

COMMERCIAL IN CONFIDENCE

**SCHEDULE 6.2**

**TESTING PROCEDURES**

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**Testing Procedures**

**1 DEFINITIONS**

In this Schedule, the following definitions shall apply:

|   |  |
|---|--|
| <b>“Authority to Proceed” (ATP)</b>       | a governance milestone where the Authority shall assess whether the Authority's requirements for that Milestone have been achieved   |
| <b>“Component”</b>                        | any constituent parts of a Service, bespoke or COTS, hardware or software;   |
| <b>“COTS”</b>                             | commercially available off the shelf software, being software that is commonly used and is provided in a standard form and on standard licence terms which are not typically negotiated by the licensor; |
| <b>“Contract Performance Point” (CPP)</b> | a final governance milestone confirming that all the Authority's requirement for Transition or a Project (excluding an Operational Project) have been achieved;  |
| <b>“Development Gateway Process”</b>      | a development process with governance gateways applicable to all Projects and releases with options to accommodate the scale of the activity;  |
| <b>“Material Test Issue”</b>              | a Test Issue of Severity Level 1 or Severity Level 2;  |
| <b>“Operational Project”</b>              | A project within Component 2 - Operate;  |
| <b>“Severity Level”</b>                   | the level of severity of a Test Issue, the criteria for which are described in Annex 1;  |
| <b>“Test Certificate”</b>                 | a certificate materially in the form of the document contained in Annex 2 issued by the Authority when a Deliverable has satisfied its relevant Test Success Criteria and/or a Milestone is achieved;    |
| <b>“Test Issue”</b>                       | any variance or non-conformity of a Deliverable from its requirements (such requirements being set out in the relevant Test Success Criteria); Test Issues are typically logged and tracked as defects   |
| <b>“Test Issue Threshold”</b>             | in relation to the Tests applicable to a Milestone, a maximum number of Severity Level 3, Severity Level 4 and Severity Level 5 Test Issues as set out in Annex 1 and the relevant Test Plan ;           |
| <b>“Test Issue Management”</b>            | a log for the recording of Test Issues as described further in   |

|   |   |
|---|---|
| <b>Log”</b>                                 | Paragraph 9.1;  |
| <b>“Milestone Achievement Certificate “</b> | See <b>“Test Certificate”</b>   |
| <b>“Milestone Completion Report”</b>        | the reports to be produced by the Supplier setting out the completion of a Milestone;   |
| <b>“Test Phase”</b>                         | A logical grouping of tests to form a discreet activity   |
| <b>“Test Plan”</b>                          | a plan:<br><br>(a) for the Testing of Deliverables; and<br><br>(b) setting out other agreed criteria related to the achievement of Milestones,<br><br>as described further in Paragraph 5;  |
| <b>“Test Completion Reports”</b>            | the reports to be produced by the Supplier setting out the results of Tests;  |
| <b>“Test Specification”</b>                 | the specification that sets out how Tests will demonstrate that the Test Success Criteria have been satisfied, as described in more detail in Paragraph 7;  |
| <b>“Test Strategy”</b>                      | a strategy for the conduct of Testing as described further in Paragraph 4;  |
| <b>“Test Success Criteria”</b>              | in relation to a Test, the test success criteria for that Test as referred to in Paragraph 6 and Annex 4 for Transition, Annex 6 for Operate, Annex 7 for Enhance and otherwise as agreed between the Parties as part of the Test Plan; |
| <b>“Test Witness”</b>                       | any person appointed by the Authority pursuant to Paragraph 10.1;   |
| <b>“Test Procedures”</b>                    | the applicable testing procedures and Test Success Criteria set out in this Schedule 6.2;   |
| <b>“Test Tools”</b>                         | the tools to be used to support and enable testing; and   |
| <b>“Urgent Operational Issues”</b>          | a Severity Level 1 or Severity Level 2 issue resulting in an Operational Project with a fix to be tested pursuant to this Schedule 6.2 (Testing Procedure);   |

