

# NSI Acceptance Testing 1.0 Applicant Checklist

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## Introduction

This checklist applies to the assessment of material submitted in connection with registration by an organization for verification against the NSI Acceptance Testing 1.0 Conformance Requirements.

This checklist will be available from within the NSI web-based certification/verification system. Each applicant for verification will be required to complete a checklist that identifies the various documents the applicant is uploading with its verification registration along with information on where in each of these documents there is evidence that the applicant has correctly deployed the best practice requirements.

The purpose of the checklist is to guide the assessor and make the assessment process more efficient. The result is that there will be fewer demands on the organization's staff members to provide clarification and additional information, and increased likelihood that the assessors will be able to establish an organization's conformance.

## Documentation checklist

The documents to be submitted for verification against the Acceptance Testing Conformance Requirements are:

- Acceptance test plan documents
- Test reports from acceptance test execution
- Documents defining the acceptance test environment
  - This is used during the Acceptance Test Readiness Review process with the Vendor, as defined in the Development Process Best Practice

Applicants have some latitude as to how they meet the documentation submission requirements with respect to the exact form and number of files submitted to satisfy the document requirements identified above.

The applicant must indicate the relevant project in the "Project Identifier" column and the name of the document should be listed in the "Document Title" column. The "Document Identifier" is a short, unique identifier the applicant assigns to the document to enable shorthand references to the document in the assessment checklist.

Applicants may enter any relevant comment concerning the document in the "Comments" column; its use is discretionary.

### Acceptance Test Plan Documents

Project Identifier	Document Title	Document Identifier	Comments

### Test Reports from Acceptance Test Execution

Project Identifier	Document Title	Document Identifier	Comments

### Documents Defining the Acceptance Test Environment

Project Identifier	Document Title	Document Identifier	Comments
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	has been reviewed, it may be modified if the changes are mutually agreed by the lottery and vendor.						
6	All planned testing to be performed for acceptance must be specified in the Acceptance Test Plan.	Must	4.3.1.1				
7a	The Acceptance Test Plan must cover a risk assessment that analyzes the impact of the new product on the lottery.	Must	4.3.1.1				
7b	The risk analysis must consider lottery systems as a whole.	Must	4.3.1.1				
7c	The risk analysis must consider system components.	Must	4.3.1.1				
7d	The risk analysis must consider business processes.	Must	4.3.1.1				
7e	The risk analysis must consider features not to be tested.	Must	4.3.1.1				
7f	The Acceptance Test Plan must cover procedures for installation and integration of the system components into the acceptance test environment.	Must	4.3.1.1				
7g	The Acceptance Test Plan must cover training requirements.	Must	4.3.1.1				
7h	The Acceptance Test Plan must cover financial and activity balancing processes and requirements.	Must	4.3.1.1				
7i	The Acceptance Test Plan must cover the testing schedule and approach.	Must	4.3.1.1				
7j	The testing schedule must include milestones for the development and approval of the test scripts.	Must	4.3.1.1				
7k	The Acceptance Test Plan must cover the types of testing to be performed during acceptance test execution. Appendix C of the Best Practice defines the various test strategies that may be employed during Acceptance Testing.	Must	4.3.1.1				
7l	When determining the types of testing to be performed, the test designers should consider all of the test strategies (in Appendix C of the Best Practice) and then determine the specific set of testing to be performed for acceptance based on the particular system or system component to be tested.	Should	4.3.1.1				
7m	If the lottery chooses to rely on the vendor's internal testing rather than perform the testing itself, then the Acceptance Test Plan must state that during acceptance test execution, the lottery's testers must validate that the testing was performed and must validate that satisfactory results were achieved.	Must	4.3.1.1				
7n	The Acceptance Test Plan must cover the requirements and procedures for test reporting. The requirements must state that: "The test report must include both actual and expected results and must highlight any deviations from expected results".	Must	4.3.1.1				
7o	The Acceptance Test Plan must cover the criteria that must be met in order to start or stop Acceptance Testing.	Must	4.3.1.1				

