
Application Readiness Criteria Template

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INTRODUCTION

The purpose of the Application Transition Acceptance Criteria is to ensure that specific criteria are met by a system which is being transitioned to Andersen Consulting for on-going support. It consists of a set of processes and deliverables that ensure system operability and the existence of sufficient knowledge capital for optimal service delivery and support. The Application Transition Acceptance Criteria's overall objectives are as follows:

- Confirm the system meets the established general principles.
- Highlight any risks that will affect application production operations and maintenance efforts.
- Ensure open lines of communication exist between the client, development team, and the Applications Management and Operations Team.
- Facilitate the application transition and acceptance by the Applications Management and Operations Team.
- Clarify client, development team and Applications Management and Operations Team expectations of functionality, capacity, performance, future enhancements and ongoing service levels.

This document is comprised of the following sections:

- **Principles** – A set of guidelines which establishes a common framework for all applications.
- **Approach** – A process to facilitate knowledge transfer and ensure the application's adherence to the general *Principles*. This process utilizes a series of structured review sessions and tools to identify and manage issues. The outcome is a *Sign-Off* agreement.
- **Checklist** – A tool comprised of questions to assist in reviewing application documentation for completeness, ensure adherence to SFA's policies and procedures, facilitate knowledge transfer to the Applications Management and Operations Team and identify current and future supportability issues.

PRINCIPLES

These principles are the fundamental guidelines applicable to all systems, especially those being considered for transition. They must be proven, documented and agreed upon between the client groups, development team, Applications Management and Operations Team and other support organizations.

1. The system must be operable.

The system must be able to operate under normal day-to-day conditions. The system must be resilient to operator or user error as well as system failure. The system must behave predictably under normal conditions. Mechanisms must exist to support monitoring of actual service against target service levels.

2. The system must be stable and reliable.

The operations environment, including all required system software products, must have been designed, built, successfully tested and implemented. Procedures for operational tasks must have been designed, documented and agreed upon between the client groups, Applications Management and Operations Team and other support organizations.

The system must be capable of achieving agreed service levels. These levels must be formally agreed upon between the client groups, Applications Management and Operations Team and other support organizations.

The system must have a low probability of functional or technical change in the period immediately following the transition. Any planned future releases (i.e. corrections deferred from production implementation) must be scheduled at a reasonable interval following the transition. This also must be agreed between the client groups and the Applications Management and Operations Team.

3. The system must be recoverable.

The Applications Management and Operations Team must be able to recover the full system service from application and infrastructure component failures. The effort, staffing profile and time frames must be agreed upon between the client groups and the Applications Management and Operations Team.

Business continuity procedures and facilities (i.e. where contingency arrangements are required to sustain adequate service during prolonged failure scenarios) must have been designed, documented, tested and agreed with the client groups, Applications Management and Operations Team and other support organizations.

4. The system must be serviceable.

There must be a clear definition and agreement between the client groups and the Applications Management and Operations Team of how the service provided to participants will be supported. Any necessary infrastructure (e.g. diagnosis tools, software distribution to remote sites, configuration control) must have been designed, built, successfully tested and implemented. Technical documentation must be adequate to enable the Applications Management and Operations Team to make emergency and permanent fixes to those system components transitioned. Procedures for support tasks (i.e. admin functions, version control, enhancement requests, etc.) must have been designed and agreed with the Applications Management and Operations Team.

There must be a recognizable upgrade path for the entire platform in order to maintain currency. This upgrade path must be implementable through the existing operational architecture.

5. The system must be secure.

The requirements for security, integrity and controls must have been defined and agreed with the system's stakeholders. The application design and implementation must meet these requirements.

NOTE: All agreed upon details must be included in the appropriate support agreement (i.e. Service Level Agreement or Task Order)

APPROACH

The objective of the *Application Transition Acceptance Criteria* is to review an application, facilitate knowledge transfer and ensure the application's overall adherence to the established guiding *Principles*. This process consists of the following activities:

- Acceptance Reviews
- Transition Issue Management
- Sign-Off

Acceptance Reviews

Acceptance Reviews are scheduled meetings between the development team and the Applications Management and Operations Team. The goal of these meetings is to:

- facilitate knowledge transfer of detailed technical information,
- ensure adherence to guiding principles,
- review the documentation for completeness, currency, accuracy and quality
- utilize the *Checklist* tool in efforts to envision and capture key application lifecycle items

The reviews should be attended by an Applications Management and Operations Team member, experienced application development or transition people focused on evaluating existing infrastructure, processes and issues, and appropriate development team representatives. For certain information required, appropriate business representation will also be necessary.

Transition Issue Management

Issues or potential issues that are discovered during the *Acceptance Reviews* must be logged, tracked, and resolved appropriately. All unresolved issues and items of concern must be included in the Sign-Off Document.

Sign-Off

The Sign-Off consists of a formal document, prepared by the Applications Management and Operations Team, which represents a formal agreement between the development team and the acceptance team on the following topics:

- Adherence to the guiding *Principles*
- Project requirements and scope
- Outstanding application issues and resolution plan
- Transition Issues
- Service Level Requirements

CHECKLIST

The following is a checklist of questions to assist in reviewing an application. The purpose is to ensure that all aspects of application design and development have been reviewed, key information is communicated, the documentation is complete, accurate and current, and agreements exist between the client groups, Applications Management and Operations Team and other support organizations where necessary. This *Checklist* should be expanded to cover topics related to the specific technical design and appropriate tools. All topics should be completed to the Applications Management and Operations Team's satisfaction. The *How Validated* section should be utilized to record validation information. If applicable items do not adequately meet the acceptance criteria, an issue should be identified and logged.