## 2 RISK

- 2.1 The issue of a Test Certificate, a Milestone Achievement Certificate and/or a conditional Milestone Achievement Certificate shall not:

- (a) operate to transfer any risk that the relevant Deliverable or Milestone is complete or will meet and/or satisfy the Authority's requirements for that Deliverable or Milestone; or
  - (b) affect the Authority's right subsequently to reject:
    - (i) all or any element of the Deliverables to which a Test Certificate relates; or
    - (ii) any Milestone to which the Milestone Achievement Certificate relates.
- 2.2 Notwithstanding the issuing of any Milestone Achievement Certificate (including the Milestone Achievement Certificate in respect of Authority to Proceed), the Supplier shall remain solely responsible for ensuring that:
- (a) the Supplier Solution as designed and developed is suitable for the delivery of the Services and meets the Authority Requirements;
  - (b) the Services are implemented in accordance with this Agreement; and
  - (c) each Target Performance Level is met from the relevant Operational Service Commencement Date.

### **3 TESTING OVERVIEW**

- 3.1 All Tests conducted by the Supplier shall be conducted in accordance with the Test Strategy, the Test Plans and the Test Specifications.
- 3.2 The Test Strategy will include a fast-track Test process for Urgent Operational Issues.
- 3.3 The Supplier shall not submit any Deliverable for Testing:
- (a) unless the Supplier is reasonably confident that it will satisfy the relevant Test Success Criteria;
  - (b) until the Authority has issued a Test Certificate in respect of any prior, dependent Deliverable(s); and
  - (c) until the Parties have agreed the Test Plan and the Test Specification, including Test Success Criteria, relating to the relevant Deliverable(s).
- 3.4 The Supplier shall use reasonable endeavours to submit each Deliverable for Testing or re-Testing by or before the date set out in the relevant Plans for the commencement of Testing in respect of the relevant Deliverable.
- 3.5 Prior to the issue of a Test Certificate, the Authority shall be entitled to review the relevant Test Completion Reports and the Test Issue Management Log.
- 3.6 Any Disputes between the Authority and the Supplier regarding Testing shall be

referred to the Dispute Resolution Procedure using the Expedited Dispute Timetable.

#### 4 TEST STRATEGY

- 4.1 The Supplier shall develop the Test Strategy to include all three Service Components, Component 1 - Transition, Component 2 - Operation, and Component 3 - Enhance, as soon as practicable after the Effective Date but in any case no later than 20 Working Days (or such other period as the Parties may agree in writing) after the Effective Date.
- 4.2 The final Test Strategy shall include:
- (a) an overview of how Testing will be conducted;
  - (b) the process for reviewing/agreeing the scope of test plans and test scripts and associated Test Success Criteria (i.e test scenarios)
  - (c) the tooling that will be used to undertake testing
  - (d) any 'End-User' device compatibility considerations (such as supported Operating system or Browser) for changes delivered through the enhance workstream
  - (e) the process to be used to capture, record, report and retain Test results and the categorisation of Test Issues;
  - (f) the process for recording and presenting expected versus actual test results
  - (g) the method for mapping the expected Test results to the Test Success Criteria;
  - (h) the process for capturing test issues
  - (i) the procedure to be followed if a Deliverable fails to satisfy the Test Success Criteria or produces unexpected results, including a procedure for the resolution of Test Issues;
  - (j) the procedure to be followed to sign off each Test;
  - (k) the process for the production and maintenance of Test Completion Reports and reporting, including templates for the Test Completion Reports and the Test Issue Management Log, and a sample plan for the resolution of Test Issues;
  - (l) the names and contact details of the Authority's and the Supplier's Test representatives;
  - (m) a high level identification of the resources required for Testing, including facilities, infrastructure, personnel and Authority and/or third party

- involvement in the conduct of the Tests;
- (n) the environments required to support the Tests;
- (o) details of entry, exit, suspension and resumption criteria;
- (p) the procedure for managing the configuration of the Test environments;
- (q) the procedure for managing the Test Evidence and making it available for Authority review;
- (r) the alignment of test activities with a 'Development Lifecycle' and 'Development Gateway Process';
- (s) the definitions of the different types of testing to be undertaken e.g. unit testing, regression testing, performance testing, non-functional testing etc;
- (t) the Test Tools to be used during testing;
- (u) the variations of the Test Strategy for Component 1 - Transition, Component 2 - Operation, and, Component 3 - Enhance; and
- (v) the definition of the Deliverables from the Test Activities.

