**Spreadsheet Name**

***Spreadsheet Validation***



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# Change Authorization

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Change Request ID** | |  | | | |
| **Spreadsheet ID** | |  | | | |
| **Spreadsheet Title** | |  | | | |
| **Requested By** | |  | | | |
| Change Request Description | | | | | |
| Change Description | | Describe requested change(s): | | | |
| **Change Rationale** | | Provide reason for requested change(s): | | | |
| Authorization of Change | | | | | |
| **Role** | **Decision** | | **Name** | **Signature** | **Date** |
| Quality Manager |  Approve   Reject | |  |  |  |
| IT Manager |  Approve   Reject | |  |  |  |
| Business Manager |  Approve   Reject | |  |  |  |

# Validation Plan

## Validation Scope

Describe the purpose and functions of the spreadsheet being validated. Identify whether this is a new spreadsheet or a modification to an existing spreadsheet. For spreadsheet modification, identify which functionality (if any) is not being re-validated.

## Risk Assessment and Mitigation

Identify the spreadsheet’s risk level. Then state how the risk will be mitigated.   
For example …

**Risk Assessment:**

|  |  |  |
| --- | --- | --- |
| **Risk Component** | **Category** | **Rationale** |
| Criticality |  |  |
| Complexity |  |  |

**Risk Mitigation:**

To control quality risk, the criticality and complexity levels of spreadsheet will be utilized in determining the approach to verification activities.

## Validation Strategy

Identify the general strategy for validation of the spreadsheet. For example …

* Documentation of User and Functional Requirements
* Spreadsheet design per established Spreadsheet Design Standards, and documentation of design
* Documentation of an Operational and Performance Qualification protocol that includes
  + Verification of use and functional requirements
  + Tracing of Requirements to verification tests
  + Path, stress, and boundary testing
  + Utilization of data and scenarios similar to production data
* Approval of requirements, design documentation, and protocols
* Execution of the Operational and Performance Qualification protocols, and if needed:
  + Documentation of testing failures
  + Regression testing of corrections
* Documentation of Installation Qualification protocol
* Approval of executed the Operational and Performance Qualification protocol, test failures (if any), regression tests (if any) and the Installation Qualification protocol
* Execution of the Installation Qualification protocol
* Approval of the executed Installation Qualification protocol

## Test Plan

Identify the approach that will be taken for OQ/PQ testing. Include approach to requirements coverage, boundary testing, path coverage, stress testing, data (e.g., production vs. engineered), and test methodologies.

## Acceptance Criteria

List the acceptance criteria that must be met to certify the spreadsheet for production use. For example:

* User and functional requirements have been approved
* Design has been documented
* The Operational and Performance qualification protocol has been executed and approved
* Any incidents detected during testing have been document and resolved; regressing testing has been completed.
* The Installation qualification protocol has been written and pre-approved

# User and Functional Requirements

Document the necessary functionality that must be available in the spreadsheet to meet the intended business use of the spreadsheet.

|  |  |  |  |
| --- | --- | --- | --- |
| **User Requirement** | **1.0** |  | |
| Functional Requirements | | 1.1 |  |
| 1.2 |  |
| 1.3 |  |
| 1.4 |  |
| 1.5 |  |
| 1.5 |  |
| **User Requirement** | **2.0** |  | |
| Functional Requirements | | 2.1 |  |
| 2.2 |  |
| 2.3 |  |
| 2.4 |  |
| 2.5 |  |
| 2.5 |  |

Etc.

# Design Documentation

Document the design of the spreadsheet. For Example …

* Reference any design standards followed
* Insert or attach an image of the spreadsheet
* Insert or attach a view of the spreadsheet showing the formulas in each cell
* Insert or attach images of configurations, macros, security settings, and any other design elements

# Preliminary Approval

|  |  |  |  |
| --- | --- | --- | --- |
| The signatures below indicate:   * Approval of the Validation Plan, User and Functional Requirements, and Design Documentation * Pre-approval of the Operational and Performance Qualification protocol * Pre-approval of the Installation Qualification protocol | | | |
| **Role** | **Name** | **Signature** | **Date** |
| Quality Manager |  |  |  |
| IT Manager |  |  |  |
| Business Manager |  |  |  |

# Operation and Performance Qualification

## Test Design

Identify the OQ/PQ test cases that will be used to testing the spreadsheet vs. the User and Functional Requirements. Identify any specific scenarios and data sets that must be used to adequately challenge the spreadsheet’s functionality to ensure consistent, reliable performance.

|  |  |
| --- | --- |
| **Test Scenario** | **Data** |
|  |  |
|  |  |
|  |  |

Etc.

## Test Protocol

Enter the actions and expected results to test the operation and performance of the spreadsheet for its intended use. Cross-reference each Step to one or more Requirement to provide traceability.

| Test Case 1: Describe the Test Case | | | | | |
| --- | --- | --- | --- | --- | --- |
| Step | Req. | Description/Action | Expected Result | Actual Result = Expected Result (Yes/No) | Comment |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| Test Case 2: Describe the Test Case | | | | | |
| 2.1 |  |  |  |  |  |
| 2.2 |  |  |  |  |  |
| 2.3 |  |  |  |  |  |
| 2.4 |  |  |  |  |  |
| 2.5 |  |  |  |  |  |

Etc.

Tester Name, Signature, and Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

# Testing Summary and Validation Summary

## Testing Summary

Document a summary statement regarding the OQ/PQ testing. For example:

A total of xx issues were identified. Of these issues, xx were test protocol errors, xx were spreadsheet functionality problems, and xx were test execution errors. See Appendix A for test issue details.

OR

There were 0 issues identified by OQ/PQ testing.

## Validation Summary

List the acceptance criteria (from the Validation Plan) that have been met and a conclusion that the spreadsheet is ready for production use. For example:

The following criteria have been met, and therefore this spreadsheet can be implemented for production use

* User and functional requirements have been approved
* Design has been documented
* The Operational and Performance qualification protocol has been executed and approved
* (if incidents) Incidents detected during testing have been document and resolved; regressing testing has been completed
* The Installation qualification protocol has been written

# Validation Approval

|  |  |  |  |
| --- | --- | --- | --- |
| The signatures below indicate:   * Approval of the Operational and Performance Qualification test results, the Verification Summary, and the Validation Conclusion * Authorization to move the spreadsheet into production use | | | |
| **Role** | **Name** | **Signature** | **Date** |
| Quality Manager |  |  |  |
| IT Manager |  |  |  |
| Business Manager |  |  |  |

# Installation Qualification

Enter the action and expected results to implement the spreadsheet into production

| Step | Description/Action | Expected Result | Actual Result = Expected Result (Yes/No) | Comment |
| --- | --- | --- | --- | --- |
| 1,1 |  |  |  |  |
| 1.2 |  |  |  |  |
| 1.3 |  |  |  |  |
| 1.4 |  |  |  |  |
| 1.5 |  |  |  |  |

Etc.

Implementer Name, Signature, and Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

# Validation Closure

|  |  |  |  |
| --- | --- | --- | --- |
| The signatures below indicate:   * Completion of validation | | | |
| **Role** | **Name** | **Signature** | **Date** |
| Quality Manager |  |  |  |

# Appendix A - Verification Issue Report

Document Operational and Performance Qualification issues.

| Issue Number |  |
| --- | --- |
| Test Case |  |
| **Test Step** |  |
| **Date of Issue** |  |
| **Description of Issue** |  |
| **Issue Type** | e.g., Protocol step error, spreadsheet functionality error, tester error |
| **Steps for Issue Correction** |  |
| **Regression Testing Required** |  |

Etc.