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| **CORPORATE SERVICES DIVISION**  **ERMS USER ACCEPTANCE TEST** | |
| Release: | **VER01** |
| Date: | **28RD SEPTEMBER 2016** |
| Author: | **PROJECT MANAGER** |
| Owner: | **DIRECTOR ADMINISTRATION** |
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* 1. **Approvals**

This document requires the following approvals.

Signed approval forms should be filed appropriately in the project filing system.

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* 1. **Distribution**

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* 1. **UAT Acceptance**

The User Acceptance Test (UAT) for the Electronic Records Management System (ERMS) has been reviewed, verified and accepted by:

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | **Title** | **Signature** | **Date** |
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1. **INTRODUCTION**

The Zambia Revenue Authority (ZRA) is currently implementing the Electronic Records Management System (ERMS) called ViciDocs. This Document Management System has been supplied and installed on ZRA Test Servers by Digital Ventures Solutions Zambia Ltd. As a requirement for assessing and accepting that the system that has been supplied meets the originally specified User Requirements, the system was subjected to User Acceptance Testing (UAT) from the 17th to the 27th of June 2016 at the ZRA Training Centre. The User Acceptance Tests were conducted by a group of 21(Twenty one) participants drawn from various businesses units from Headquarters and other stations. Field Tests and other user acceptance assessments were also conducted at remote sites that included; Kabwe, Ndola, Kitwe, Chingola, Kasumbalesa, Mokambo, Chembe, Mansa, Mongu, Kazungula, Livingstone, Choma, Nakonde, Mpulungu, Kasama, and Chinsali during the month of September 2016.

1. **OBJECTIVES OF THE UAT**

The main objectives of the UATs were to confirm whether the ERMS that has been supplied to ZRA meets the functional requirements as specified in the original User Requirements document. The exercise was also aimed at confirming whether the system meets the expected and acceptable performance levels that include security, availability, and accessibility as well as user friendliness.

Apart from User Acceptance Testing, the exercise was also aimed at giving feed back to the vendor on the results of the tests as a basis for subsequent regression and correction of cases that might not meet the specified requirements before final acceptance of the system.

1. **UAT SCOPE**

The UAT comprised a total of 149 cases that included both Functional and Non–functional requirements with the exclusion of test cases for interface which would only be feasible once the system is fully accepted for production.

1. **FUNCTIONAL UAT RESULTS SUMMARY**

|  |  |  |  |
| --- | --- | --- | --- |
| **Item** | **Description** | **Results** | **Percentage of success /failure** |
| **1** | **total no. of test cases** | **152** |  |
| 2 | actual no. of cases tested | **133** | **87.5%** |
| 3 | total number of cases **not tested** | **19** | **12.5%** |
| 4 | total number of cases passed out of total tested | **127** | **95.49%** |
| 5 | total number of cases failed out of total tested | **6** | **4.51%** |
|  |  |  |  |

1. **NON-FUNCTIONAL UAT RESULTS SUMMARY**

|  |  |  |  |
| --- | --- | --- | --- |
| **Item** | **Description** | **Results** | **Percentage of success /failure** |
| **1** | **total no. of test cases** | **44** | **100%** |
| 2 | actual no. of cases tested | **39** | **88.63%** |
| 3 | total number of cases **not tested** | **5** | **11.36%** |
| 4 | total number of cases passed out the total tested | **35** | **89.74%** |
| 5 | total number of cases failed out of the total Tested | **4** | **10.25%** |
|  |  |  |  |

1. **CONCLUSION**

The Functional Requirements tests had a total of **152 test** cases, out of which **133** were tested. Of the tested cases, **127** tests passed, representing a **95.49%** pass. A total of **6 tests** failed out of the **133** cases tested, representing a **4.51%** fail. A total of **19 cases** out of the 152 test cases were not tested. Of the untested cases, **3 tests** will only be conducted after actualisation of interface of the system with other ZRA e-based systems. **10 cases** could not be tested on account of unavailability of Barcode Printers and Scanners and **1 test** required time configurationand will be tested during on-going regression while **5** **cases** were not tested on account of changes in business requirements and are no longer desirable. A Change Request to exclude the cases no longer deemed desirable in the remaining tests will be issued.

Out of the **44 non-functional requirement test cases**, **4 cases** failed representing **10.25 %** of the cases under this category. 5 cases that were not tested are on-going activities whose closure is at the end of the project at interface implementation.

From the foregoing, the overall User Acceptance Testing results indicate that the System satisfies the critical functional and non-functional requirements. Although some of the ‘failed’ and ‘not tested’ cases where marked as mandatory requirements, they do not pose a risk to the efficient and optimal operation of the system or system’s ability to successfully satisfy its fundamental purpose. Therefore, it is recommended that the proceeding implementation activities as outlined on the Project Implementation Plan be authorised by PMC for commencement.

List Appendices

Appendix 1.0: Functional requirements UAT- Results

Appendix 2.0: Functional Requirements UAT- Cases Not Testes

Appendix3.0: Functional Requirements UAT- Failed Cases.