The checklist is organized into the following sections based on project lifecycle:

- Client
- General
- Service Operations
- Service Recovery/Contingency
- Configuration Management
- Technical Architecture
- Licensing
- Requirements and Design
- Security
- Testing
- Application Training
- Transition

KEY:

C = Client

D = Development

AM = Applications Management

O = Operations (VDC)

✓	Status		Transition Req't				Gap Analysis		Work Effort			Resp
			Critical	Recommended	Optional	Not Applicable	No Gap	Gap Identified	High	Medium	Low	
		<u>CLIENT</u>										
		Escalation process within the business group for application problems	X									C, AM
		Change Control Procedures	X									C
		<u>GENERAL</u>										
		Project Definition Documentation <ul style="list-style-type: none"> • Task Order • Scope • Approach • Business Drivers - Business Process Supported 	X									C, D
		<u>SERVICE OPERATIONS</u>										

✓	Status		Transition Reqt				Gap Analysis		Work Effort			Resp	
			Critical	Recommended	Optional	Not Applicable	No Gap	Gap Identified	High	Medium	Low		
		VDC Operations Documentation <ul style="list-style-type: none"> • Processing procedures required to operate the system throughout the normal processing cycle • A description of each process and feed which occurs within and outside of the normal processing cycle including: <ul style="list-style-type: none"> - Criticality of process - Interdependencies (upstream systems and impact on downstream systems) - Escalation routes • A timeline of all processes noting process concurrency options • A list of all event messages and required actions • An inventory of the daily, weekly and monthly schedule of processes & the interdependencies between them • Expected operating hours of system, batch window, schedule of all feeds and process kick-off times and dependencies 	X									O, D	
		Number of users currently in the application domain	X										C
		Service Level Agreement <ul style="list-style-type: none"> • Client • Application(s) • Operations 	X										C, AM, D, O
		Operating Level Agreement <ul style="list-style-type: none"> • Client • Application(s) • Operations 	X										C, AM, D, O
		Application Help Desk in place	X										C, AM, O
		<u>SERVICE RECOVERY/ CONTINGENCY</u>											

✓	Status		Transition Reqt				Gap Analysis		Work Effort			Resp
			Critical	Recommended	Optional	Not Applicable	No Gap	Gap Identified	High	Medium	Low	
		VDC Operations Documentation <ul style="list-style-type: none"> • Backup procedures • Contingency strategy documents - Application Failure - Hardware Failure • System recovery procedures • Recovery test plan 	X									O, D
		<u>CONFIGURATION MANAGEMENT/SOURCE CONTROL</u>										
		Configuration Management Plan, typically covers the following areas: <ul style="list-style-type: none"> • Hardware • Software (including development tools) • Operating System • Database System • DDL and Database Objects (tables, procedures, triggers, etc.) • Development, UAT and Production Environments • Application Source Code • Test models and scripts • Documentation • Data archive specifications and procedures • Documentation detailing any modifications, configuration changes or custom development to packaged software 	X									D, O
		Version Control Procedures	X									D
		Source Code Library	X									D
		<u>TECHNICAL ARCHITECTURE</u>										

✓	Status		Transition Reqt				Gap Analysis		Work Effort			Resp
			Critical	Recommended	Optional	Not Applicable	No Gap	Gap Identified	High	Medium	Low	
		Architecture Design <ul style="list-style-type: none"> • Functional • Technical, including: <ul style="list-style-type: none"> - LAN / WAN requirements and capacity - Desktop equipment and software requirements 	X									D
		Development (i.e. coding) Standards	X									D, C
		Software Development Lifecycle Processes	X									C, D
		Environment Specifications <ul style="list-style-type: none"> • Development • Test • Production 	X									D, O
		<u>LICENSING</u>										
		Software License Requirements (Paid Licenses)	X									C, D, AM
		<u>REQUIREMENTS AND DESIGN</u>										
		User Specifications <ul style="list-style-type: none"> • Application Requirements • Security Requirements • Audit Requirements • Contingency Requirements • Performance and Response Time Requirements • Data Retention Requirements 	X									C, D
		Functional Specifications <ul style="list-style-type: none"> • Detailed Functional Descriptions • Flow Diagrams (work flow, data flow) • Sample Screen Layouts • Report Layouts 	X									D

✓	Status		Transition Reqt				Gap Analysis		Work Effort			Resp
			Critical	Recommended	Optional	Not Applicable	No Gap	Gap Identified	High	Medium	Low	
		Technical Specifications <ul style="list-style-type: none"> • Detailed Design documents, including: <ul style="list-style-type: none"> - Database Design - Database Configuration - Data Model (entity descriptions, naming conventions, etc.) - Data flow diagrams - Table layouts / field definitions - DDL 	X									D
		<u>SECURITY</u>										
		Application Security Requirements	X									C, D, O
		Security Office Identified	X									O
		<u>TESTING</u>										
		Test Strategy and Approach document (for all levels of testing)	X									D
		Test Model (including test plans and test scripts mapped to the appropriate requirements)	X									D
		Test Data	X									D
		Documented Test Results	X									D
		SIR Log	X									D
		Client and User Sign-Off	X									C, D
		<u>APPLICATION TRAINING</u>										
		User Training Conducted	X									C, D
		User Installation and Setup Procedures	X									D, O
		On-going Training Function available	X									C
		<u>TRANSITION</u>										

✓	Status		Transition Reqt				Gap Analysis		Work Effort			Resp
			Critical	Recommended	Optional	Not Applicable	No Gap	Gap Identified	High	Medium	Low	
		Open SIR Responsibility Identified and Agreed Upon	X									C, D, AM
		Support Available for Packaged Software	X									D, AM
		Organizational Design and Skills Identified	X									D, AM
		Knowledge Transfer Plan	X									D, AM