SCANNING, VALIDATION AND STORAGE SERVICES

SCHEDULE 6.2

TESTING AND ASSURANCE PROCEDURES

Version: Final 230420 V2

Testing and Assurance Procedures

1 DEFINITIONS

In this Schedule, the following definitions shall apply:

"Additional Assurance Documentation"	as described in paragraph 3.13 of this Schedule;
"Assurance Certificate"	means a certificate issued by the Authority if all applicable Assurance Criteria are met in accordance with this Schedule 6.2 (Testing and Assurance Procedures)
"Assurance Criteria"	means the criteria against which the Documentary Deliverables will be tested for the purpose of assessing whether they meet the Authority Requirements
"Assurance Failure"	means where a review of a Documentary Deliverable is recorded as unsuccessful because the relevant Assurance Criteria have not been met;
"Assurance Plan"	means a Documentary Deliverable provided by the Supplier and further updated by the Supplier in conjunction with the agreement of the Detailed Implementation Plan, containing a list of all the Documentary Deliverables to be provided and their related Milestones;
"Assurance Procedures for Documentary Deliverables"	means Assurance Procedures detailed in this Schedule;
"**Assurance Success"**	means assurance success as set out in paragraph 3.10 of this Schedule;

"Component"	means any constituent parts of the infrastructure for a Service, hardware or Software;
"Deliverable"	means an item or feature delivered or to be delivered by the Supplier at or before a Milestone Date or at any other stage during the performance of this Agreement;
"Deliverable Description"	means a document describing a Deliverable, the format and composition of which shall be in accordance with the project and programme management methods specified in Schedule 2.3 (Standards);
"Documentary Deliverables"	means Deliverables that take the form of Documentation;
"Material Test Issue"	means a Test Issue of Severity Level 1 or Severity Level 2;
"Milestone Achievement Certificate"	means the certificate to be granted by the Authority when the Supplier has Achieved a Milestone, which shall be in substantially the same form as that set out in Annex 3 of Schedule 6.2 (Testing Procedures);
"Planned Successful Assurance Date"	means the date specified in an agreed Test Plan for a proposed date by which Assurance Success will have been achieved pursuant to this Schedule 6.2 (Testing and Assurance Procedures);
"Review Plan"	means a plan for undertaking the review and approval of a Documentary Deliverable, as described in this Schedule 6.2 (Testing and Assurance Procedures);

"Severity Level"	means the level of severity of a Test Issue, the criteria for which are described in Annex 1;
"Test Assurance Strategy"	Provides assurance to verify the test approach of a testing organisation and adherence to any specialist requirements, including testing standards, testing processes and outputs including testing products or reports.
"Test Certificate"	means a certificate materially in the form of the document contained in Annex 3 issued by the Authority when a Deliverable has satisfied its relevant Test Success Criteria;
"Test Issue"	means any variance or non-conformity of a Deliverable from its requirements (such requirements being set out in the relevant Test Success Criteria);
"Test Issue Threshold"	in relation to the Tests applicable to a Milestone, means a maximum number of Severity Level 3, Severity Level 4 and Severity Level 5 Test Issues as set out in the relevant Test Plan;
"Test Issue Management Log"	means a log for the recording of Test Issues as described further in Paragraph 10.1;
"Test Plan"	means a plan: (a) for the Testing of Deliverables; and (b) setting out other agreed criteria related to the achievement of Milestones, as described further in Paragraph 6;

"Test Reports"	means the reports to be produced by the Supplier setting out the results of Tests;
"Test Specification"	means the specification that sets out how Tests will demonstrate that the Test Success Criteria have been satisfied, as described in more detail in Paragraph 8;
"Test Strategy"	means a strategy for the conduct of Testing as described further in Paragraph 5;
"Test Success Criteria"	means in relation to a Test, the test success criteria for that Test as referred to in Paragraph 7*;*
"Test Witness"	means any person appointed by the Authority pursuant to Paragraph 11; and
"Testing Procedures"	means the applicable testing procedures and Test Success Criteria set out in this Schedule.