Appendix 4.0: Non -Functional Requirements UAT- result

Appendix 5.0: Non -Functional Requirements UAT- Field Test

Appendix 6.0: list of UAT participants

**APPENDIX 1.0: FUNCTIONAL REQUIREMENTS UAT-RESULTS**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **FILE CIRCULATION FOR PHYSICAL RECORDS** | | | | | | | | |
|  | 4.1.1 | | The system should notify the registry user of the number of days remaining before the expiry of the loan period for the file/record | Login to Check if the system is able to notify the user on File loan status periodically prior to the expiry of the loan period. | Is the system able to give notice on how long the officer/department has been in possession of the file? | Passed  Failed  Not Tested |  | |
| Check for the remaining period before file due date | Is the system giving the period remaining for the file to be returned to the registry? | Passed  Failed    Not Tested |  | |
|  | 4.1.1b | | The system should be able to track the file and identify the officer in whose custody the file is, Including the Division/Department where the officer is based. | Login to Issue and Track designation of file and requesting officer | Has the system been able to identify the requesting officer and the department where he/she is based? | Passed  Failed  Not Tested |  | |
| Check to see whether the file details are displayed | Are the details of the requested file reflecting? | Passed  Failed  Not Tested |  | |
|  | 4.1.1 a | | The system should provide information on the availability of a physical record before a requisition is processed. | Login to Enquire on availability file/ record before requesting | Has the information pertaining the availability of the requested physical record/file been provided on searching? | Passed  Failed  Not Tested |  | |
| Check if the system can search using any keyword | Does the system provide specific search criteria, such as, Title, Owner, Rack ID, Location etc.? | Passed  Failed  Not Tested |  | |
| Check if the report has been generated according to the given search criteria with all tracking details appearing | Has the system been able to fetch the information on the status of the file/records based on the search criteria | Passed  Failed  Not Tested |  | |
|  | 4.1.2 | | The system should allow for the configuration of the period the files can be with the requesting officer based on departmental requirements | Login to Configure/ Assign File loan Period | Has the loan period been configured at the creation of a record type? | Passed  Failed  Not Tested |  | |
| Verify the configuration for loan period | Has the system allowed input of the loan period at creation of a particular record type? | Passed  Failed  Not Tested |  | |
| Has the system been able to allocate the loan period for a particular record type upon requisition | Passed  Failed  Not Tested |  | |
|  | 4.1.1 | | The system should notify the registry user of the number of days remaining before the expiry of the loan period for the file/record | Login to Check if the system is able to notify the user on File loan status periodically prior to the expiry of the loan period. | Is the system able to give notice on how long the officer/department has been in possession of the file? | Passed  ...  Failed  Not Tested | . | |
| Check for the remaining period before file due date | Is the system giving the period remaining for the file to be returned to the registry? | Passed  Failed  Not Tested |  | |
| Check for any notification in relation to all file activities of a requested file | Is the system able to send notification to the user pertaining any activity about the requested files? E.g. overdue, recall etc. | Passed  Failed  Not Tested |  | |
| Check if other users in this workflow receive notifications | Is the system able to send notification to other users who are part of the record request approval process? | Passed  Failed  Not Tested |  | |
| Check system notification on the expiry of file | Is the system able to send notifications to the users on the expiry of the loan period? | Passed  Failed  Not Tested |  | |
|  | 4.1.4 | | The system must provide functionality to recall the document/file through a trigger recall message to the officer holding the document/file. | Login to Check for mail based notification to users for record/file recall | Is the system able to recall a requested /loaned document/file through a trigger recall message to the officer in possession document/file?  Are notifications sent to the users who are part of the approval process? | Passed  Failed  Not Tested | . | |
|  | 4.1.5 | | The system should be able to generate a reminder on overdue files. The file shall be held by an officer for a configurable number of days after which the system will trigger a reminder to inform the officer that the files need to be returned to the registry. | Login to Check for configuration of overdue period and possible extension  -Check if the system is able to trigger reminders based on the configuration | Is the system able to generate and trigger a reminder to the user and other persons in the approval process on overdue files? | Passed  Failed  Not Tested |  | |
|  | 4.1.6 | | The system should deny an officer holding on to the file which is overdue, from requesting for another file. The system should provide for configuration of overdue period and possible extension. | Login to Check if the system is able to extend the loan period | Is the system able to provide for possible extension after the loan period? | Passed  Failed  Not Tested |  | |
|  | 4.1.8 | | The system should facilitate online File Requests which once approved by registry online, can be collected by the requesting officer after signing the print out of a Request File Form or having his/her bar code swiped to link file and borrowers details. | Check if the system can approve a file request as departmental supervisor  Login as Registry user and see if the registry will receive an approved request.  Login as dispatch officer to Charge out file and see if the prompt for staff barcode swipe will be triggered. | Is a Departmental supervisor able to approve file request? | Passed  Failed  Not Tested |  | |
| Is the Registry dispatch officer able to check and see an approved request on the dispatch dashboard? | Passed  Failed  Not Tested |  | |
| Is the registry officer able to Swipe staff barcode against the requested file details to see if the file will have a different status? E.g. requested by and other metadata file request details. | Passed  Failed  Not Tested |  | |
| Overlook staff barcode swiping and enter staff details | Is the system prompting for a receipt print out? | Passed  Failed  Not Tested |  | |
| Check for system notifications on file transfer activities | **Is the System able to give notification on all file transfer activities?** | Passed  Failed  Not Tested |  | |
| Check if the loan period has been restart for the new requester/receiving officer | Check if the loan period has been refreshed on the officer to whom the file has been transferred. | Passed  Failed  Not Tested |  | |
|  | 4.1.10 | | **The system should allow officers to request part files/volumes. The system should allow for file structure definition describing related volumes** | Request for a single volume of a file and see if the system will permit. | **Does the system allow officers to request for part files / volumes?** | Passed  Failed  Not Tested |  | |
| Create a file structure with levels and see if the system will accept. | **Does the system allow file structure definition describing related volumes?** | Passed  Failed  Not Tested |  | |
|  | 4.1.11 | | **The system should limit the number of files going out to a configurable specification of files per account/user** | Configure the limit number of files that can be requested. | Does the system allow you to configure different periods for different record types | Passed  Failed  Not Tested |  | |
| Try to request for the files more than what is specified as a limit. | Is the system able to accept request? | Passed  Failed  Not Tested |  | |
|  | 4.1.12 | | **The system should be able to show the user (Requester) the status of the file e.g. available, not available, nonexistent, etc.** | Login as user to see if the status of file changes when the file is in registry and does change when out. Check for any other status | Is the system able to show the user (Requester) the status of the file? E.g. available, not available, nonexistent, etc. | Passed  Failed  Not Tested |  | |
| If yes, let the period exceed | Has system sent you a reminder that the file is due or overdue? | Passed  Failed  Not Tested |  | |
| If yes, let the period exceed | Make sure all your files are overdue, request another file.is the system able to issue? | Passed  Failed  Not Tested |  | |
| check if the system has sent a notification for the renewal of overdue files |  | Passed  Failed  Not Tested |  | |
| REPORTS FOR FILE CIRCULATION OF PHYSICAL RECORDS | | | | | | | | |
|  | | 4.2.1 | **The System shall provide for the generation of reports based on the attributes captured during the creation of a record/file.** | **Check for report based on the attributes captured during the creation of a record/file.** | Does the System provide for the generation of reports based on the attributes captured during the creation of a record/file? | Passed  Failed  Not Tested |  | |
|  | | 4.2.4 | The System shall produce statistical reports based both on individual users as well as on files and subject areas. The System shall also produce reports regarding “Files Out” against “Files In” | Check if the system produce statistical reports based both on individual users as well as on files and subject areas. The System shall also produce reports regarding “Files Out” against “Files In” | Does the System produce statistical reports based both on individual users as well as on files and subject areas? | Passed  Failed  Not Tested |  | |
|  | | 4.2.5 | The system shall provide reports on status of files based on Meta data fetched from the circulation function. | Check if the systems provide reports on status of files based on Meta data fetched from the circulation function. | Does the system provide adhoc reports on status of files based on Meta data fetched from the circulation function? | Passed  Failed  Not Tested |  | |
|  | | 4.2.6 | The system shall generate Report on files in transfers between officers, Date of transfer to another user, Name and location of user to who file transferred | Check if the system generate Report on files in transfers between officers, Date of transfer to another user, Name and location of user to who file transferred | Does the system generate a Report on files in transfers between officers, Date of transfer to another user, Name and location of user to who file transferred? | Passed  Failed  Not Tested |  | |
|  | | 4.2.7 | The system shall generate Report on files/document in transit between locations, Date of transfer to another location, details of location | Check if the system generate Reports on files/document in transit between locations, Date of transfer to another location, details of location | Does the system generate a Report on files/documents in transit between locations, Date of transfer to another location, details of location? | Passed  Failed  Not Tested |  | |