7p	These criteria must include the entry criteria to be met in order for the lottery to commence Acceptance Testing. The entry criteria must include a criterion indicating the Acceptance Test Readiness Review has been completed and the lottery representative has authorized commencement of Acceptance Testing based on this review.	Must	4.3.1.1				
7q	These criteria must include suspension and resumption criteria, which must define the conditions under which some or all of the testing identified in the Acceptance Test Plan must be halted, and the conditions that must be met in order to resume testing activity after a suspension.	Must	4.3.1.1				
7r	These criteria must include the acceptance criteria that must be met in order for the lottery to accept the lottery system or system components.	Must	4.3.1.1				
7s	The Acceptance Test Plan must cover the hardware requirements; i.e., number of terminals, communications network requirement, connectivity to various systems, etc.	Must	4.3.1.1				
7t	The Acceptance Test Plan must cover the requirements and working conditions needed at the test site.	Must	4.3.1.1				
7u	The requirements and working conditions needed at the test site may cover the test system set-up.	May	4.3.1.1				
7v	The requirements and working conditions needed at the test site may cover the number of testing terminals.	May	4.3.1.1				
7w	The Acceptance Test Plan must cover the procedures for updating the Acceptance Test Plan.	Must	4.3.1.1				
7x	If the lottery believes that an area defined above is not applicable for the product being tested, the Acceptance Test Plan must state that explicitly along with supporting rationale.	Must	4.3.1.1				

## Acceptance Testing: Acceptance Test Plan for Gaming Systems

In addition to meeting the Best Practice Requirements for the Acceptance Test Plan, any Acceptance Test Plan that includes testing of a gaming system should also meet these requirements for the Acceptance Test Plan for Gaming Systems.

Does the organization perform any acceptance testing of gaming systems?

- Yes  
 No

If YES, please complete the table below; otherwise please skip to the next section.

Rqmt Num	Base requirement	Level	Reference in Best Practice	Project 1		Project 2	
				Document in which evidence is found	Reference within Document	Document in which evidence is found	Reference within Document
9	The installation and integration procedures should describe any pre-requisites for installation, such as specific actions that need to be taken prior to installation of gaming system components to enable specific testing to be performed or requirements for installation to occur as part of a specific test.	Should	4.3.1.2				
10	The selected test strategies should include testing designed	Should	4.3.1.2				

	to mimic everyday production, in order to determine how well the product interacts with other games and applications during normal business use.						
11	The selected test strategies should include testing of non-typical conditions.	Should	4.3.1.2				
12	Non-typical conditions in test strategies may include: - User-requested reports - Testing of periodic activities that do not occur everyday such as end-of-month processing	May	4.3.1.2				
13a	In the detailed test documentation for each type of testing to be performed, the description of what capabilities are being tested should include explicit information on how the gaming system will interact with one or more of the following: - Other games - Applications - End-user GUIs	Should	4.3.1.2				
13b	The test preconditions should explicitly describe the required condition of the system prior to the start of testing.	Should	4.3.1.2				
13c	If installation of a gaming system component is to be performed as part of the test rather than prior to it, the test preconditions should describe the actions required prior to installation to establish a known condition of the system.	Should	4.3.1.2				
13d	If installation of a gaming system component is to be performed as part of the test rather than prior to it, the test preconditions should describe at what point installation occurs.	Should	4.3.1.2				
13e	The specific test instructions should provide testing to cover enough business days to completely test the drawings, validations, purging, and billing cycles for the accounting periods.	Should	4.3.1.2				

## Acceptance Testing: Test Script Creation

All of these requirements are germane to every verification registration.

Rqmt Num	Base requirement	Level	Reference in Best Practice	Project 1		Project 2	
				Document in which evidence is found	Reference within Document	Document in which evidence is found	Reference within Document
14a	Each test script must include a description of what capabilities are being tested.	Must	4.3.2.1				
14b	Each test script must include the test preconditions - the set-up and configuration required to facilitate a known state of the system prior to executing an individual test or group of tests.	Must	4.3.2.1				
14c	Each test script must include specific test instructions.	Must	4.3.2.1				
14d	Each test script must include the expected test results.	Must	4.3.2.1				
15	Each test script should include the test post-conditions - the operations that should be performed to restore the system to a neutral state after the running of an individual test or group of tests. This is also known as test cleanup.	Should	4.3.2.1				

## Acceptance Testing: Acceptance Test Execution

All of these requirements are germane to every verification registration.

