Regional Oversight Committee (ROC)

Test Requirements Document (TRD) for the 3rd Party Test of U S WEST Operational Support Systems (OSS)

Issued to:
Interested Vendors

Issued by:
ROC Steering Committee
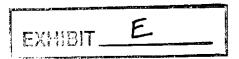Reviewed by:
ROC Technical Advisory Group (TAG)
Prepared by:
ROC Project Manager
(MTG) Maxim Telecom Consulting Group
P.O. Box 2448
Mendocino, CA 95460
916 491-1001

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the P-CLEC and a production CLEC that has completed interface verification with U S WEST in order to validate the process under the oversight of the Test Administrator.

14. The test process will include a formal, predictable and public mechanism to communicate with CLECs and U S WEST on issues related to the test. This mechanism will be managed by the Test Administrator and overseen by the ROC.

15. The test scope will include functional testing of preordering, ordering, provisioning, maintenance and repair and billing. The functionalities will include a replicate mix of manual requests, electronic transactions, errors, changes, and supplements in both flow-through and non-flow-through provisioning, as appropriate, with CLECs consulted on the determination of the mix. Functional testing will be conducted on an end-to-end basis that results in orders actually being provisioned, as applicable, as determined by the ROC.

16. The 3rd party test will test significant volumes of transactions for xDSL-capable loops and include a qualitative evaluation of preordering functions including loop qualification.

17. Where possible, U S WEST wholesale performance measurements will be compared with analogous performance measurements of U S WEST's retail performance. Where this retail parity comparison is not possible, U S WEST wholesale services will be compared to a fixed benchmark.

18. Testing will also include both qualitative and quantitative evaluation of the usability, capability and accessibility of U S WEST wholesale OSS interfaces compared to U S WEST Retail OSS interfaces.

19. As testing progresses, the need to test or evaluate new products/services or delivery methods will be determined on an individual case basis as they are identified. Based on the associated facts, the new products/services or delivery methods will either be incorporated in the test or handled separately.

20. The ROC test will use military-style testing. This approach ensures that all significant exceptions will be tested until they are corrected and the relevant success criteria are met.

The vendor(s) shall develop test plans, specifications and procedures whose scope and philosophy incorporate and are guided by these principles.

4. TEST ADMINISTRATION

While several 3rd party OSS tests have been conducted (or are in process), none have involved multiple states working together in a collaborative arena. This section will describe to the vendor(s) the:

- Nature of the thirteen-state Regional Oversight Committee

- The participants in the test and their roles and responsibilities

- Procedures for written communications and documents

- Guidelines for the initiation and conduct of meetings

- Scheduling and tracking testing activities to be performed

- Scheduling and tracking the assignment and status of action items

- Structure and procedures for issues resolution

4.1 Regional Oversight Committee

The Regional Oversight Committee (ROC) membership is comprised of the 14 state public utility commissions serving the states in U S WEST's operating territory. These include Arizona, Colorado, Iowa, Idaho, Minnesota, Montana, North Dakota, Nebraska, New Mexico, Oregon, South Dakota, Utah, Washington and Wyoming. A major objective of the ROC is the cooperative and efficient oversight of U S WEST's operations on behalf of telecommunications customers while promoting consistency where feasible and appropriate.

4.1.1 Overview

In June 1999, 13 of the 14 ROC state commissions proposed a region-wide collaborative test of U S WEST's OSSs. The Arizona Corporation Commission (ACC) elected to pursue a separate test. On August 13, 1999 U S WEST responded to the state commissions indicating its agreement in principle with the proposal for a 13-state collaborative third party test of its OSS.

In September 1999, the ROC selected Frank Darr, of the National Regulatory Research Institute (NRRI), as its Administrative Coordinator responsible for assisting the various ROC entities with their participation and as liaison to the Federal Communications Commission (FCC) and Department of Justice (DOJ). Also in September 1999, the ROC conducted an open selection process for a Project Manager to serve as the primary, day-to-day liaison between the Commissions, the third party vendors, U S WEST, CLECs and all other parties associated with this project. Maxim Telecom Consulting Group (MTG) was selected as the Project Manager and began preliminary work on October 1, pending the execution of contracts that were completed in early December.