|  | | 4.2.8 | **The system shall have a provision of generating ad hoc reports based on audit trails.** | **Check if the system has a provision of generating ad hoc reports based on audit trails.** | Does the system have a provision of generating ad hoc reports based on audit trails? | Passed  Failed  Not Tested |  | |
|  | | 4.4.1 | The system should provide for the configuration of the file search criteria, e.g. by Account Number, Name of file, TPIN, Tax Type, Tax Office, Date of Registration, Man Number, Order Number. | Check if the system provide for the configuration of the file search criteria, e.g. by Account Number, Name of file, TPIN, Tax Type, Tax Office, Date of Registration, Man Number, Order Number. | Is the system able to configure/ assign search criteria of different record types based on defined variables | Passed  Failed  Not Tested |  | |
| Check if the system is able to search using the O.C.R capabilities on any terms that are not defined in metadata but are on documents | Is the system able to search using the O.C.R capabilities on any terms that are not defined | Passed  Failed  Not Tested |  | |
|  | | 4.4.2 | The system should provide an option to either request for the physical file or view the digital format. | Check if the systems provide an option to either request for the physical file or view the digital format. | Does the system provide an option to either request for the physical file or view the digital format? | Passed  Failed  Not Tested |  | |
| **REPORTS ON ENQUIRY** | | | | | | | | |
|  | | 4.5.1 | The System shall generate a report with the search criteria requiring information on the entire classification scheme and part of the classification scheme as defined by the user. | Check if the system can generate a report with the search criteria requiring information on the entire classification scheme and part of the classification scheme as defined by the user. | Does the System generate a report with the search criteria requiring information on the entire classification scheme and part of the classification scheme as defined by the user? | Passed  Failed  Not Tested |  | |
|  | | 4.5.3 | The System shall be able to provide the user with a report of all active files for a defined file category. | Check if the System shall be able to provide the user with a report of all active files for a defined file category. | Does the System provide the user with a report of all active files for a defined file category? | Passed  Failed  Not Tested |  | |
| **5. FILE REQUEST** | | | | | | | | |
|  | | 4.6.1 | The System should allow officers to request for physical files electronically and must also provide access to digital files | If the System can allow officers to request for physical files electronically and must also provide access to digital files | Does the System allow officers to request for physical files electronically? | Passed  Failed  Not Tested |  |
|  | |  |  |  | Does the system provide access to digital files? | Passed  Failed  Not Tested |  | |
|  | |  |  |  | Does the system provide standard workflows to be defined and maintained by a System Administrator under file request process? | Passed  Failed  Not Tested |  | |
|  | | 4.6.2 | The System should indicate the status of the file to requesting officer i.e. in registry or out and with whom. | Check if the System indicates the status of the file to requesting officer i.e. in registry or out and with whom. | Does the system indicate the status of the file to requesting officer i.e. in registry or out and with whom? | Passed  Failed  Not Tested |  | |
|  | | 4.6.3 | When the status of the file is ‘In Registry’, the system should allow the user to request for the file. | Check if the status of the file is ‘In Registry’, the system should allow the user to request for the file. | Does the system allow the requesting officer to request for a file whose status is ‘In Registry’? | Passed  Failed  Not Tested |  | |
|  | | 4.6.4 | **Where the status of a file is ‘Out’ the System should provide for reservation of the file through a queuing system Is the status of the file ‘out’?** | **Check if the status of a file is ‘Out’ the System should provide for reservation of the file through a queuing system Is the status of the file ‘out’?** | Upon requesting the file with ‘out’ status, does the system provide for reservation of the file through a queuing system? | Passed  Failed  Not Tested |  | |
|  | | 4.6.5 | **When a file is returned, the system must notify the next person in the queue of the file’s availability.** | **Check if the file has been returned, the system must notify the next person in the queue of the file’s availability.** | When a file is returned, Does the system notify the next person in the queue of the file’s availability? | Passed  Failed  Not Tested |  | |
| Is the system able to prioritize items in queues | Passed  Failed  Not Tested |  | |
|  | | 4.6.6 | **The System must ensure that all requests for physical files are approved by the supervisor of the user before sending the request to the registry** | **Check if the System ensures that all requests for physical files are approved by the supervisor of the user before sending the request to the registry** | Does the System provide that, all requests for physical files are approved by the supervisor of the user before sending the request to the registry? | Passed  Failed  Not Tested |  | |
|  | | Does the system support workflows that consist of a number of procedural steps? | Passed  Failed  Not Tested |  | |
|  | | 4.6.7 | The System should be able to allocate approved files to available officers in Registry for issuance | Check if the system is able to allocate approved files to available officers in Registry for issuance | Does the System allocate approved files to available officers in Registry for issuance? | Passed  Failed  Not Tested |  | |
| **FILE MANAGEMENT FOR ACTIVE RECORDS** | | | | | | | | |
|  | | 4.6.1 | **The System must provide for the configuration and definition of the Classification Scheme.** | Check whether the System provide for the configuration and definition of the Classification Scheme. | Does the System provide for the configuration and definition of the Classification Scheme? | Passed  Failed  Not Tested |  | |
| Check whether the System allows upload/digitization of records according to the defined levels of Classification Scheme. | Does the system accept records to be input/ uploaded in ERMS in accordance with the defined organization’s records classification scheme. | Passed  Failed  Not Tested |  | |
|  | | 4.6.2 | **The System should be flexible to allow new changes to administrative structures or the Classification Scheme.** | Check whether the System is be flexible to allow new changes to administrative structures or the Classification Scheme. | Is the System flexible to allow new changes to administrative structures or the Classification Scheme? | Passed  Failed  Not Tested |  | |
|  | | 4.6.3 | **The System should allow for centralized management of the Classification Scheme by the System Administrator or other authorized user.** | Check whether the System allows for centralized management of the Classification Scheme by the System Administrator or other authorized user. | Does the System allow for centralized management of the Classification Scheme by the System Administrator or other authorized user? | Passed  Failed  Not Tested |  | |
|  | | 4.6.6 | **The System should restrict the definition and maintenance of records classification to a System Administrator or authorized user.** | Check whether the System restricts the definition and maintenance of records classification to a System Administrator or authorized user. | Does the System restrict the definition and maintenance of records classification to a System Administrator or authorized user | Passed  Failed  Not Tested |  | |
|  | | 4.6.4 | **The System should support the development and use of more than one Classification scheme.** |  | Does the System support the development and use of more than one Classification scheme? | Passed  Failed  Not Tested |  | |
|  | | 4.6.5 | **The System should allow for the definition of levels and the allocation of unique identifiers for business functions, activities and transactions in the file classification system.** |  | Does the System allow for the definition of levels and the allocation of unique identifiers for business functions, activities and transactions in the file classification system? | Passed  Failed  Not Tested |  | |
| Is the system flexible to allow new terms to be allocated to newly defined levels in the record scheme? | Passed  Failed  Not Tested |  | |
|  | | **4.6.7** | **The System should be able to create barcodes for all files registered in the system.** | **Check whether the System is able to create barcodes for all files registered in the system.** | **Is the System able to create barcodes for all files registered in the system 6.7** | Passed  Failed  Not Tested |  | |
|  | | 4.6.8 | **The system should be able to generate barcodes for each particular volume** | Check whether the system is able to generate barcodes for each particular volume | **Is the system able to generate barcodes for each particular volume?** | Passed  Failed  Not Tested |  | |
|  | | 4.6.9 | The System should allow for the transfer of files according to a configurable user defined criteria. | Check whether the System allows the transfer of files according to a configurable user defined criteria. | Does the System allow for the transfer of files according to a configurable user defined criteria | Passed  Failed  Not Tested |  | |
|  | | 4.6.9 | **The System shall provide for a function for the transfer of records from one location to another. Once the transfer process is activated, the system shall indicate ‘In Transit’ until the file is received. Once the recipient confirms receipt, the system shall confirm availability of the file in the new location.** | Check whether the System provide for a function for the transfer of records from one location to another. Once the transfer process is activated, the system shall indicate ‘In Transit’ until the file is received. Once the recipient confirms receipt, the system shall confirm availability of the file in the new location. | **Does the System provide for a function for the transfer of records from one location to another?** | Passed  Failed  Not Tested |  | |
| **Once the file transfer process is activated, does the system indicate ‘In Transit’ until the file is received in a new location?** | Passed  Failed  Not Tested |  | |
| **Once the recipient in a new location confirms receipt, does the system confirm availability of the file in that new location?** | Passed  Failed  Not Tested |  | |
|  | | 4.6.10 | **The System should allow a folder or group of folders, and their attached records, to be moved and reclassified within the system by a System Administrator or other authorized user.** | Check whether the System allow a folder or group of folders, and their attached records, to be moved and reclassified within the system by a System Administrator or other authorized user. | **Does the System allow a folder or group of folders, and their attached records, to be moved and reclassified within the system by a System Administrator or other authorized user?** | Passed  Failed  Not Tested |  | |
