UAT can be executed (QA, Training, or independent) however having a separate UAT environment is advisable. The responsibility

SG COPDR User Acceptance Test Strategy

for selecting the environment lies with the IT resources on the project team. The information provided includes items of interest directly related to the technical environment and also the physical environment from which the users will be executing UAT.

- a. Associated/Interfacing Applications
- b. Inter-project Dependencies
- c. Access and Security
- d. Location and Equipment

UAT Testing Community

UAT testers from a variety of user communities have been selected. The following list includes SG-PIM users who may participate in the UAT effort:

- Scottsdale-area Underwriting Management - may include resources from the following areas and units:
 - Users from Brands like Contract Underwriting, Brokerage Underwriting and Western Heritage all units
 - Regulatory Compliance
 - Operations-Risk Clearance
 - Legal (including Corporate Legal Division)
 - IT (IT Business Application Support Team)

SG COPDR User Acceptance Test Strategy

Roles and Responsibilities

Resource	Role	Responsibility
	Business Delivery Executive (BDE)	<ul style="list-style-type: none"> Responsible for testing Business Scenarios.
	Business Lead	<ul style="list-style-type: none"> Responsible for testing Business Scenarios.
	Project Manager	<ul style="list-style-type: none"> Responsible for managing UAT Schedule. Responsible for managing IT resources that participate in the UAT.
	Test Lead	<ul style="list-style-type: none"> Responsible for testing Business Scenarios Will act as Defect Coordinator.
Praveen Parimi	Lead Solution Analyst & UAT Lead	<ul style="list-style-type: none"> UAT Coordinator - Facilitate and lead the overall UAT testing effort. Liaison with testers and developers. Point of contact for requirements related questions that may arise from UAT test case preparation or execution.
	Technical Lead	<ul style="list-style-type: none"> Responsible for communicating and coordinating technical questions. Will act as a Data Coordinator(s), Environment Coordinator.
	Business SME (Tester)	
	Business SME (Tester)	
	Business SME (Tester)	
	Business SME (Tester)	
	Business SME (Tester)	
	Business SME (Tester)	
	Business SME (Tester)	
	Business SME (Tester)	
	Business SME (Tester)	
	Business SME (Tester)	
	OCM (Organizational Change Management)	
	Data Coordinator	TBD

SG COPDR User Acceptance Test Strategy

	Training	
	Development Team	<ul style="list-style-type: none">• Technical Support

Execution

The core team and testers will review defects for completeness (to ensure details were captured) and to share defects found (in an effort to minimize creation of duplicate defects). At the conclusion of UAT execution there will be a wrap-up session to address open questions and next steps.

After all the setup and preparation is done, the business will execute UAT. Testing will not begin until the entrance criterion has been met and UAT will not be considered complete until the exit criterion has been met. During the actual UAT, the Solution Analyst will be the single point of contact that all parties can go to for help resolving issues, identifying defects, and for all other general support.

- Training Rooms and/or Conference Rooms will be reserved for UAT at the locations defined to minimize the need for travel. Business contacts will be available for support. UAT Lead and UAT Business Lead will facilitate UAT execution.
- User Acceptance testers will execute tests and compares Actual Results to Expected Results for all test scenarios. Testers will log differences between Actual and Expected Results in a defect logging template. The template will be reviewed with and provided to all UAT testers.
- For each execution period, the SA's will be available in person, or via phone, to provide help with training issues and facilitate the resolution of defects.

Once UAT has been successfully completed, the project team will implement the solution. The Solution Analyst will continue to be the point of contact for questions and support throughout the post implementation warranty period.

Schedule

The UAT testing execution will begin on **xx/xx/2017** and end on **xx/xx/2017**. For each execution period, the SA will be available via phone the entire time to provide help with training issues and facilitate the resolution of defects

Entrance Criteria

Before UAT begins, the Business Team must agree that each criterion listed below has been met for each individual phase:

SG COPDR User Acceptance Test Strategy

- UAT Strategy, Business Scenarios and Test Schedule have been reviewed with, and approved by, the appropriate stakeholders.
- All UAT scenarios defined have been reviewed and approved by the appropriate stakeholders.
- Access to all needed Tools and Systems are granted/provided.
- The UAT environment is available, configured, and stable.
- UAT Data requirements have been specified and are available in the environment.
- All supporting roles and resources are confirmed as available to support UAT per plan.
- UAT testers understand their roles and responsibilities in User Acceptance Testing.
- Any unresolved minor and moderate defects have been reviewed by the Business Lead and IT Project Team Leads and approved to go into UAT.
- All Critical and Severe defects detected in System Testing have been resolved or approved by the Business as not being critical enough to prevent UAT from starting.
- All System Test cases have been executed at least once.
- All related interfacing applications have been installed and verified in the environment where UAT will be executed.
- Test IDs and Passwords have been set up and validated for each tester.