Rqmt Num	Base requirement	Level	Reference in Best Practice	Project 1		Project 2	
				Document in which evidence is found	Reference within Document	Document in which evidence is found	Reference within Document
16	Acceptance Testing must be executed in accordance with the process defined in the Acceptance Test Plan.	Must	4.3.3.1				
17	All types of testing defined in the plan must be completed and test reporting must be completed in accordance with the procedures defined in the plan.	Must	4.3.3.1				
18	Problems identified as a result of the new product must be reported to the vendor using the agreed problem reporting mechanism.	Must	4.3.3.1				
19	At the completion of Acceptance Testing, the lottery Quality Management must sign-off on the testing to formally accept the system components as meeting the contracted requirements.	Must	4.3.3.1				
20	If Acceptance Testing indicates that the vendor's product does not meet the acceptance criteria, then the vendor and lottery must work together to determine a suitable course of action, which must result in one of the following: - Revised deliverables - Revised acceptance criteria - Other defined actions	Must	4.3.3.1				

## Requirements from NSI Development Process Best Practice

### Development Process: Acceptance Test Readiness Review

All of these requirements are germane to every verification registration.

Rqmt Num	Base requirement	Level	Reference in Best Practice	Project 1		Project 2	
				Document in which evidence is found	Reference within Document	Document in which evidence is found	Reference within Document
16	Representatives from the vendor and lottery organizations must hold a review meeting to determine whether the product is ready to transition to Acceptance Testing.	Must	4.3.4.1				
17a	The acceptance test readiness review meeting must include a review of the Lottery's Acceptance Test Plan.	Must	4.3.4.1				
17b	The Lottery's Acceptance Test Plan must cover whether the lottery's entry criteria for Acceptance Testing have been fulfilled.	Must	4.3.4.1				
17c	The Lottery's Acceptance Test Plan must cover the training readiness of the lottery with respect to installation and operation of the system.	Must	4.3.4.1				
17d	The Lottery's Acceptance Test Plan must cover what the responsibilities of each party are during Acceptance Testing.	Must	4.3.4.1				
17e	The acceptance test readiness review meeting must include a review of the definition of the acceptance test environment, which must define exactly what is required to conduct Acceptance Testing.	Must	4.3.4.1				
18	At the conclusion of the	Must	4.3.4.1				

	acceptance test readiness review, either the lottery must authorize the handover for Acceptance Testing, or the vendor and lottery must agree what steps are required for the product to be approved for Acceptance Testing.						
22	The lottery and the vendor must work together to produce an integration plan.	Must	4.3.5.1				
23	The lottery and vendor should produce the integration plan during Requirements Definition.	Should	4.3.5.1				
24a	The integration plan should account for reviewing the business processes impacted by the changes.	Should	4.3.5.1				
24b	The integration plan should account for ensuring that people responsible for the affected business functions know of the changes.	Should	4.3.5.1				
24c	The integration plan should account for ensuring that the people responsible for the affected business functions are notified in advance of what business process changes need to be made (if any).	Should	4.3.5.1				
24d	The integration plan should account for ensuring that non-software issues are resolved in time to support the installation of the new software or hardware.	Should	4.3.5.1				
25	The integration plan must include information that covers the complete environment into which the product will be integrated and deployed.	Must	4.3.5.1				
26a	If any security changes are required, the security changes must be identified in the integration plan together with assigned actions for the responsible parties from either the vendor or the lottery.	Must	4.3.5.1				
26b	The integration plan must include identification of platform variations that may occur at different lottery or retail sites and document assigned actions to address them.	Must	4.3.5.1				
26c	The integration plan must include identification of deployment variations that may occur at different lottery or retail and document assigned actions to address them.	Must	4.3.5.1				
27	The integration plan must be approved by both the lottery and vendor.	Must	4.3.5.1				
29	Integration must be performed in accordance with the agreed plan.	Must	4.3.5.1				