| Does the system allow for the transfer/re-assignment of records from one folder to another by a  System Administrator or other authorized user? | Passed  Failed  Not Tested |  | |
|  | | 4.6.11 | **The System shall provide for the configuration or definition of the period that a record/file can be active based on defined document type.** | Check whether the System provides for the configuration or definition of the period that a record/file can be active based on defined document type. | **Does the System provide for the configuration or definition of the period that a record/file can be active based on defined document type?** | Passed  Failed  Not Tested |  | |
|  | | 4.6.12 | **After the expiry, that particular class of documents will be moved to Semi-Active stage basing on the metadata assigned to those particular classes of documents.** | Check whether after the expiry, that particular class of documents will be moved to Semi-Active stage basing on the metadata assigned to those particular classes of documents. | **After the expiry, does the system move defined classes of documents from Active to Semi-Active stage with its metadata?** | Passed  Failed  Not Tested |  | |
| 1. **REPORTS IN FILE MANAGEMENT FOR ACTIVE RECORDS** | | | | | | | | |
|  | | 4.6.12 | **The System shall have a function to produce reports on file transfer between locations** | Check whether the System has a function to produce reports on file transfer between locations | **Does the System have a function to produce reports on file transfer between locations?.** | Passed  Failed  Not Tested |  | |
|  | | 4.7.2 | **The System shall have an Audit trail reporting function on the activities on the entire classification scheme or part of it depending on the enquiry provided.** | The System shall have an Audit trail reporting function on the activities on the entire classification scheme or part of it depending on the enquiry provided. | **Does the System have an Audit trail reporting function on the activities on the entire classification scheme or part of it depending on the enquiry provided?** | Passed  Failed  Not Tested |  | |
|  | | 4.7.3 | **The system shall be able to produce reports listing such as all files created or registered within the records classifications scheme structured according to the hierarchy of the Record Plan** | Check whether the system is able to produce reports listing such as all files created or registered within the records classifications scheme structured according to the hierarchy of the Record Plan | **Is the system able to produce reports listing such as all files created or registered within the records classifications scheme structured according to the hierarchy of the Record Plan?** | Passed  Failed  Not Tested |  | |
|  | | 4.7.4 | **The system shall be able to generate reports comprising the entire classification scheme and or part of the classification scheme as defined by the user** | Check whether the system is able to generate reports comprising the entire classification scheme and or part of the classification scheme as defined by the user | **Is the system able to generate reports comprising the entire classification scheme and or part of the classification scheme as defined by the user?** | Passed  Failed  Not Tested |  | |
|  | | 4.7.5 | **The System shall a function of producing reports by a defined period on the files that have turned semi active.** | Check whether the System has a function of producing reports by a defined period on the files that have turned semi active. | **Does the System have a function of producing reports by a configured period on the files that have turned semi active?** | Passed  Failed  Not Tested |  | |
|  | | 4.7.6 | **The System shall provide for viewing of all the records whose ‘Active’ periods have expired and are pending purging/removal from the Active repository to Semi-active or from Semi-active to Archive.** | Check whether the System provide for viewing of all the records whose ‘Active’ periods have expired and are pending purging/removal from the Active repository to Semi-active or from Semi-active to Archive. | **Does the System provide for viewing of all the records whose ‘Active’ periods have expired and are pending purging/removal from the Active repository to Semi-active or from Semi-active to Archive?** | Passed  Failed  Not Tested |  | |
|  | | 4.7.7 | **The System shall produce a report of documents purged or moved from an active file to a semi active file.** | Check whether the System is able to produce a report of documents purged or moved from an active file to a semi active file. | **Does the System produce a report of documents purged or moved from an active file to a semi active file?** | Passed  Failed  Not Tested |  | |
|  | | 4.7.8 | **The System shall have defined report access parameters for different user groups.** | Check whether the System has defined report access parameters for different user groups. | **Does the System has defined report access parameters for different user groups?** | Passed  Failed  Not Tested |  | |
|  | | 4.7.9 | **The system shall provide a detailed report for Active Records** | Check whether the system provide a detailed report for Active Records | **Does the system provide a detailed report on all Active Records?** | Passed  Failed  Not Tested |  | |
| **2.FILE MANAGEMENTFOR SEMI-ACTIVE RECORDS** | | | | | | | | |
|  | | 4.8.1 | **The System shall provide for the configuration and definition of the Classification Schemes** | Check whether the System provide for the configuration and definition of the Classification Schemes | **Does the System provide for the configuration and definition of the Classification Schemes?** | Passed  Failed  Not Tested |  | |
|  | | 4.8.2 | The System shall allow the Systems Administrator to set the disposal criteria | Check whether the System allows the Systems Administrator to set the disposal criteria | Does the System allow the Systems Administrator to set the disposal criteria? | Passed  Failed  Not Tested |  | |
|  | | **4.8.3** | **The System shall be able to display all files contained in a particular box/rack.** | **Check whether the System is able to display all files contained in a particular box/rack.** | **Is the System able to display all files contained in a particular box/rack?** | Passed  Failed  Not Tested |  | |
|  | | 4.8.4 | **The System shall provide for a review/change of the records destruction date.** | Check whether the System provide for a review/change of the records destruction date. | **Does the System provide for a review/change of the records destruction date?** | Passed  Failed  Not Tested |  | |
|  | | **4.8.5** | **The System has an in-built functionality to show the content of a file location at any point of time.** | **Check whether the System has an in-built functionality to show the content of a file location at any point of time.** | **Does the System have an in-built functionality to show the content of a file location at any point of time?** | Passed  Failed  Not met |  | |
|  | | 4.8.6 | **The System shall provide for the assignment of an Identification Code to the storage location and allow the System Administrator to move files between storage locations.** | Check whether theSystem provides for the assignment of an Identification Code to the storage location and allow the System Administrator to move files between storage locations. | **Does the System provide for the assignment of an Identification Code to the storage location and allow the System Administrator to move files between storage locations?** | Passed  Failed  Not Tested |  | |
|  | | 4.8.7 | **The System shall give reminders for the files which are due for destruction.** | Check whether the System gives reminders for the files which are due for destruction. | **Does the System give reminders for the files which are due for destruction?** | Passed  Failed  Not Tested |  | |
|  | | 4.8.8 | **The System shall provide for the transfer of physical files from active range (Registry) to semi active (Record Center)** | Check whether the System provide for the transfer of physical files from active range (Registry) to semi active (Record Center) | **Does the System provide for the transfer of physical files from active range (Registry) to semi active (Record Center)?** | Passed  Failed  Not Tested |  | |
| Is the system able to detect records in any folder due for export or transfer based on change of status, and notify the authorized user? | Passed  Failed  Not Tested |  | |
| **2.REPORTS IN FILE MANAGEMENT FOR SEMI-ACTIVE RECORDS** | | | | | | | | |
|  | | 4.9.1 | **The System shall produce reports on all disposal activities undertaken by the system.** | Check if the System is able to produce reports on all disposal activities undertaken by the system. | **Does the System produce reports on all disposal activities undertaken by the system?** | Passed  Failed  Not Tested |  | |
|  | | 4.9.2 | **The System shall produce a report with details on the outcome of a disposal process.** | Check if the System is able to a report with details on the outcome of a disposal process. | **Does the System produce a report with details on the outcome of a disposal process?** | Passed  Failed  Not Tested |  | |
|  | | 4.9.2 | **The System shall be able to produce reports to support file transfer processes between locations.** | Check if the System is able to produce reports to support file transfer processes between locations. | **Does the System produce reports to support file transfer processes between locations?** | Passed  Failed  Not Tested |  | |
|  | | 4.9.4 | **The System should be able to report on the volume and types of files that are due for disposal. .** | Check if the System is able to produce reports on the volume and types of files that are due for disposal. . | **Is the System able to report on the volume and types of files that are due for disposal?**  **.** | Passed  Failed  Not Tested |  | |
|  | | 4.9.5 | **The System shall generate Reports on files/volumes destroyed within a defined period.** | Check if the System is able to generate Reports on files/volumes destroyed within a defined period. | **Does the System generate Reports on files/volumes destroyed within a defined period?.** | Passed  Failed  Not Tested |  | |
|  | | 4.9.6 | **The System shall generate the Semi Active Records Report.** | Check if the System is able to generate the Semi Active Records Report. | **Does the System generate the Semi Active Records Report?** | Passed  Failed  Not Tested |  | |
|  | | 4.9.7 | **The system shall generate a report on records earmarked for disposal.** | Check if the System is able to generate a report on records earmarked for disposal. | **Does the system generate a report on records earmarked for disposal?** | Passed  Failed  Not Tested |  | |
| **MAIL MANAGEMENT** | | | | | | | | |