## 5 TEST PLANS

- 5.1 For all planned activity the Supplier shall develop Test Plans and submit these for the review and approval of the Authority as soon as practicable but in any case no later than 20 Working Days (or such other period as the Parties may agree in the Test Strategy or otherwise agree in writing) prior to the start date for the relevant Testing (as specified in the relevant Plans).
- 5.2 Each Test Plan shall include as a minimum:
  - (a) the relevant Test definition and the purpose of the Test, the Milestone to which it relates (where applicable), the requirements being tested and the specific Test Success Criteria to be satisfied;
  - (b) a detailed procedure for the Tests to be carried out, including:
    - (i) the timetable for the Tests, including start and end dates;
    - (ii) the Testing mechanism;
    - (iii) dates and methods by which the Authority can inspect Test results and test evidence and/or witness the Tests in order to establish that the Test Success Criteria have been met;
    - (iv) the mechanism for ensuring the quality, completeness and relevance

of the Tests;

- (v) the format and an example of Test progress reports and the process with which the Authority accesses daily Test schedules;
- (vi) the process which the Authority will use to review Test Issues and the Supplier's progress in resolving these in a timely basis;
- (vii) the Test Schedule;
- (viii) the re-Test procedure, the timetable and the resources which would be required for re-Testing; and
- (ix) the process for escalating Test Issues from a re-test situation to the taking of specific remedial action to resolve the Test Issue.

5.3 The Authority shall not unreasonably withhold or delay its approval of the Test Plans provided that the Supplier shall incorporate any reasonable requirements of the Authority in the Test Plans.

5.4 For Urgent Operational Issues, resulting from Service Calls or other events, the Service Call Logging will be used to record:

- (a) the Tests required to prove the issue has been resolved;
- (b) the Test Results; and
- (c) the Test Evidence.

Test Plans are not required for Urgent Operational Issues.

## **6 TEST SUCCESS CRITERIA**

The Test Success Criteria for each Test that must be Achieved for the Supplier to Achieve either an ATP Milestone or a CPP Milestone are set out in Annex 1 and the relevant Test Plan;

## **7 TEST SPECIFICATION**

7.1 Following approval of a Test Plan, the Supplier shall deliver the agreed Test Specification for the relevant Deliverables as soon as reasonably practicable and in any event at least 10 Working Days (or such other period as the Parties may agree in the Test Strategy or otherwise agree in writing) prior to the start of the relevant Testing (as specified in the relevant Plan).

7.2 Each Test Specification shall include as a minimum:

- (a) A detailed summary of what will be tested, expressed as test scenarios or test scripts;

- (b) the specification of the Test data (both obfuscated and clear), including its source, scope, volume and management, a request (if applicable) for relevant Test data to be provided by the Authority and the extent to which it is equivalent to live operational data;
  - (c) a plan to make the resources available for Testing;
  - (d) Test Inputs (user inputs and file inputs)
  - (e) any pre-requisites that apply;
  - (f) the Test Success Criteria associated with the tests; and
  - (g) expected Test results, including a mechanism to be used to capture and record Test results, including Test Evidence
- 7.3 Test Specifications are not required for Urgent Operational Issues.