The ROC Technical Advisory Group (TAG) consisting of state commission staff, competitive local exchange carrier (CLEC) representatives, U S WEST and other industry members was initiated in late September and has been active in the initial planning of the test. The TAG collaboratively developed the Testing and Scoping Principles previously discussed in Section 3

that will drive the testing effort. The TAG is also collaboratively developing the Performance Measurements for testing purposes and has an extensive role in the development of this Test Requirements Document (TRD).

The ROC 3rd Party Test of U S WEST's OSS represents a somewhat unique effort to date in the independent OSS testing arena. It is the first time that multiple states have joined together to initiate a collaborative effort to plan, execute and evaluate a Regional Bell Operating Company's (RBOC's) OSS at an RBOC-wide level. Each of the ROC's state commissions will eventually consider a request from U S WEST for a favorable recommendation to the FCC on the company's petition for section 271 relief in that state. Such a recommendation must include a verification that the company is in compliance with the requirements of Section 271 (c) of the 1996 Telecommunications Act. The results and evaluation of the ROC 3rd Party Test will be used by the 13 state jurisdictions as part of their individual 271 proceedings and will become part of the overall record in each state.

4.1.2 OSS Testing Objectives

The Act and FCC orders under its authority to implement the Act require U S WEST to:

- Provide just, reasonable and nondiscriminatory access to its OSS for associated resale, unbundled network elements (UNEs) and interconnection services;

- Provide the documentation and support necessary for CLECs to access and use these systems; and

- Demonstrate the operational readiness of these OSSs to support sustained commercial operation and meet prescribed performance standards

The primary objective of this OSS testing effort is for 3rd party vendors to provide information and assist the participating state commissions in their verification that the company is in compliance with the requirements of Section 271 (c) of the Act. This OSS test along with other items in the state record will be used by the state commission to formulate a recommendation to the FCC that will be given considerable weight in the FCC's review of U S WEST Section 271 applications.

Related objectives include:

- Ensure that CLECs have access to OSSs that work through a comprehensive and rigorous testing process

- Promote increased inter-LATA competition if and when it is found that U S WEST has met the specified requirements

- Eliminate duplicative work across states and the company by determining a complementary set of OSS functionalities, performance measurements and methods to be used in the test

• Promote administrative efficiency resulting in time and cost savings for all participants

4.1.3   Joint Authority, Responsibilities and Prerogatives

Participating ROC member commissions have agreed to use independent 3rd party testing to ensure that U S WEST's OSS meet competitive checklist requirements defined by the Act and subsequent FCC rulings. This joint approach, rather than addressing OSS on a state-by-state basis as U S WEST's Section 271 applications are individually filed, offers efficiencies to all parties. To ensure that the efficiencies are realized, the ROC members will act jointly through the ROC testing organization described in Section 4.2 to plan, execute and evaluate the independent 3rd party test. The roles and responsibilities of each entity as it represents the joint authority of the ROC are summarized in Table 4.2.

4.1.4   Separate Authority, Responsibilities and Prerogatives

ROC member state commissions participating in this test retain all existing authority to carry out their statutory responsibilities within their respective states both during this collaborative test and after its completion. Each state commission may choose to include the test results and evaluation in its individual section 271 proceeding as part of the total record and retains the prerogative to make determinations independently from the ROC process. However, each of the 13 ROC member commissions that have agreed to participate in this test accepts the responsibility to make resources available and actively support the discussions and collaborations in good faith to ensure maximum success and applicability of the test.

4.2   Organization and Responsibilities

The ROC has established the following organization to support the 3rd Party Test of U S WEST's OSS and defined the key roles and responsibilities of each as shown below.

4.2.1   ROC

State commission participation in the collaborative test will be through four organizational entities established for this purpose including the Executive Committee, Steering Committee, Administrative Coordinator and Project Manager. See Table 4.2 for a description of the membership, roles and responsibilities of each. The role of the ROC includes:

• Provide overall project management of the end-to-end test planning, execution and evaluation effort

• Oversee the overall test development and testing process to ensure fairness and rigor

• Determine the overall testing scope and timeline

- Acquire, allocate and coordinate resources

- Appoint a Test Administrator to conduct the test activities

- Appoint a Pseudo-CLEC (P-CLEC) to develop the testing interfaces and submit transactions

- Appoint a Performance Measures Auditor (PMA) to audit the wholesale performance measures and retail parity standards

- Provide for an open, inclusive TAG collaborative process

- Provide final approval of baseline documents including the TRD and the MTP

- Manage and resolve issues escalated from the testing process as required

- Review and approve the Final Report (s)prepared by the Test Administrator and P-CLEC