|  | | 4.10.1 | The System shall provide functionality for users to make a request for their physical mail to be sent / posted by registry via registered mail courier. | Check if the System provides functionality for users to make a request for their physical mail to be sent / posted by registry via registered mail courier. Check also that a system allows configuration of workflow steps. | Does the System provide functionality for uers to make a request for their physical mail to be sent / posted by registry via registered mail courier? | Passed  Failed  Not Tested |  | |
|  | |  | Does the system support workflows that consist of a number of procedural steps? | Passed  Failed  Not Tested |  | |
|  | | 4.10.2 | The System must provide functionality for the supervisor to approve the request for registered mail to be posted by Registry. | Check if the System provides functionality for the supervisor to approve the request for registered mail to be posted by Registry. | Does the System provide functionality for the supervisor to approve the request for registered mail to be posted by Registry? | Passed  Failed  Not Tested |  | |
|  | | 4.10.3 | The System should be able to generate a notification of approval of request for postage of mail to mail room function. | Check if the System is able to generate a notification of approval of request for postage of mail to mail room function. | Does the System send a notification of approval of request for postage of mail to the mail room? | Passed  Failed  Not Tested |  | |
|  | | 4.10.4 | The System shall provide functionality for registry to accept the request by confirmation of receipt and indication of dispatch details. | Check if the System provides functionality for registry to accept the request by confirmation of receipt and indication of dispatch details. | Does the System provide functionality for registry to accept the request by confirmation of receipt and indication of dispatch details? | Passed  Failed  Not Tested |  | |
|  | | 4.10.5 | The System shall have functionality to capture/enter incoming registered mail and notifying relevant recipients of mail received in the Registry | Check if the System has functionality to capture/enter incoming registered mail and notifying relevant recipients of mail received in the Registry | Does the System have functionality to capture/enter incoming registered mail? | Passed  Failed  Not Tested |  | |
| Does the system notify relevant recipients of mail received in the Registry? | Passed  Failed  Not Tested |  | |
| Does the system alert a user when a digital record has been captured and  Sent to their in-tray for attention, and specify the attention required. | Passed  Failed  Not Tested |  | |
| **REPORTS IN MAIL MANAGEMENT** | | | | | | | | |
|  | | 4.11.1 | **The System shall generate reports based on the Request and Receipt Forms which are run through the workflow.** | Check if the System generates reports based on the Request and Receipt Forms which are run through the workflow. | **Does the System generate reports based on the Request and Receipt Forms which are run through the workflow?** | Passed  Failed  Not Tested |  | |
|  | | 4.11.2 | **The System shall generate reports based on the Request and Receipt Forms which are run through the workflow.** | Check if the System generates reports based on the Request and Receipt Forms which are run through the workflow. | **Does the System generate reports based on the Request and Receipt Forms which are run through the workflow?** | Passed  Failed  Not Tested |  | |
|  | | 4.11.3 | **The System shall provide a report of all official registered and ordinary mails confirmed receipt and posted by registry.** |  | **Does the System provide a report of all official registered and ordinary mails confirmed receipt and posted by registry?** | Passed  Failed  Not Tested |  | |
|  | | 4.11.5 | The System shall produce reports of the relevant activities of the metadata concerning the receipt and dispatch of incoming and outgoing mail | Check if the System produce reports of the relevant activities of the metadata concerning the receipt and dispatch of incoming and outgoing mail | **4.** Does the System produce reports of the relevant activities of the metadata concerning the receipt and dispatch of incoming and outgoing mail? | Passed  Failed  Not Tested |  | |
|  | | 4.11.6 | The System shall produce statistics on the number of mail received and dispatched for the period defined by the user. | Check if the System produce statistics on the number of mail received and dispatched for the period defined by the user. | Does the System produce statistics on the number of mail received and dispatched for the period defined by the user? | Passed  Failed  Not Tested |  | |
|  | | 4.11.7 | The System shall generate the registered outgoing and incoming mails report. | Check if the System generates the registered outgoing and incoming mails report. | Does the System generate the registered outgoing and incoming mails report? | Passed  Failed  Not Tested |  | |
|  | | 4.11.8 | The System shall be able to generate the Pending Registered Mail collection reports. | Check if the System is able to generate the Pending Registered Mail collection reports. | Does the System generate the Pending Registered Mail collection reports | Passed  Failed  Not Tested |  | |
| **3.RECORDS CAPTURE** | | | | | | | | |
|  | | 4.12.1 | The System shall provide for the creation of new master files. | Check if the System provide for the creation of new master files. | Does the System provide for the creation of new master files? | Passed  Failed  Not Tested |  | |
|  | | 4.12.2 | The System shall provide for the appending of files in the master files in any ZRA recommended format, e.g. PDF | Check if the System provide for the appending of files in the master files in any ZRA recommended format, e.g. PDF | Does the System provide for the appending of files in the master files in any ZRA recommended format, e.g. PDF? | Passed  Failed  Not Tested |  | |
| Check also if the system provide for the review of metadata by system administrator. | Does the system allow capture, review and maintenance of metadata relating to any  classification scheme | Passed  Failed  Not Tested |  | |
|  | | 4.12.4 | The System shall provide for integration between the physical files and the digital files. | Check if the System provide for integration between the physical files and the digital files. | Does the System allow the management of digital documents using the same  Classification tools as those applied to physical records? | Passed  Failed  Not Tested |  | |
| Does the system make a clear and obvious  Distinction between digital documents and physical records to enable access? | Passed  Failed  Not Tested |  | |
|  | | 4.12.5 | The System shall be centralized to allow access from any point on the ZRA network. | Check if the System is centralized to allow access from any point on the ZRA network. | Is the System centralized to allow access from any point on the ZRA network?  **.** | Passed  Failed  Not Tested |  | |
|  | | 4.12.6 | The System shall allow a System Administrator or other authorized user to close a folder, ensuring that no new records can be added to that folder | Check if the System allow a System Administrator or other authorized user to close a folder, ensuring that no new records can be added to that folder | Does the System allow a System Administrator or other authorized user to close folder/folders, ensuring that no new records can be added to that folder? | Passed  Failed  Not Tested |  | |
|  | | 4.12.7 | The System shall ensure that closed folders and their contents are still accessible for retrieval and viewing purposes. | Check if the System ensures that closed folders and their contents are still accessible for retrieval and viewing purposes. | Does the System permit closed folders and their contents to be accessible for retrieval and viewing purposes? | Passed  Failed  Not Tested |  | |
|  | | 4.12.8 | The System shall allow a System Administrator or other authorized user to open a previously closed folder for the addition of records, and subsequently close the folder again. | Check if the System allows a System Administrator or other authorized user to open a previously closed folder for the addition of records, and subsequently close the folder again. | Does the System allow a System Administrator or other authorized user to open a previously closed folder for the addition of records, and subsequently close the folder again? | Passed  Failed  Not Tested |  | |
| **3.RECORDS CAPTURE REPORTS** | | | | | | | | |
|  | | 4.13.1 | The System shall generate a report on digital records or categories of digital records, transferred within the classification system according to user defined metadata elements. | Check if the System generates a report on digital records or categories of digital records, transferred within the classification system according to user defined metadata elements | Does the System generate a report on digital records or categories of digital records, transferred within the classification system according to user defined metadata elements? | Passed  Failed  Not Tested |  | |
|  | | 4.13.2 | The system shall produce statistics for the number of digital records viewed by a user or group of users within a defined period | Check if the System produce statistics for the number of digital records viewed by a user or group of users within a defined period | Does the system produce statistics for the number of digital records viewed by a user or group of users within a defined period? | Passed  Failed  Not Tested |  | |
|  | | 4.13.3 | The System shall produce a report on the records scanned and newly registered physical files by a user or group of users on the system for a defined period of time with relevant file/record details. | Check if the System produce a report on the records scanned and newly registered physical files by a user or group of users on the system for a defined period of time with relevant file/record details. | Does the System produce a report on the records scanned and newly registered physical files by a user or group of users on the system for a defined period of time with relevant file/record details? | Passed  Failed  Not Tested |  | |
|  | | 4.13.4 | The System shall be able to report on the size and remaining capacity of its digital record stores and repositories. | Check if the System is able to report on the size and remaining capacity of its digital record stores and repositories. | Does the System report on the size and remaining capacity of its digital record stores and repositories? | Passed  Failed  Not Tested |  | |
|  | | 4.13.5 | During disposal the system shall give details on all digital records successfully destroyed and identifying those records which were not successfully destroyed. | Check if during disposal the system provide details on all digital records successfully destroyed and identifying those records which were not successfully destroyed. | During disposal, does the system give details on all digital records successfully destroyed? | Passed  Failed  Not Tested |  | |
|  | |  |  |  | During disposal, does the system identify those records which were not successfully destroyed? | Passed  Failed  Not Tested |  | |