## **8 TESTING**

- 8.1 Before submitting any Deliverables for Testing the Supplier shall subject the relevant Deliverables to its own internal quality control measures.
- 8.2 The Supplier shall manage the progress of Testing in accordance with the relevant Test Plan and shall carry out the Tests in accordance with the relevant Test Specification. Tests may be witnessed by the Test Witnesses in accordance with Paragraph 10. In some instances, the Test Witnesses may upon reasonable prior notice to the Supplier conduct some of the tests.
- 8.3 The Supplier shall notify the Authority at least 10 Working Days in advance of test execution and the Authority shall ensure that the Test Witnesses attend the Tests, except where the Authority has specified in writing that such attendance is not necessary.
- 8.4 The Authority may raise and close Test Issues during the Test witnessing process.
- 8.5 The Supplier shall provide to the Authority in relation to each Test:
- (a) a draft Test Completion Report not less than 2 Working Days (or such other period as the Parties may agree in writing) prior to the date on which the Test is planned to end; and
  - (b) the final Test Completion Report within 5 Working Days (or such other period as the Parties may agree in writing) of completion of Testing.
- 8.6 Each Test Completion Report shall provide a full report on the Testing conducted in respect of the relevant Deliverables, including:
- (a) an overview of the Testing conducted;
  - (b) details of, or reference to, Test Inputs and Test Evidence for Authority

- review;
  - (c) identification of the relevant Test Success Criteria that have been satisfied;
  - (d) identification of the relevant Test Success Criteria that have not been satisfied together with the Supplier's explanation of why those criteria have not been met;
  - (e) traceability from the test results and associated test evidence to the test scripts for the functionality under test;
  - (f) the Tests that were not completed together with the Supplier's explanation of why those Tests were not completed;
  - (g) the Test Success Criteria that were satisfied, not satisfied or which were not tested, and any other relevant categories;
  - (h) test issues pertinent to the testing conducted, grouped by Severity Level in accordance with Paragraph 9.1; and
  - (i) The specification for hardware and software used throughout Testing, specifying variation from Production, e.g. Hardware spec reduction ( memory, CPU) additional and modified assets (3<sup>rd</sup> party software, additional hardware, contractor software release detail), and any changes that were applied to that hardware and/or software during the execution phase of Testing.
- 8.7 Test Witnessing and Test Completion Reports are not required for Urgent Operational Issues.

## **9 TEST ISSUES**

- 9.1 Where testing identifies a Test Issue, the Parties will use the daily Incident review board meetings to agree the validity and classification of the Test Issue using the criteria specified in Annex 1. The Test Issue Management Log maintained by the Supplier shall log Test Issues and will reflect the Severity Level allocated to each Test Issue.
- 9.2 The Supplier shall be responsible for maintaining the Test Issue Management Log and for ensuring that its contents accurately represent the current status of each Test Issue at all relevant times. The Supplier shall make the Test Issue Management Log available to the Authority upon request.
- 9.3 The Authority shall confirm the classification of any Test Issue unresolved at the end of a Test Phase in consultation with the Supplier. If the Parties are unable to agree the classification of any unresolved Test Issue, the Dispute shall be dealt with in accordance with the Dispute Resolution Procedure using the Expedited Dispute Timetable.

## **10 USER ACCEPTANCE TESTING**

The Supplier will assume responsibility for undertaking User Acceptance Testing

### 10.1 TEST WITNESSING

- 10.2 The Authority may, in its sole discretion, require the attendance at any Test of one or more Test Witnesses selected by the Authority, each of whom shall have appropriate skills to fulfil the role of a Test Witness.
- 10.3 The Supplier shall give the Test Witnesses access to any documentation and Testing environments reasonably necessary and requested by the Test Witnesses to perform their role as a Test Witness in respect of the relevant Tests
- 10.4 The Test Witnesses:
- (a) shall actively review the Test documentation;
  - (b) will attend and engage in the performance of the Tests on behalf of the Authority so as to enable the Authority to gain an informed view of whether a Test Issue may be closed or whether the relevant element of the Test should be re-Tested;
  - (c) shall not be involved in the execution of any Test unless otherwise expressly required by the Authority;
  - (d) shall be required to verify that the Supplier conducted the Tests in accordance with the Test Success Criteria and the relevant Test Plan and Test Specification;
  - (e) may produce and deliver their own, independent reports on Testing, which will be shared with the Supplier, and which may be used by the Authority to assess whether the Tests have been Achieved;
  - (f) may raise Test Issues on the Test Issue Management Log in respect of any Testing; and
  - (g) may require the Supplier to demonstrate the modifications made to any defective Deliverable before a Test Issue is closed.