- Review and approve the final audit report prepared by the PMA

- Communicate progress, status and issues to all interested parties

Table 4.2   ROC Testing Organization

Entity	Composition	Members	Role
Executive Committee (EC)	6 Commissioners selected by the ROC	A. Boyle (NE) E. Garvey (MN) S. Mecham (UT) B. Rowe (MT) M. Showalter (WA) A. Thoms (IA)	Ensure project meets ROC expectations Oversee the entire project Provide authority for actions not previously agreed to Resolve issues unresolved at Steering Committee level Meet once per month and as needed
Steering Committee (SC)	State staff; Administrative Coordinator; Project Manager	W.Fuller, Chairperson, Technical staff from each of the participating states; F. Darr; MTG team	Represent Commissions in collaboratives to develop and implement the test Assist in developing the TRD, evaluations and performance criteria Review and approve the final TRD and final report Oversee test progress and resolve issues Communicate status and results Meets weekly and as needed
Administrative Coordinator (AC)	NRRI	F. Darr	Advise EC and SC on process Research; coordinate EC and SC meetings Liaison to FCC and DOJ Communications
Project Manager (PM)	MTG Team	D. Anderson; B. Center; R. Schwartz	Represent Commissions in day-to-day management of testing project Prepare, publish and manage guiding documents in a collaborative manner with other test participants Liaison to Tester, ROC, USWC, CLECs and others and serve as TAG chair Observe testing to ensure fairness and rigor Provide technical assistance in test design, vendor selection, monitoring, performance measurements and evaluation Manage issues to resolution
Technical Advisory Group (TAG)	Collaborative participants	SC, AC, PM, CLECs, U S WEST, Other interested parties	Serves as collaborative forum for test effort

4.2.2 U S WEST

As the party having its interfaces tested, U S WEST is a direct participant in this test with the following roles and responsibilities:

- Provide participation, documentation and subject matter expertise in the TAG collaborative throughout the planning, execution and evaluation effort

- Provide order volume, interface usage, product information and other data as required to the Test Administrator for use in determination of the "replicate" mix" of orders and transactions and the capacity volume forecast (under confidentiality where appropriate)

- Provide the U S WEST OSS production environment to be used for the test

- Establish a CLEC-ILEC relationship with the P-CLEC and provide an Account Management Team and Technical Assistance Team to interface with the P-CLEC

- Provide technical specifications, related documentation and resources for use by the P-CLEC in establishing the P-CLEC entity and for creation of the interface (s) and transaction generator

- Provide for preparation, set-up, and access to the U S WEST production components for the tests as necessary to enable monitoring by the Test Administrator and oversight by the Project Manager

- Provide documentation to the Test Administrator to enable all agreed upon scalability analyses of systems, interfaces, work centers operations and processes

- Provide a test bed data base as required for testing purposes under the direction of the Test Administrator

- Provide for the Test Administrator to observe and the ROC Project Manager to oversee retail and wholesale processes on-site during the test and evaluation effort

- Collect raw data, compute Performance Measurements and provide to the Test Administrator

- Provide system-processing data necessary to understand the resource usage for the test workload

- Provide physical configurations for the US WEST systems used for the tests

- Provide the Test Administrator with access to all historical data, current operational reports and related algorithms needed to complete the test and evaluation

- Maintain a stable operational environment for the duration of the test and evaluation

- Provide funding for the Test Administrator, P-CLEC, Administrative Coordinator, Project Manager and all other costs except those incurred by the Commissions, CLECs and other interested parties

4.2.3 TAG

The Technical Advisory Group will conduct regular meetings, generally weekly, either in-person or via teleconference call to inform all members of testing progress, review current status and identify and resolve issues. Additional special-purpose TAG meetings will also be held as needed to support the test planning, execution and evaluation process. The TAG will initially be chaired by the ROC Project Manager, MTG, which may change during the course of the testing effort as deemed appropriate by the ROC Steering Committee and TAG membership. TAG member responsibilities include:

- Provide participation, documentation and subject matter expertise in the TAG collaborative throughout the planning, execution and evaluation effort

- Review requests for proposals (RFPs) and vendor proposals, including those for TA, P-CLEC and PMA

- Provide order volume, interface usage, product information and other data as required to the TA for use in determination of the "replicate" mix" of orders and transactions and the capacity volume forecast. All forecast information will be kept confidential by the TA.