**APPENDIX 2.0: FUNCTIONAL REQUIREMENTS NOT TESTED**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  | Login to Check if the overdue status is marked for identification. | | **Does the System have a facility to automatically mark a record/file as overdue?** | Passed  Failed  Not Tested | ZRA: consultant has demonstrated configuration of this requirement and will be subject to retesting | |
|  | 4.1.7 | **The system should allow a requesting officer to use a bar-coded ZRA Identification card when collecting physical files to enable his/her details be captured and linked to the file/files being requested or should facilitate for the generation of a request that should manually be signed by the officer collecting the file from the registry.** | Login to Check if the system is able to generate a staff bar code | | Is the system able to generate a staff barcode? | Passed  Failed  Not tested | ZRA: consultant has demonstrated configuration of this requirement and final acceptance will be subject to retesting with actual equipment | |
| Login to Check for the configuration of staff details for the generation of bar codes  Check if the system is able to configure staff details for purposes of generating bar codes | | Is the generated bar code reflecting the configured details when swiped? | Passed  Failed  Not Tested | ZRA: consultant has demonstrated configuration of this requirement and final acceptance will be subject to retesting with actual equipment | |
|  |  | The system should facilitate for the generation of a request receipt that should manually be signed by the officer collecting the file from the registry. | Login to Check if the system is able to issue a receipt/ acknowledgement for file /record collection from Registry | | Is the system able to read the generated staff barcode? | Passed  Failed  Not Tested | ZRA: consultant has demonstrated configuration of this requirement and final acceptance will be subject to retesting with actual equipment | |
| Check linkage of staff barcode details with record/file details to facilitate issuance | | Are the details on the staff barcode able to be linked to the file details during the file request process? | Passed  Failed  Not Tested | ZRA: consultant has demonstrated configuration of this requirement and final acceptance will be subject to retesting with actual equipment | |
| Check if the system can print a file issuance receipt | | Is the system able to print a receipt upon issuance of a file to the requesting officer? | Passed  Failed  Not Tested | ZRA: consultant has demonstrated configuration of this requirement and final acceptance will be subject to retesting with actual equipment | |
|  | | Does the system provide for the configuration of staff barcodes? | Passed  Failed  Not Tested | ZRA: consultant has demonstrated configuration of this requirement and final acceptance will be subject to retesting with actual equipment | |
|  |  |  | Check if the system has this function and its working | | Does the system provide for the use of bar-coded ZRA identification cards to facilitate capture of user details and issuance of records? | Passed  Failed  Not Tested | ZRA: consultant has demonstrated configuration of this requirement and final acceptance will be subject to retesting with actual equipment | |
| Check if the system prompts the issuing office to swipe the staff barcode on barcode reader | | Does the system prompt the user to swipe the staff barcode on a barcode reader when collecting physical document/file to complete transaction? | Passed  Failed  Not Tested | ZRA: consultant has demonstrated configuration of this requirement and final acceptance will be subject to retesting with actual equipment | |
|  |  |  | Check if the details have been captured upon swiping | | Are the personal details of the borrower captured upon swiping the staff barcode? | Passed  Failed  Not Tested | ZRA: consultant has demonstrated configuration of this requirement and final acceptance will be subject to retesting with actual equipment | |
|  |  |  |  | | Is the registry officer able to Swipe staff barcode against the requested file details to see if the file will have a different status? E.g. requested by and other metadata file request details. | Passed  Failed  Not Tested | ZRA: consultant has demonstrated configuration of this requirement and final acceptance will be subject to retesting with actual equipment | |
| **RECORDS CAPTURE** | | | | | | | |
|  | 4.12.3 | The System shall be able to receive new registrations from secondary systems via the interface and the system shall provide functionality to confirm receipt and activation of such registrations. | Check if the System is able to receive new registrations from secondary systems via the interface and the system shall provide functionality to confirm receipt and activation of such registrations. | Is the System able to receive new registrations from secondary systems via the interface? | | Passed  Failed  Not Tested | To be done through Interface |
| Is the system able to automatically capture digital documents and pass them into the ERMS registration process | | Passed  Failed  Not Tested | To be done through Interface |
| Does the system provide functionality to confirm receipt and activation of such registrations? | | Passed  Failed  Not Tested | To be done through Interface |
|  | 4.1.9 | **The system should have a function for the supervisor to approve the transfer of files/records within units/departments upon which the loan period will restart and details of the new borrower will be captured. The System should provide for notification of file transfers. The user of the document can transfer a document using a request to transfer which will be approved by the supervisor.** | Check to see if the system provide for approval of file transfers between units/departments | Login as user and transfer a file to another user. Has the system allowed you to transfer a file to another user? | | Passed  Failed  Not Tested | NOT DESIRABLE  **subject to approval for change request** | |
|  |  |  | **Login as a supervisor and check if there are any files pending for approval as file transfers between officers are being done.** | **Are there any files for approval? If yes, Approve file transfers.** | | Passed  Failed  Not Tested | NOT DESIRABLE  **subject to approval for change request** | |
| **Login as receiving officer.** | **Are there any files transferred to you from another user?** | | Passed  Failed  Not Tested | NOT DESIRABLE  **subject to approval for change request** | |
| Check if the loan period has been restart for the new requester/receiving officer | Check if the loan period has been refreshed on the officer to whom the file has been transferred. | | Passed  Failed  Not Tested | NOT DESIRABLE  **subject to approval for change request** | |
|  | 4.1.15 | On return of files, system shall provide for verification of completeness of file content to determine whether the contents have been tempered with**.** | Check if the system has provision to check for any missing record upon return of the file to registry | Is the system able to verify and confirm completeness of file content upon being returned by the user? | | Passed  Failed  Not Tested | CAN NOT BE DONE BY THE CONSULTANT  **Vicisoft Comments: No action pending, ZRA will take care of this manually.** | |