## 11 TEST QUALITY AUDIT

- 11.1 Without prejudice to its rights pursuant to Clause 12.2(b) (Records, Reports, Audits & Open Book Data), the Authority may perform on-going quality audits in respect of any part of the Testing (each a “Testing Quality Audit”) subject to the provisions set out in the agreed Quality Plan.
- 11.2 The focus of the Testing Quality Audits shall be on:
- (a) adherence to an agreed methodology;

- (b) adherence to the agreed Testing process;
  - (c) adherence to the Quality Plan;
  - (d) review of status and key development issues; and
  - (e) identification of key risk areas.
- 11.3 The Supplier shall allow sufficient time in the Test Plan to ensure that adequate responses to a Testing Quality Audit can be provided.
- 11.4 The Authority will give the Supplier at least 5 Working Days' written notice of the Authority's intention to undertake a Testing Quality Audit and the Supplier may request, following receipt of that notice, that any Testing Quality Audit be delayed by a reasonable time period if in the Supplier's reasonable opinion, the carrying out of a Testing Quality Audit at the time specified by the Authority will materially and adversely impact the relevant Plan.
- 11.5 A Testing Quality Audit may involve document reviews, interviews with the Supplier Personnel involved in or monitoring the activities being undertaken pursuant to this Schedule, the Authority witnessing Tests and demonstrations of the Deliverables to the Authority. Any Testing Quality Audit shall be limited in duration to a maximum time to be agreed between the Supplier and the Authority on a case by case basis (such agreement not to be unreasonably withheld or delayed). The Supplier shall provide all reasonable necessary assistance and access to all relevant documentation required by the Authority to enable it to carry out the Testing Quality Audit.
- 11.6 If the Testing Quality Audit gives the Authority concern in respect of the Testing Procedures or any Test, the Authority shall:
- (a) discuss the outcome of the Testing Quality Audit with the Supplier, giving the Supplier the opportunity to provide feedback in relation to specific activities; and
  - (b) subsequently prepare a written report for the Supplier detailing its concerns,
- and the Supplier shall, within a reasonable timeframe, respond in writing to the Authority's report.
- 11.7 In the event of an inadequate response to the Authority's report from the Supplier, the Authority (acting reasonably) may withhold a Test Certificate (and consequently delay the grant of a Milestone Achievement Certificate) until the issues in the report have been addressed to the reasonable satisfaction of the Authority.

## **12 OUTCOME OF TESTING**

- 12.1 The Authority shall issue a Test Certificate as soon as reasonably practicable once the Deliverables satisfy the Test Success Criteria in respect of that Test with no more than an agreed number of Test Issues as defined by the Test Success Criteria

provided always that there shall be no Test Issue outstanding to satisfy the Test Success Criteria of a CPP Milestone.