- Provide technical assistance in test planning and execution

- Recommend criteria for selection of Test Administrator and P-CLEC

- Assist with scenario definition

- Assist with issue identification, resolution and when necessary escalation to the ROC

- Periodically review test results and offer advice, observations and provide input to the test process

4.2.4 CLECs

CLECs may serve as direct test participants and/or as members of the TAG. A test participant will have an active role in all phases of testing including planning, preparation, execution, and analysis.

- Provide participation, documentation and subject matter expertise in the TAG collaborative throughout the planning, execution and evaluation effort

- Provide order volume, interface usage, product information and other data as required to the Test Administrator for use in determination of the "replicate" mix" of orders and transactions and the capacity volume forecast (under confidentiality where appropriate)

- Provide selected interface production environment (s) such as EDI, EB-TA and EXACT/TELIS to be used for the test as appropriate

- Provide for the Test Administrator to observe and the ROC Project Manager to oversee CLEC testing processes on-site during the test and evaluation effort

- Provide input to detailed test specifications under the direction of the Test Administrator

- Provide input to test execution plans under the direction of the Test Administrator

- Provide test execution under the direction of the Test Administrator

- Provide test results documents, reports and support to the Test Administrator as required

- CLECs that are able to interact with U S WEST during the course of the test in production processing will continue to do so. These interactions can be via IMA-GUI, IMA-EDI, EB-TA, EXACT or other means the CLECs use. The results of live operations can provide meaningful information for the Test Administrator in its evaluation of U S WEST's OSS.

4.2.5 Test Administrator

The Test Administrator has overall responsibility for the management of the testing process described in this TRD including assisting other participants in preparing for and conducting the tests, providing change control throughout the testing cycle and reporting the results and evaluation to the ROC. Specific responsibilities include:

- Create a master test plan and test specifications based on the TRD through collaborative development and validation of:
    — Transaction capability test coverage scenarios, test cases and test instances
    — Parity comparison coverage scenarios, test cases, and test instances
    — Capacity test coverage scenarios, test cases and test instances

- Develop a representative transaction mix for the 13-state area and test cases
    — Estimate of reasonably expected demand levels for the capacity test based on inputs from U S WEST and CLECs
    — Allocation of test transactions across P-CLEC and live data transactions across participating CLECs

- Develop and maintain the detail test schedule, milestones, action items and critical path

- Plan and direct the activities of all testing participants including U S WEST, P-CLEC, CLECS and "Friendlies" if used

- Provide day-to-day supervision and evaluation of all tests identified in this TRD and guidance to all testing participants, as needed
  - — Performance Measurement Evaluation
  - — U S WEST Parity Evaluation
  - — U S WEST Documentation Evaluation
  - — Transaction Processing Capability Test
  - — Transaction Processing Capacity Test
  - — Transaction Processing Scalability Test
  - — CLEC Network Provisioning Test
  - — Change Management Process Evaluation
  - — U S WEST CLEC Support Infrastructure Test

- Take the lead in coordination of schedules and other activities required amongst the three vendor roles, with the ROC/MTG resolving any conflicts that may arise between vendors

- Ensure that testing processes and execution achieves adequate blindness to U S WEST

- Monitor test sites and testing activities to ensure rigor and fairness

- Facilitate oversight by the ROC Project Manager at test sites for selected testing activities

- Collect testing status from all participants and report to the ROC Project Manager weekly

- Provide and manage a formal, predictable and public mechanism for communication with CLECs, U S WEST and the ROC on issues related to the test

- Provide the first level of issue management for all testing related issues including the assignment of accountabilities, tracking, reporting and escalation

- Compile a daily event log that captures the details of its experiences in dealing with all testing participants

- Collect, measure, evaluate and report test results

- Develop and submit to the ROC at least one interim report at or near the mid-point of the test process, and possibly others, that describes the test results and recommendations for each major test type

- Develop and submit to the ROC a final report that describes the overall test results and recommendations and specific results and recommendations for each major test type.