**APPENDIX 3.0: FUNCTIONAL REQUIREMENTS UAT RESULTS – FAILED CASES**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  |  | Overlook staff barcode swiping and enter staff details | Is the system prompting for a receipt print out? | Passed  Failed  Not Tested |  |
|  | 4.1.10 | **The system should allow officers to request part files/volumes. The system should allow for file structure definition describing related volumes** | Request for a single volume of a file and see if the system will permit. | **Does the system allow officers to request for part files / volumes?** | Passed  Failed  Not met |  |
|  |  |  |  |  |  |  |
| REPORTS FOR FILE CIRCULATION OF PHYSICAL RECORDS | | | | | | |
|  | 4.2.2 | The system shall be able to generate Overdue Files Report with information on date of last reminder, Date of return to Registry, name of user, type of file, and unit/department. | Check if the system generates Overdue Files Report with information on date of last reminder, Date of return to Registry, name of user, type of file, and unit/department. | Does the system generate an Overdue Files Report with information on date of last reminder, Date of return to Registry, name of user, type of file, and unit/department? | Passed  Failed  Not met |  |
|  | 4.2.3 | The system shall provide for the generation of reports on all files called back by Registry indicating the file holder, location and date of recall. | Check if the system generates reports on all files called back by Registry indicating the file holder, location and date of recall. | Does the system provide for the generation of reports on all files called back by Registry indicating the file holder, location and date of recall? | Passed  Failed  Not met |  |
|  |  |  | Check if the system can produce reports on files issued out to users | Does the System produce reports regarding “Files Out” against “Files In”? | Passed  Failed  Not Tested |  |
| **4. REPORTS ON ENQUIRY** | | | | | | |
|  | 4.5.2 | **The System shall be able to give a** status **report on a specific entry (e.g. active, semi active, not available, requested, Available) when queried** | **Check if the System is able to give a** status **report on a specific entry (e.g. active, semi active, not available, requested, Available) when queried** | Does the System produce a status report on a specific entry (e.g. active, semi active, not available, requested, Available) when queried? | Passed  Failed  Not met |  |