- 12.2 Subject to paragraph 13.3, if the Deliverables (or any relevant part) for Component 1 - Transition or in respect of a Project do not satisfy the Test Success Criteria then the Authority shall notify the Supplier and:
- (a) the Authority may issue a Test Certificate conditional upon the remediation of the Test Issues;
  - (b) where the Parties agree that there is sufficient time prior to the relevant Milestone Date, the Authority may extend the Test Plan by such reasonable period or periods as the Parties may reasonably agree and require the Supplier to rectify the cause of the Test Issue and re- submit the Deliverables (or the relevant part) to Testing; or
  - (c) where the failure to satisfy the Test Success Criteria results, or is likely to result, in the failure (in whole or in part) by the Supplier to meet a Milestone, then without prejudice to the Authority's other rights and remedies, such failure shall constitute a Notifiable Default for the purposes of Clause 27.1 (Rectification Plan Process).
- 12.3 If the Deliverables (or any relevant part) for an Operational Project do not satisfy the Test Success Criteria then the Authority shall notify the Supplier and remedial action shall be agreed between the parties through the Release Management Board.
- 12.4 Subject to Clause 31 (Authority Cause), the Authority shall be entitled, without prejudice to any other rights and remedies that it has under this Agreement, to recover from the Supplier any reasonable additional costs it may incur as a direct result of further review or re-Testing which is required for the Test Success Criteria for that Deliverable to be satisfied.

### **13 ISSUE OF MILESTONE ACHIEVEMENT CERTIFICATE**

- 13.1 This Paragraph 14 only applies to Component 1 - Transition and Projects (excluding Operational Projects) for which a Milestone Achievement Certificate shall be issued.
- 13.2 The Authority shall issue a Milestone Achievement Certificate in substantially the same form as set out in Annex 3 in respect of a given Milestone as soon as is reasonably practicable following:
- (a) the issuing by the Authority of Test Certificates and/or conditional Test Certificates in respect of all Deliverables related to that Milestone which are due to be Tested; and
  - (b) performance by the Supplier to the reasonable satisfaction of the Authority of any other tasks identified in the relevant Plan as associated with that Milestone (which may include the submission of a Deliverable that is not due to be Tested, such as the production of Documentation).
- 13.3 the 'target' timeframe for provision of a Milestone Achievement Certificate is 5 days

- 13.4 The grant of a Milestone Achievement Certificate shall entitle the Supplier to the receipt of a payment in respect of that Milestone (if any) in accordance with the provisions of Schedule 7.1 (Charges and Invoicing).
- 13.5 If a Milestone is not Achieved, the Authority shall promptly issue a report to the Supplier setting out:
- (a) the applicable Test Issues ; and
  - (b) any other reasons for the relevant Milestone not being Achieved.
- 13.6 If there are Test Issues but these do not exceed the Test Issues Threshold, then provided there are no Material Test Issues, the Authority shall issue a Milestone Achievement Certificate.
- 13.7 If there is one or more Material Test Issue(s), the Authority may refuse to issue a Milestone Achievement Certificate and, without prejudice to the Authority's other rights and remedies, such failure shall constitute a Notifiable Default for the purposes of Clause 27.1 (Rectification Plan Process).
- 13.8 If there are Test Issues which exceed the Test Issues Threshold but there are no Material Test Issues, the Authority may at its discretion (without waiving any rights in relation to the other options) choose to issue a Milestone Achievement Certificate conditional on the remediation of the Test Issues in accordance with an agreed Rectification Plan provided that:
- (a) any Rectification Plan shall be agreed before the issue of a conditional Milestone Achievement Certificate unless the Authority agrees otherwise (in which case the Supplier shall submit a Rectification Plan for approval by the Authority within 10 Working Days of receipt of the Authority's report pursuant to Paragraph 13.5); and
  - (b) where the Authority issues a conditional Milestone Achievement Certificate, it may (but shall not be obliged to) revise the failed Milestone Date and any subsequent Milestone Date.

## ANNEX 1

### Test Issues - Severity Levels

1. **Severity Level 1:** an error that causes non-recoverable conditions, e.g. it is not possible to continue using a component, a component crashes, there is database or file corruption, or data loss;
2. **Severity Level 2:** an error for which, as reasonably determined by the Authority, there is no practicable workaround available, and which:
  - (a) causes a component to become unusable;
  - (b) causes a lack of functionality, or unexpected functionality, that has an impact on the current Test; or
  - (c) has an adverse impact on any other component(s) or any other area of the Services;
3. **Severity Level 3:** an error which:
  - (a) causes a component to become unusable;
  - (b) causes a lack of functionality, or unexpected functionality, but which does not impact on the current Test; or
  - (c) has an impact on any other component(s) or any other area of the Services;

but for which, as reasonably determined by the Authority, there is a practicable workaround available;
4. **Severity Level 4:** an error which causes incorrect functionality of a component or process, but for which there is a simple, component based, workaround, and which has no impact on the current Test, or other areas of the Services; and
5. **Severity Level 5:** an error that causes a minor problem, for which no workaround is required, and which has no impact on the current Test, or other areas of the Services

