



Production Readiness Review (PRR)

Financial Management System
(FMS Release 4.2)

April 25, 2002





Business Case

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Summary of Approach

- Phase IV FMS will roll out in five releases
- Release 4.2 began analysis and design in September 2001
- Analysis and design were confirmed with FSA stakeholders
- Build phase completed February 2, 2002
- Testing phase began January 16, 2002





Overview of Cost and Schedule Results and Issues

- Second of five releases for Phase IV FMS
- FMS IST Testing was completed. FMS was scheduled to begin IST testing on March 6, 2002. Based on COD delays FMS involvement was pushed back to April 11, 2002
- FMS E2E testing was scheduled to begin 3/6/02. Based on COD delays E2E testing was pushed back to April 11, 2002
- Initial COD implementation was scheduled for March 18, 2002 and then pushed back to April 1, 2002. Due to COD delays the implementation date has been pushed back to April 29, 2002.
- As a result of delays, Phase IV is over budget by 78K – 80K. COD anticipates going back to TSYS for reimbursement.





Testing Summary

Type of Testing	Definition	Dates *	Development	Functional	Comments
Code Unit Testing	Unit tests designed and executed by the FMS Developers	1/16/02 thru 2/25/02	X		
Functional Unit Testing	Unit tests designed and executed by FMS Functional team members	2/6/02 thru 3/6/02		X	<ul style="list-style-type: none"> • Testing of both the COD – to – FMS – to GAPS and GAPS – to – FMS – COD interfaces • Included both “clean” and “error” transactions
COD User Acceptance Testing (‘UAT’)	COD unit test transactions processed by the FMS Functional team	3/6/02 thru 4/8/02		In Progress	<ul style="list-style-type: none"> • FMS participation scripted “on the fly” as COD sent UAT transactions • Numerous data errors encountered since FMS did not set-up COD UAT schools • FMS transactions to GAPS were generated and reviewed by FSA personnel
Inter-System Testing (‘IST’)	Testing designed and executed by the COD team	4/11/02 thru 4/16/02	X	X	<ul style="list-style-type: none"> • FMS participation in this testing could not be pre-scripted • Instead, test scripts were created “on the fly” as COD sent IST transactions • FMS participation in this testing encompassed IST Cycles 4 and 5 and ended on 4/17/02
DLSS Modifications Testing	“Filtering” of COD originated transactions	4/15/02	X	X	<ul style="list-style-type: none"> • Part of the IST testing • Filtering of transactions on the IF010 file • IF010 file did <u>not</u> include both COD and non-COD transactions
End – to – End Testing (‘E2E’)	Testing designed and executed by the FMS and COD teams	4/11/02 thru 4/24/02		X	<ul style="list-style-type: none"> • Full system test across COD, FMS, and GAPS • Designed to be more “robust” than IST testing • Scripted testing with defined expected results
“Contingency” IST Testing	Testing designed and executed by FSA personnel	4/15/02		X	<ul style="list-style-type: none"> • Testing performed by FSA in the event COD is not implemented this year • Limited testing of the DLO and Pell systems for the new Award Year • FMS involvement limited to the processing of an IF010 file to test the DLSS modifications
Regression Testing	Unit tests designed and executed by FMS Functional team members	4/15/02 thru 4/23/02			<ul style="list-style-type: none"> • FMS Production files used to create test files for each GAPS program (Pell, DLO, DLC, CBS, LEAP/SLEAP) • GAPS transaction files cover both current and prior Award Years





Testing Summary Continued

Summary of FMS – Related Incidents by Category:

	Enhancement	Clarification	Defects
Open	0	0	0
Closed	0	5	20

Summary of COD – Related Incidents by Category

	Defects	Data Related
Open	0	0
Closed	3	9

Enhancement - A requested update to the application which is a change in the original design

Clarification - A question that requires further research and a possible enhancement

Defect - A problem with the application (FMS or COD)

Data Related – A problem with the test data and transactions provided by COD





Testing Summary Continued

Results:

- Successfully completed extensive Unit Testing on 2/25/2002.
- Participated in COD UAT testing which involved receiving transactions generated by the COD system and creating the GAPS output. (Note: This was not sent to GAPS for testing)
- Participated and completed IST testing with two incidents. These incidents have been addressed in IST.
- FMS is currently participating in End to End testing with COD. The preliminary test scripts include testing fourteen (14) out of twenty (20) transactions with focus being on Obligations, Payments, Disbursements and Adjustments.