**APPENDIX 1.0: NON - FUNCTIONAL REQUIREMENTS UAT RESULTS**

| **NO.** | **REQUIREMENT** | **MANDATORY/ DESIRABLE** | **EXPECTED RESULT** | **ACTUAL TEST RESULT** | **COMMENT (S)** |
| --- | --- | --- | --- | --- | --- |
| 1. 1. | The system must be on-line and real-time. | M | Able to access system through a web browser and get immediate results as supported by business requirements. | Passed  Failed  Not Tested |  |
| 1. 2. | The system must have a graphical user interface and be menu driven with screen navigation and screen selection facilities | M | GUI, Menus and screen navigation and selection facilities available | Passed  Failed  Not Tested |  |
| 1. g | The system must be accessible from multiple locations seamlessly with centralized processing and a centralized database | M | Users can interact with the backend system from anywhere around the country on the intranet | Passed  Failed  Not Tested |  |
| 1. f | The system must be able to support multiple concurrent users | M | Multiple users are able to log on to the system and to work at the same time. | Passed  Failed  Not Tested |  |
| There is no performance degradation when multiple users are logged on to the system. | Passed  Failed  Not Tested |  |
|  | The system must have an online help facility for each user screen | M | Online Help available | Passed  Failed  Not Tested |  |
|  | **Level 1:** Once the user has gained authorized and authenticated access to the operating system, unique usernames and passwords should be required for all users at the application level. | M | Access to the Application by a unique username and its corresponding password. | Passed  Failed  Not Tested |  |
| **Level 2:** Once the user has gained authorized and authenticated access to the application, there should be configurable access to specific modules/transactions within the application. | M | From the system administrator’s side, it should be possible to configure access for each user to specific parts of the application. The user should only access the parts that have been configured for them by the admin. | Passed  Failed  Not Tested | Menu items where user has no access should not be displayed.  ViCiSoft committed to change the system. |
| **Level3:** The final level of secure access control is based on implementing configurable parameters to control the user’s actions once access has been gained to authorized modules or transactions e.g. Read Only, Insert, Amend/Update, and Delete | M | The administrator should be able to specify what actions a user can perform such as Read Only, Insert, Amend/Update, and Delete. The user should not be able to perform any actions outside what has been allowed to them by the admin | Passed  Failed  Not Tested |  |
|  | The system must have a facility to log out the user after specified time of inactivity | M | Configurable timeout period and confirm that a user is logged out after remaining inactive for that session | Passed  Failed  Not Tested |  |
|  | System passwords must conform to the ZRA Password Policy | M | The password contains both upper and lower case characters | Passed  Failed  Not Tested |  |
| Password includes digit(s) and punctuation characters | Passed  Failed  Not Tested |  |
| Password is at least 8 alphanumeric characters long | Passed  Failed  Not Tested |  |
| The passwords stored on the database should be in an encrypted format | Passed  Failed  Not Tested |  |
| The system must require periodic password changes at regular intervals defined by administrator | Passed  Failed  Not Tested |  |
| Account gets locked after a user has unsuccessfully tried to login for a specified number of attempts | Passed  Failed  Not Tested |  |
|  | The system must provide for a clear audit trail for all transactions with a time and user account stamp. Authorized staff/roles must be able to view audit trail logs online or print hardcopy |  | Audit trail must be complete, read only and only accessible to authorized users. | Passed  Failed  Not Tested |  |
|  | The system must support automatic archiving of audit trail logs per user-configurable intervals. Audit trail logs must be read-only and security-enabled to prevent unauthorized access or modifications | M | Allow configuration of archive period. | Passed  Failed  Not Tested |  |
| System archives records that have reached the age specified for archiving | Passed  Failed  Not Tested |  |
| 1. 10 | The following must be recorded against each document/ transaction.   * Feeder/source reference * Source Reference Number. | M | Traceable Source for each document/transaction captured   * Feeder/source reference * Source Reference Number | Passed  Failed  Not Tested | Dependent on interfaces |
|  | The system must have an easy-to-use report generator facility, which must allow for the generation of ad-hoc reports | M | The system has easy to use ad hoc report generator. | Passed  Failed  Not Tested |  |
|  | System control and maintenance at the system administrator level must include:   * Look-up tables * Validation levels | M | System administrator is able to administer the system including:   * Look-up tables * Validation levels | Passed  Failed  Not Tested | Requirement not considered as it is covered in the functional requirements. |
|  | The system must have the provision of on-line warning or alert messages and transaction rejection where validation identifies invalid data input | M | The system gives alerts and warning when invalid input is given and does not allow the transaction to proceed. | Passed  Failed  Not Tested |  |
|  | The system must have facility for output/reports to be directed to either printer, screen or file and reports must have user-defined characteristics including:   * A title/ * description Detail the period/ year * Page numbering * End of report message * Nil report message where appropriate * Default spooling where output size exceeds user-defined limit. * No limit on number of print queues | M | Reports are available for print, screen and file in a user defined format. | Passed  Failed  Not Tested |  |
|  | The system must provide a facility to convert an ad-hoc report into a standard report | M | An ad-hoc reports get converted into a standard report and is permanently available to users | Passed  Failed  Not Tested |  |
|  | The system must seamlessly integrate all modules/functions within the proposed solution, both on a one-to-one basis and also on a one-to-many | M | There should be no perceived gaps in the system but the system should operate as one whole application with the modules and functions seamlessly integrated. | Passed  Failed  Not Tested |  |
|  | The system must have complete package/module integration running under a recognized, Open Standards compliant hardware independent operating system (to be determined by the application requirements). The system must be based on a reliable and tested relational database management system. The latest tried and tested version of Oracle is preferred | M | System running under hardware independent OS and based on reliable and tested RDBMS. | Passed  Failed  Not Tested |  |
|  | The system must properly display, calculate and transmit date data, including, but not restricted to 21st Century dates | M | The Date data is properly displayed in the format dd/mm/yyyy. | Passed  Failed  Not Tested |  |
| Correct date computations. | Passed  Failed  Not Tested |  |
|  | The system must be capable of receiving inputs and generate reports through the web (web-enabled) | M | The input screens and report screens are accessed through web via Internet and/or intranet | Passed  Failed  Not Tested |  |
|  | The system suppliers must provide the users and ZRA with copies of all documentation pertaining to the software including user manuals, technical specifications |  | The following documentation have been provided:   * GAP Analysis Document * System Design Specification * ERMS user manual * Installation manual * Configuration manuals | Passed  Failed  Not Tested | Documentation requires to be updated |
|  | All the software and hardware and associated utilities installed must be well documented | M | Application Server and all other associated utilities necessary for system, on the production and maintenance environments. | Passed  Failed  Not Tested | On-going |
|  | The system suppliers must correct any system error that is detected in the course of testing and thereafter re-test again as necessary | M | Detected system errors are corrected and system is re-tested thereafter. A report for this activity should be provided | Passed  Failed  Not Tested | On-going |
|  | The Supplier must ensure end users are adequately trained in the use of the system as well as technical training for system administrators and second level support staff | M | Adequate end user training and technical training for system administrators conducted by Supplier. | Passed  Failed  Not Tested | On-going |

**APPENDIX 5.0: NON-FUNCTIONAL REQUIREMENTS UAT –FIELD TEST**

| **NO.** | **REQUIREMENT** | **MANDATORY / DESIRABLE** | **EXPECTED RESULT** | **ACTUAL TEST RESULT** | **COMMENT (S)** |
| --- | --- | --- | --- | --- | --- |
| 1. g | The system must be accessible from multiple locations seamlessly with centralized processing and a alized database | M | Users can interact with the backend system from anywhere around the country on the intranet | Passed  Failed  Not Tested |  |
| M | There is no performance degradation when multiple users are logged on to the system. | Passed  Failed  Not Tested |  |

| **NO.** | **TEST PERFORMED** | **EXPECTED RESULT** | **ACTUAL** | **SCORE** | **REMARKS** |
| --- | --- | --- | --- | --- | --- |
|  | **Performance variation based on document size**  Perform a common task. E.g. uploading a bulk document of specified size, to the system.  30.838Mb  1.173Mb | 01:00 – 03:00Min  00:20 – 02:00Min | 30.838Mb:  03:00,05Min  1.173Mb: 01:45,10Min | Passed  Not Tested  Failed |  |
|  | Testing for performance variation on 64 bits  30.838Mb | 01:00 – 03:00Min | 03:00,05Min | Passed  Not Tested  Failed | Not notable variation with 32 bit machines |
|  | Testing for performance variation on lowest Browser I.E version 11  30.838Mb | 01:00 – 03:00Min | 03:00,05Min | Passed  Not Tested  Failed | All Browser had I.E version 11 |
|  | Testing for performance variation on highest Browser I.E version 11  30.838Mb | 01:00 – 03:00Min | 03:00,05Min | Passed  Not Tested  Failed | All Browser had I.E version 11 |
|  | Testing for performance variation on highest RAM size  16Gb  30.838Mb | 01:00 – 03:00Min | 03:00,05Min | Passed  Not Tested  Failed |  |
|  | Testing for performance variation on least RAM size  1Gb  30.838Mb | 01:00 – 03:00Min | Failed | Passed  Not Tested  Failed | Machines with RAM less than 2Gb to be upgraded to Minimum of 2Gb |
|  | Testing for performance variation at Fibre linked site  30.838Mb | 01:00 – 03:00Min | 03:00,05Min | Passed  Not Tested  Failed | Consistently good performance. |
|  | Testing for performance variation at VSAT linked site | 01:00 – 05:00Min | Failed | Passed  Not Tested  Failed | VSAT stations unable to upload large documents. |

**Appendix 6.0: list of UAT participants**

**Functional UAT Participants**

|  |  |  |
| --- | --- | --- |
| **NO.** | **NAME** | **DEPT** |
| 1. | Omen Moonga | Admin |
| 2. | Tyson Phiri | Admin |
| 3. | Philip Banda | Admin |
| 4. | Godwin Chipanama | Customs |
| 5. | Elias Mwenda | Admin |
| 6. | Stanley Kaocha | Legal |
| 7. | Hector Chilembo | DOMT |
| 8. | Vincent Sing’andu | DOMT |
| 9. | Happiness Serenje | DOMT |
| 10. | Maidei Mudenda | Finance |
| 11. | Gilbert Zambika | DOMT |
| 12. | Bridget Mwanza | Human Resource |
| 13. | Phesele Banda | Admin |
| 14. | Julius Mulilo | DOMT |
| 15. | Mweembe Siwawa | Admin |
| 16. | Petros Phiri | Admin |

**Non-Functional UAT: participants**

|  |  |  |
| --- | --- | --- |
| **NO.** | **NAME** | **DEPT** |
| 1. | Michael Mkandawire | IT |
| 2. | Mweene Chijikwa | IT |
| 3. | Marjorie Ndalama | IT |
| 4. | Christopher Kabamba | IT |