**ANNEX 2**

**Test Certificate**

To: [NAME OF SUPPLIER]

FROM: [NAME OF AUTHORITY]

[Date]

Dear Sirs,

**TEST CERTIFICATE**

Deliverables: [insert description of Deliverables]

We refer to the agreement (the “Agreement”) relating to the provision of the Services between the [name of Authority] (the “Authority”) and [name of Supplier] (the “Supplier”) dated [date].

Capitalised terms used in this certificate have the meanings given to them in Schedule 1 (Definitions) or Schedule 6.2 (Testing Procedures) of the Agreement.

[We confirm that the Deliverables listed above have been tested successfully in accordance with the Test Plan relevant to those Deliverables.]

OR

[This Test Certificate is issued pursuant to Paragraph 13.1 of Schedule 6.2 (Testing Procedures) of the Agreement on the condition that any Test Issues are remedied in accordance with the Rectification Plan attached to this certificate.]\*

\*delete as appropriate

Yours faithfully

[Name]

[Position]

acting on behalf of [name of Authority]

**ANNEX 3**

**Milestone Achievement Certificate**

To: [NAME OF SUPPLIER]

FROM: [NAME OF AUTHORITY]

[Date]

Dear Sirs,

**MILESTONE ACHIEVEMENT CERTIFICATE**

Milestone: [insert description of Milestone]

We refer to the agreement (the “Agreement”) relating to the provision of the Services between the [name of Authority] (the “Authority”) and [name of Supplier] (the “Supplier”) dated [date].

Capitalised terms used in this certificate have the meanings given to them in Schedule 1 (Definitions) or Schedule 6.2 (Testing Procedures) of the Agreement.

[We confirm that all the Deliverables relating to Milestone [number] have been tested successfully in accordance with the Test Plan relevant to this Milestone [or that a conditional Test Certificate has been issued in respect of those Deliverables that have not satisfied the relevant Test Success Criteria.]]\*

OR

[This Milestone Achievement Certificate is granted pursuant to Paragraph 14.1 of Schedule 6.2 (Testing Procedures) of the Agreement on the condition that any Test Issues are remedied in accordance with the Rectification Plan attached to this certificate.]\*

[You may now issue an invoice in respect of the Milestone Payment associated with this Milestone in accordance with the provisions of Schedule 7.1 (Charges and Invoicing)]\*

\*delete as appropriate

Yours faithfully

[Name]

[Position]

acting on behalf of [Authority]

**ANNEX 4**

**Test Success Criteria for Component 1 - Transition**

1. Tests to be achieved in order to achieve the ATP Milestone

The diagram below denotes the Transition Test Framework. It is provided here to provide some context to the table below (subsequent pages) as it highlights the linkage between ATPs and the various test phases that underpin the ATPs:-

*Information redacted under section 43 of the FOIA*

*Transition Test Framework*

*Information redacted under section 43 of the FOIA*

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2. Tests to be achieved in order to achieve a CPP Milestone

*Information redacted under section 43 of the FOIA*

## **ANNEX 5**

### **Component 1 - Governance Milestones**

A Milestone Completion Report will be produced for each Milestone. The report will supplement Test Completion Reports (where applicable) and will provide the actions taken to resolve and/or the action plan to address any outstanding Test or Milestone Acceptance Issues. The Milestone Completion Report will stipulate the conditions on which the Authority's ATP Milestone approval to proceed and/or conditional milestone attainment has been granted. This may include ATP Milestone or Milestone Payment deferral to subsequent Milestones; dates by which outstanding Test or Milestone Acceptance Issues will be resolved; plans to retest; and/or agreements on workarounds and enhancements.