4.2.6   Pseudo-CLEC

The primary role of the P-CLEC is to emulate a newly established CLEC that will serve as an unbiased vehicle for testing U S WEST OSS, documentation and processes. P-CLEC primary responsibilities include:

●   Establish the CLEC-ILEC business and technical assistance relationship with U S WEST

●   Acquire appropriate documentation, attend training and build an application-to-application OSS interface (EDI), establish a Web-GUI (IMA) interface, and utilize an existing EB-TA interface (offered by MCI WorldCom) to mirror the activities required for a new CLEC to trade with U S WEST

●   Develop a list of the documentation that was used to establish interfaces with U S WEST and post that list on the ROC OSS web site

●   Evaluate the adequacy of documentation and assistance provided by U S WEST to CLECs for the establishment, maintenance and use of EDI, GUI, and EB-TA OSS interfaces

●   Establish the capabilities, install facilities and connectivity for the EDI, GUI, EB-TA and manual OSS interfaces to U S WEST as required to process the volume and mix of transactions for tests specified in the MTP and test specifications prepared by the TA

●   Create and submit test transactions to U S WEST over the appropriate interfaces under the direction of the TA

●   Collect, measure and document the results of all transactions

●   Compile a daily event log that captures the details of its experiences in dealing with   U S WEST

●   Prepare at least one, possibly more, interim reports or provide the inputs for one or more interim reports to the TA as directed by the ROC

●   Prepare a final report or provide input for a final report to the TA

4.2.7   Performance Measure Auditor (PMA)

The primary role of the PMA is to perform an initial audit to ensure that all aspects of U S WEST's wholesale performance measures and retail parity standards are sound and in compliance with the collaboratively developed ROC Performance Indicator Definitions(PID). PMA primary responsibilities include:

●   Prepare the audit plan considering a phased approach if feasible

- Provide the audit schedule for all performance measures for use by the TA in the planning and scheduling of the related OSS tests requiring performance measures

- Conduct an end-to-end process analysis of U S WEST's performance measures process

- Verify system requirement documentation to ensure consistency between system coding and system requirements

- Conduct parity by process design for required measures (DB, DA, OS – see PID)

- Audit performance data collection for completeness, timeliness and accuracy

- Verify data retention and the existence of proper security around reporting and archiving the data

- Audit performance measures calculation

- Identify exceptions and recommendations

- Verify fixes implemented by U S WEST to clear exceptions identified in audit

- Define a monitoring plan

- Provide weekly reports to the ROC Project Manager and the TA on the progress of the audit, rate of completion and any conclusive findings on material deficiencies

- Prepare and deliver a final audit report

4.2.8 Federal Communications Commission (FCC)

The FCC staff may observe the process of planning, execution and evaluation of the tests. In addition, the FCC's guidelines and advice on 3rd party testing issued in various vehicles (letters, rulings, etc.) have been used in the definition of this TRD.

4.2.9 Department of Justice (DOJ)

The DOJ staff may observe the process of planning, execution and evaluation of the tests. In addition, the DOJ's briefs that addressed Section 271 applicants' OSS testing have been used in the definition of this TRD.

4.2.10 Contribution and Participation

Table 4.2.10 summarizes the contribution and participation of the active participants in the ROC 3rd party testing of U S WEST's OSS.