Collaboration

Area	Responsible Party	Recommendation
VDC	Dave Lass	Approved Change Request
Security	Ruth McIntyre	Approved
SFA CIO	Cheryl Queen	Approved
Applications Maintenance	Shirley Singleton	Approved
Help Desk Readiness	Shirley Singleton	Approved
Accounting	Jon Bollinger, Cheryl Carrington, June Ritchie	Approved
COD	Rosemary Beavers, Chris Merrill, Sharon Barfield, Ron Ackerman	Approved





Independent Quality Assurance

- The FMS Team follows the Capability Maturity Model Principles to ensure quality within its processes and solutions.
- External IV&V
 - QA Review: Go with Reservations (due to considerations on next slide)





Summary of Risks & Mitigation Approach

- **Risk 1: End to End Testing may not be completed before April 29th.**
Mitigation Strategy - Test critical transactions before April 29th with a plan to complete testing Post Production.
- **Risk 2: End to End Testing includes a limited number of transactions.**
Mitigation Strategy - Financial Transactions will be tested during End to End Testing. This will ensure that schools are able to receive their awards. The following transactions will need to be tested in subsequent cycles of End to End: OP, RF, AL, UB, ER, PL, DB and RC.
- **Risk 3: Error/Exception Testing has not been incorporated into End to End Testing.**
Mitigation Strategy: Error/Exception Testing will occur in subsequent cycles and Post production. All cases have been tested extensively during Unit Testing





Summary of Risks & Mitigation Approach

- **Risk 4: InterSystem Testing was not designed as a robust test of all cases that may occur between COD, FMS and GAPS.**

Mitigation Strategy: End to End was designed to be a more “robust” test of the conditions and transactions received from COD and GAPS.

- **Risk 5: End to End testing does not currently include a mechanism to test DLSS Modifications for COD.**

Mitigation Strategy: DLSS Modifications testing was included in IST Testing. We are currently attempting to coordinate this effort and incorporate this into End to End with COD.

- **Risk 6: Volume Testing indicated that FMS cannot process more than 4000 transactions at a given time.**

Mitigation Strategy: Blow out Transaction Codes before posting. This will increase the volume of transactions that can process in a single batch.





Summary of Risks & Mitigation Approach

- **Risk 7: Insufficient time to conduct Production Simulation.**

Mitigation Strategy: COD Intersystem Testing was designed to be Production Simulation. Although IST did test the COD - FMS - GAPS flow, the reverse was not tested. The entire flow will be tested in End to End. However, schools will not be participating and submitting data, it will be initiated by COD.





Summary of Transactions Tested

- *DD*: Tested during Cycle 1 of End to End Testing.
- *DA*: Tested during Cycles 1-2 of End to End Testing.
- *AD*: Not Tested. Scheduled for Cycle 1.
- *DB*: Not Tested. Scheduled for Post Production Testing.
- *DF*: Not Tested. Scheduled for Post Production Testing.
- *DP*: Not Tested. Scheduled for Post Production Testing.
- *ER*: Not Tested. Scheduled for Post Production Testing.
- *EX*: Tested in Cycles 1-2 of End to End testing.
- *FA*: Tested in Cycles 1-2 of End to End testing.
- *FE*: Tested in Cycles 1-2 of End to End testing.
- *FL*: Tested in Cycles 1-2 of End to End testing.
- *GR*: Tested in Cycles 1-2 of End to End testing.
- *PY*: Tested in Cycles 1-2 of End to End testing.





Summary of Transactions Tested

- *OP*: Not Tested. Scheduled for Post Production Testing.
- *UB*: Not Tested. Scheduled for Post Production Testing.
- *RC*: Not Tested. Scheduled for Post Production Testing.
- *UD*: Not Tested. Scheduled for Cycle 3 of End to End Testing.
- *RA*: Tested in Cycles 1-2 of End to End testing.
- *RB*: Tested in Cycles 1-2 of End to End testing.
- *RE*: Tested in Cycles 1-2 of End to End testing.
- *RF*: Tested in Cycles 1-2 of End to End testing.
- **AL*: Not Tested. Functionality will be in COD Release 1.2.





Project Supporting Documentation (separate binder)

- PRR Presentation
- Release Checklist
- Business Case
- Test Plan
- Test Cases
- Test Scripts
- SIR Log
- DLSS Modification Update





Sign Off Memorandum – Release 4.2

COD Interface

Executive Sponsor

Jim Lynch (Chief Financial Officer)

CIO Office

Steve Hawald (Chief Information Officer)

Quality Assurance

Mike Rockis