*Information redacted under section 43 of the FOIA*

## ANNEX 6

### Test Milestones for Services Component 2 - Operate

The Development Lifecycle process will be followed for the development and introduction of changes to the Solution.

The Development Lifecycle process will be applicable to all Projects and releases with suitable options to accommodate the scale of the activity and release. Any adaptation of the process will be agreed at the start of the project/piece of work.

The scope and detailed acceptance criteria of each Gate will be pre-defined and a formal Gate review held and the outcome recorded. An outline of the acceptance criteria including the Test Success Criteria for each of the Component 2 - Operate Projects can be found in Paragraph 1.3 of Part B of Schedule 4.1 (Solution).

Solution Change introduced during Services Operation has 3 causes:

- Fault Fixes from Incident Management
- Solution Maintenance activities e.g. statutory/legislative and upgrades (software and hardware)
- Regular Projects. (Larger CCNs) These are changes that should follow a full Development Lifecycle process (with possible variations by agreement)

Fault fixes and upgrades are a key part of the support element of the Services. The Development Lifecycle process will manage those as Releases and the Authority responsibility is limited to the Validation Complete gateway (Release approval).

Component 2 Operate commences on the Operational Service Commencement Date and has an Initial Term of five years followed by the option for a two year Extension Period. In the Initial Term are three Operate Projects:

- Mid-Term Strategic Review
- 12.2 Upgrade; and
- Disengagement Services (Contract Exit)

In the Extension Period there is one further Project:

- Technology Refresh.

If the Extension Period option is exercised then the Disengagement Services Project moves to the Extension Period.

The following describes the Quality Gates and their alignment to the ATP and CPP Milestones.

*Information redacted under section 43 of the FOIA*

## ANNEX 7

Throughout this document the term Work Package is used as shorthand for Work Package or Project.

This document details the acceptance criteria associated with Work Package Milestones. A standardised Milestone and Deliverable model is being used, a standardised acceptance criteria model is also being used.

This document comprises two sections:

- a set of general acceptance criteria associated with each Milestone; and
- a set of specific adjustments to these general acceptance criteria for each Work Package.

Unless explicitly stated in the Work Package adjustment description the acceptance criteria applicable to any Work Package is a combination of the general acceptance criteria and the specific adjustment to the general acceptance criteria.

To pass a Milestone, the Work Package must meet both all the general and all the specific acceptance criteria.

Some Milestones have commercial status, others do not. ATP Milestones indicate Authority To Proceed. CPP indicated Contract Performance Point. Non ATP is not a commercial Milestone but one that needs to be achieved to enable the subsequent Milestones. The Commercial nature of each Milestone against each Work Package is shown in Section 2 onwards.

### 14 General Acceptance Criteria

*Information redacted under section 43 of the FOIA*

### 15 Work Package 1&2

*Information redacted under section 43 of the FOIA*

### 16 Work Package 3

*Information redacted under section 43 of the FOIA*

17 Work Package 4

*Information redacted under section 43 of the FOIA*

18 Work Package 5

*Information redacted under section 43 of the FOIA*

19 Work Package 6

The Expenses Service is made up of three specific services including the 'Expenses Development Service'- and the User set-up service.

The Milestones to allow the Parties to track progress and achievements for the Expenses Development Services are shown in the table below.

19.1 Work Package 6 - Development Service Milestones

*Information redacted under section 43 of the FOIA*

19.2 Work Package 6 - User Setup Service Milestones

*Information redacted under section 43 of the FOIA*

20 Work Package 7&8

*Information redacted under section 43 of the FOIA*

21 Work Package 9

*Information redacted under section 43 of the FOIA*

22 Work Package Rollout

*Information redacted under section 43 of the FOIA*