Table 4.2.10 Contribution and Participation

	Test plan drafting	Test planning	Test execution	Exceptions and failed criteria	Final report
ROC MTG	• Establishes the testing principles • Establishes the procurement plan • Selects the TA, the P-CLEC, and the PMA	• Approves the master test plan • Contracts with vendors for services • Constructs proprietary and non-disclosure agreements	• Monitors activities • Receives daily issues logs • Reviews exception reports • Reviews interim report • Reviews party comments on exceptions	• Reviews exception reports • Reviews proposals for remedy • Reviews closure reports • Reviews endorsements • Collects party comments on each exception	• Receives draft • Reviews party comments • Receives final report • Prepares advisory package for SC/EC
US WEST	• Directly involved to provide input to the plan	• Contracts with vendors for services • Generally open meetings with TA : Pre-announced with open conference bridge and notes on web • Closed session only for US WEST proprietary information concerning business volumes • Develops test milestones with CLECs for test administration • Certifies systems readiness to start tests	• Provides systems, operations, work centers, and support in routine manner for test • Interacts with P-CLEC • Collects raw performance data • Provides access as required to TA and PMA	• Receives notices • Prepares proposal for remedy • Advises test administrator when retesting can be done • Receives retest report • Receives closure report • Endorses (or withholds) closure through written comments	• Receives draft • Provides comments on test outcome • Provides comments on complementary production experience
CLECs	• Directly involved to provide input to the plan	• Generally open meetings with TA: Pre-announced with open conference bridge and notes on the web • Closed session to ensure blindness to U S WEST of test transactions, volumes and scheduling of volume tests • Develops test milestones with US WEST for test administration	• Provide resources as committed in MTP Including CLEC interfaces for EB-TA, EXACT	• Receives notices • Receives US WEST proposals for remedies • Receives retest report • Receives closure reports • Endorses (or withholds) closure through written comments	• Receives draft • Provides comments on test outcome • Provides comments on complementary production experience
TA	• Authors the plan with input from CLECs and US WEST • Documents test scenarios within the plan	• Meets with US WEST and CLECs • Consolidates CLEC volume forecasts • Manages information sharing tasks • Maintains e-mail distribution lists • Provides web content • Authors test scripts	• Executes tests • Gathers information for evaluations • Gathers observation facts • Prepares status reports • Authors interim report	• Issues notices of material defect, failed success criteria, or exception • Works with US WEST to resolve • Re-tests • Prepares closure reports	• Prepares draft • Collects party comments • Prepares final report
P- CLEC	• No involvement	• Develops test cases to coincide with test scripts and variables • Creates test datastores	• Generates test transactions according to TA schedule • Interacts with US WEST • Collects results of test transactions		• Provides input for final report • Reviews draft for accuracy • Provides comments to TA
PM Auditor	• No involvement	• Develops audit plan with input from CLECs and US WEST	• Conducts audit of PM end-to-end process • Conducts parity by design process reviews • Conducts audit of PM documentation & calcs. • Verifies system coding vs requirements • Defines monitoring plan	• Issues notices of performance measurement deficiencies and exceptions • Verifies fixes • Prepares audit report	• Audit report may be excerpted or appended to final report • Reviews draft of final report for accuracy on PM audit, if required

Test plan drafting	Test planning	Test execution	Exceptions and failed criteria	Final report

4.3 Written Communications and Documents

The Test Administrator shall be responsible for:

- Providing overall communications management within the testing period

- Maintaining daily contact with the Pseudo-CLEC and other participants

- Maintaining close contact with the ROC and the TAG

- Responding to test-related issues and concerns raised by individual State PUC Commissioners or Staff Members

- Maintaining an electronic contact list (e.g. subject matter experts, escalation) for each test participant, the TAG, and the ROC

- Posting material on the ROC OSS Web site (See section 4.3.4)

- Distributing exception reports and soliciting comments on the exceptions from U S WEST and the CLECs

- Distributing test management jeopardy reports to the appropriate audience as determined by the Test Administrator

- Maintaining data used to execute the test of U S WEST's OSS including the test data base provided at the beginning of the test, the transaction files generated and used during the tests to convey CLEC-to-U S WEST and U S WEST-to-CLEC transactions over the interfaces, and printed documents related to test processing not otherwise retained in electronic form

4.3.1 Principles Governing Written Communications

There are competing forces that must be balanced in determining the principles governing written communications. On the one hand, an open communications process is important to maintain both the perception and actuality of a credible test. On the other hand, there are instances where the blindness of U S WEST with regard to some aspects of the tests is also critical. Early in the testing process openness may be judged more important than blindness; as the test progresses blindness may become the more important criterion.

4.3.2 Proprietary Documents and Intellectual Property Rights

Intellectual property rights to proprietary documents used in the OSS Test shall remain with the owner. Intellectual property rights to material developed for the test shall be in the public domain. The ROC may withhold public access to some test-related materials until after the test is concluded to maintain blindness.

4.3.3 Formal Documents

Formal documents shall be assumed to be open and available unless:

- They are internal to an entity

- They contain un-redacted proprietary information

- Their distribution would compromise the blindness of the test

Documents that were not made public during the test in order to preserve blindness shall be made available to all participants at the conclusion of the test, and prior to the Test Administrator's drafting of the Final Report. Documents not made public during the test because they were internal documents or contained proprietary information need not be made available at the conclusion of the test.

4.3.4 ROC Web Site

The ROC has established a Web site for this test.(http://www.nrri.ohio-state.edu/oss.htm) Formal written communications shall be placed on this Web site unless they meet one or more of the criteria listed in section 4.3.3.

A posting procedure is in place and is to be followed by the vendor(s).

4.3.5 Informal Communications

Informal communications, such as emails between subject matter experts discussing technical details of an aspect of the test, shall not be posted or otherwise made available unless they become germane to a dispute and are requested by the ROC Executive Committee. The Test Administrator and Pseudo-CLEC shall maintain electronic versions of informal communications for a period of one year after the conclusion of the test.