The approvers involved in the decision to enter UAT are as follows:

Name	Role
Leann Birdsall	Business Delivery Executive (BDE)
Laura Scheckla	Business Lead
Braden Love	IT Delivery Executive(ITDE)
Jackie Wake	Project Manager
Praveen Parimi	Lead Solution Analyst
Rajasekhar Yellapragada	Solution Architect /Tech Lead
Nolan Ross	Test Lead

Managing Defects

The Solution Analyst is responsible for UAT defect management which includes:

1. Analyzing the defect.
2. Logging and assigning the defect in the Quality Center application.
3. Monitor progress of reported defects.
4. Schedule retest of the fixed defects.

SG COPDR User Acceptance Test Strategy

The Solution Analyst will give the business daily updates on the status of any fixes that need to be done and retested.

Below are the agreed-upon definitions for defect severity:

- **0 – Critical**
The entire system is not operational or use of the system is severely impacted by non-operational functions with no available workaround.
- **1 – High**
The operation of a major function in the application is severely restricted with no available workaround, but other functions operate correctly and users can continue using the system.
- **2 – Medium**
The operation of an application function is restricted but use of other functions is not impacted or a requirement is not being met, but the application is otherwise usable. Example: A missing field or missing sections that do not prevent additional functionality from being used.
- **3 – Low**
There is a minor problem not impacting the use and operation of the function(s). Examples include misspelled words and location of data fields on a screen.

Exit Criteria

- UAT tests have been successfully completed with any exceptions documented.
- Retest of all fixed defects has been completed.
- All Defects show the correct status within the defect tracking tool.
- All Critical defects with a High severity of 0 have been resolved and closed or approved to be implemented into the production environment and addressed at a later date.
- The total number of outstanding Medium and Low defects has not exceeded the “to be agreed upon” threshold and are documented in the UAT Exit Report. Approval to move to production with these defects has been provided by the Project Leadership, the Quality Assurance gate review and the SQA Director.

At the completion of UAT, the Business Team must agree that each criterion listed below has been met for each individual phase and for Final UAT in order for the system to “go live.” If there are elements that are not satisfactory, a plan must be documented and managed to ensure the issues can be resolved and the project may proceed to implementation.

SG COPDR User Acceptance Test Strategy

- Business Requirements for the system solution have been met to a satisfactory level per the Business.
- All UAT scenarios for the specific solution have been executed at least once.
- All critical and severe defects have been resolved, retested, and passed.
- All minor and moderate defects have been reviewed by the Business Lead and approved to go into Production.
- Workarounds for defects going into Production have been documented, communicated, and approved.
- Defects going into Production have been documented, communicated, and scheduled to be fixed (current or future release).
- Change requests identified during UAT have been documented, reviewed by the project team (business and IT) and the existing change request process has been invoked.
- Business Lead and Business Delivery Executives have approved that the UAT Exit Criteria has been met to their satisfaction.

The approvers involved in the decision to exit UAT are as follows:

Name	Role
Leann Birdsall	Business Delivery Executive (BDE)
Laura Scheckla	Business Lead
Braden Love	IT Delivery Executive(ITDE)
Jackie Wake	Project Manager
Praveen Parimi	Lead Solution Analyst
Rajasekhar Yellapragada	Solution Architect /Tech Lead
Nolan Ross	Test Lead

System Integration Testing (SIT) Exit Criteria

The exit criteria for SIT are indicated below. Like entrance criteria, documentation must exist to support that the exit criteria has been met. The following criteria need to be met in order for UAT to begin:

SG COPDR User Acceptance Test Strategy

1. SIT test cases have been executed successfully with all exceptions documented
2. There are no outstanding Level 0 or Level 1 defects
3. Any outstanding Level 2 and Level 3 defects have been assigned action plans for resolution and signed off by Project Leadership and the Project QA Lead
4. All defects show the correct status within Quality Centre
5. A Test Evaluation Summary (including Test Case documentation) has been updated to show actual test results and pass/fail status for test cases completed
6. All outstanding criteria will be documented and reviewed
7. All planned test cases have been successfully executed
8. All functional units of code work together for all application integrations/interfaces

Next Steps

Implementation

After successfully exiting UAT, the project team will turn the solution over to be implemented in production. They will follow an Implementation Plan that outlines the steps that must be followed for the application turn over. The Implementation Plan is created by the technical resources on the project team with input from the entire team. The Solution Analyst will review the plan and work with the business to determine what, if any, functionality or access points must be checked after the solution is implemented. These checks will ensure that when the solution is rolled out to the customer, it is functioning properly and available to all intended users. Any items that are identified will be added to the Implementation Plan to make sure they are accounted.

Document History

Distribution

Name	Project Role	
Leann K Birdsall	Business Delivery Executive	Approver
Laura Scheckla	Business Lead	
Jackie Wake	Project Manager	Approver
Rajasekhar Yellapragada	Solution Architect /Tech Lead	Approver
Nolan Ross	Test Lead	Approver
Braden Love	IT Delivery Executive	Reviewer
Joseph A Sperduti	Lead Systems Architect	Reviewer

Document History

Version	Date	Author	Summary of Changes
0.01	1/4/2015	Praveen Parimi	Initial Draft
0.02		Praveen Parimi	Updates from Peer Review

SG COPDR User Acceptance Test Strategy