4.3.6 Management and Administration of the Master Test Plan

Once the master test plan (MTP) has been developed by the TA and approved by the ROC, the management and administration of the MTP shall be the responsibility of the TA. The ROC

Project Manager will work with the TAG and the TA to establish a Change Control Process that governs how changes to the MTP are proposed, discussed and implemented. Changes to the MTP shall be communicated in a timely and open manner to all parties concerned unless the changes contain information that might compromise the blindness of the test. In this case, the changes shall be communicated to all concerned parties except for U S WEST. The vendor(s) shall also establish, publish, and adhere to a rigorous version control process for the MTP and associated documentation. For relevant documentation, vendor(s) will use a document control section similar to that shown in Appendix A.

4.4   Meetings

4.4.1   Purpose

Beginning with New York, striking the appropriate balance between an open and transparent testing process and blindness to preserve the realism and integrity of the test has been an important consideration in the conduct of 3rd party tests. The following figure provides a structure that can foster openness except where blindness is required.

Figure 4.4.1

	U.S. West	CLECs	Test Administrator	Pseudo CLEC
ROC/MTG (May monitor any meeting or call)	Generally Open • Announced • Open Conference Bridge • Notes on Web	Generally Open • Announced • Open Conference Bridge • Notes on Web Closed to USW for Blindness • Openly Announced • Restricted Conference Bridge • Notes to ROC • Published after Project	Generally Open • Announced • Open Conference Bridge • Notes on Web Closed to USW for Blindness • Openly Announced • Restricted Conference Bridge • Notes to ROC • Published after Project	Generally Open • Announced • Open Conference Bridge • Notes on Web Closed to USW for Blindness • Openly Announced • Restricted Conference Bridge • Notes to ROC • Published after Project
U S West		Generally Open • Announced • Open Conference Bridge • Notes on Web	Generally Open • Announced • Open Conference Bridge • Notes on Web	Generally Open • Announced • Open Conference Bridge • Notes on Web
CLECs			Generally Open • Announced • Open Conference Bridge • Notes on Web Closed to USW for Blindness • Openly Announced • Restricted Conference Bridge • Notes to ROC • Published after Project	Generally Open • Announced • Open Conference Bridge • Notes on Web Closed to USW for Blindness • Openly Announced • Restricted Conference Bridge • Notes to ROC • Published after Project
Test Administrator				Generally Open • Announced • Open Conference Bridge • Notes on Web Closed to USW for Blindness • Openly Announced • Restricted Conference Bridge • Notes to ROC • Published after Project

The PMA is not included in the above table because openness/blindness principles do not apply to the PMA. The PMA is required to exercise its independent judgement in conducting its audit of the performance measures and inform the ROC and TAG of progress and findings.

4.4.2 General Principles

Meetings will be open unless specifically closed for purposes of blindness.

4.4.3 Open Meetings

The following guidelines will apply to open meetings:

• A meeting announcement and agenda will be posted on the ROC web site

• An open conference bridge will be made available, with the dial in number and pass code provided in the meeting announcement

- Meeting notes will be posted on the ROC web site

These guidelines are generally intended to apply to all contacts between U S WEST and the TA, and U S WEST and the P-CLEC. At the same time, it is expected that U S WEST will have incidental contact with the TA and/or the P-CLEC before and during the testing process. These guidelines are not intended to be rigidly applied to incidental contacts between U S WEST and the TA, or U S WEST and the P-CLEC.

4.4.4 Meetings Closed to U S West to preserve Blindness

The following guidelines will apply to meetings closed for purposes of blindness:

- A meeting announcement will be posted on the ROC web site

- A restricted conference bridge line will be made available, with the dial in number and pass code provided via email

- Meeting notes will be archived

- ROC/MTG may monitor any meeting

- Meeting notes will be published following the completion of testing and prior to the drafting of the Final Report

4.5 Scheduling and Tracking

The ROC Project Manager, MTG, will maintain a high-level project plan for ROC's overall 3rd party testing endeavor that covers the initial formation of the ROC 3rd Party Testing Organization through the deliverable of the Test Administrator's Final Report to the ROC. This project plan will be used by MTG to manage and track the various milestones included in the plan to ensure that the project is completed within the ROC's parameters. MTG will work with the TAG to establish the project milestones that will be used to measure the progress of the overall third party testing project.

The Test Administrator will develop its own internal work plan that supports the ROC project plan's timeline and includes the detailed activities required to meet all major milestones. The Test Administrator will assign responsibility for all tasks identified in its internal work plan in line with the test plan responsibilities, contract terms, and TAG agreements. For example, a CLEC that has volunteered within the TAG forum to furnish its EB-TA interface for use in the testing of Maintenance and Repair capabilities may be assigned that responsibility in the work plan. All test participants, including the P-CLEC, U S WEST and CLECs, will operate in accordance with the Test Administrator's detailed work plan. The Test Administrator will track all milestones on its work plan required to ensure the test meets the ROC project plan timeline.

4.6   Operational Reporting

The Test Administrator will prepare and deliver operational reports of six types to the ROC Project Manager (MTG) and the TAG. These include:

Weekly Operational Report - Overall progress reports will be provided weekly that describe the status on all major milestones and identify new issues requiring resolution. This report shall also include summaries of observations and other qualitative activities conducted.

Daily Report - Detailed status reports on specific tests will be provided on a daily basis during test execution including potential areas of concern and technical issues.

Observation Report – Provides a summary of the interviews and observations conducted as part of the operational analysis tests.

Issue Tracking Report – An Issue Tracking Report will be provided on a weekly basis that describes the nature of the issue; issue status; action items, responsibility and schedule for resolution.

Jeopardy Reports – A test management jeopardy will be created when an event causes impact on the project's goals and expectations (such as the schedule) as defined in this TRD. A jeopardy can be identified to the Test Administrator by any team member and will be managed by the Test Administrator with the assistance of the ROC Project Manager (MTG). The objective of jeopardy management is to obtain a timely, reasonable solution that minimizes the impact on testing schedules and does not compromise test results. Test participants will be notified of jeopardies as they arise in accordance with the contact list maintained by the TA.

Exception Reports – Exceptions to the expected outcomes and other conditions encountered during testing are documented by the TA in exception reports that are posted to the web and/or distributed to the ROC Project Manager and the TAG for review, comment and/or action. Exception reports are tracked to closure by the TA.

Specific formats for each of the above reports will be proposed by the TA with input from the TAG and approved by the ROC Project Manager (MTG) as part of the "start-up activities" once the TA begins work.

4.7   Issue Resolution

Issue Resolution for issues emerging from ROC's 3rd party testing effort consists of a five step process designed to embrace the open and collaborative spirit of the test, promote timely and reasonable remedies and provide a final decision on contested issues, as required. The steps are:

1. Test participants refer all testing issues to the Test Administrator for inclusion in the issue resolution process.

2. The Test Administrator provides the first level of issue management for all testing related issues including the assignment of accountabilities, action plan, tracking, reporting and escalation. The Test Administrator will enlist the assistance of U S WEST, CLECs, P-CLEC, and TAG as required to resolve the issue.

3. If the issue is not resolved in the collaborative process, it may be decided by the ROC Project Manager (MTG) on behalf of the ROC Steering Committee.

4. If an issue is of sufficient magnitude and/or contention as to warrant broader debate and decision participation to ensure the results are compatible with ROC goals, it will be referred by the Project Manager (MTG) to the ROC Steering Committee for consideration. The referral will include a description of the issue, alternative positions regarding the issue and a preliminary recommendation. Other test participants may participate in the discussion/debate as deemed appropriate by the ROC Steering Committee.

5. If the issue is not resolved by a decision at the Steering Committee level, it will be referred to the ROC Executive Committee for final resolution. Once a resolution is determined, it will be communicated to all testing participants, included in the issues report and implemented in the testing process.

5. TEST FRAMEWORK AND TEST ELEMENTS

The overall test of U S WEST's OSS is designed to be multi-faceted and provide end-to-end coverage of the systems, interfaces, and processes that fall within the scope of the testing effort. In constructing this TRD, many factors were considered, including the systems and processes to be tested, the measurement points and respective evaluation criteria, and the necessary conditions required to stage a successful, efficient, and objective test. The Test Administrator will be responsible for ensuring that all tests listed in this plan are executed.

In order to develop a comprehensive, complete, and thorough test of U S WEST's OSS systems, interfaces, and processes, the Test Requirements Document framework is defined in terms of a set of elements including the following:

• U S WEST OSS System Architecture

• Parity Standards, Benchmarks, Qualitative Evaluations and Comparisons

• Entrance and Exit Criteria

• Test Domains