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

(i) 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) Not Used.

3. TESTING AND ASSURANCE PROCEDURES FOR DOCUMENTARY DELIVERABLES

3.1. Paragraph 3 of this Schedule specifies the Assurance Procedures for Documentary Deliverables.

3.2 The Supplier shall ensure that all Documentary Deliverables are identified in the Review Plan including the timing of their delivery and review.

3.3 The Assurance Procedures for Documentary Deliverables are designed to enable the Authority to review draft Documentary Deliverables produced by the Supplier against agreed Assurance Criteria, and for the Authority to satisfy itself of the contents of such drafts subject to any required changes being made.

3.4 Where a third party, would reasonably be considered to be in a position to provide or receive useful and/or necessary input in a Documentary Deliverable, the Supplier shall consult such third party regarding its drafting.

3.5 The Assurance Procedures for Documentary Deliverables shall commence with agreement of the Deliverable Description for the Documentary Deliverable between the Authority and the Supplier which sets out the Assurance Criteria that the Documentary Deliverable must meet in order to achieve assurance.

3.6 Agreement of Deliverable Description for Documentary Deliverables:

3.6.1 Where a Documentary Deliverable must be put forward for assurance by the Authority, the Supplier shall develop a draft Deliverable Description in the format specified at Annex 2 to this Schedule 6.2 and shall make the draft Deliverable Description available to the Authority for review.

3.6.2 The Authority shall review the draft Deliverable Description in order to determine whether it is in the format specified at Annex 2 to this Schedule 6.2 and whether the Assurance Criteria contained within the Deliverable Description reflect the objective of the Documentary Deliverable.

3.6.3 The Authority shall undertake this review of the draft Deliverable Description and shall notify the Supplier of the outcome of the review within 10 Working Days of the Customer receiving the draft Deliverable Description, or within such other period as may be agreed between the Parties.

3.6.4 Where the draft Deliverable Description meets the relevant Assurance Criteria, the Authority shall notify its agreement of the Deliverable Description in writing to the Supplier within 10 Working Days of receiving the same.

3.6.5 Where the draft Deliverable Description does not meet the relevant Assurance Criteria, the Authority shall notify the Supplier, specifying the reasons why the draft has not been agreed. In this event, the Supplier shall liaise with the Authority to understand the Authority's concerns. Following this, the Supplier shall complete the necessary changes and shall issue a revised draft Deliverable Description, with all the changes clearly highlighted, to the Authority for review and the above steps repeated. The timescales for revisions to draft Deliverable Descriptions are to be agreed between the Authority Supplier in the Review Plan, as detailed in paragraph 3.9.2.

3.7 Key Roles in Reviewing Documentary Deliverables:

3.7.1 For each Documentary Deliverable review, the Authority and the Supplier shall each appoint a suitably qualified and authorised representative to manage the assurance of each draft Documentary Deliverable.

3.7.2 Where appropriate, the Authority may decide to involve third parties in the review and such third parties will be made aware of their obligations of confidentiality by the Authority and shall be subject to such reasonable confidentiality undertakings as the Supplier may reasonably require. In this event, the Authority may share draft Documentary Deliverables with such third parties, and may invite them to participate in review meetings, but will ensure that any written comments are channelled through the Authority's appointed lead role. In respect of this paragraph 3.8 an Authority Cause shall include a cause attributable to such third parties.

3.8 Agreement of Review Plan for Documentary Deliverables:

3.8.1 the Parties shall agree (as soon as is reasonably practicable) a Review Plan, which shall be consistent with:

(a) the overall timescale for development and approval of the Documentary Deliverable, as set out in the relevant Assurance Plan; and

(b) the agreed Authority Responsibilities.

3.8.2 The Review Plan shall record the following dates:

(a) the date of delivery of the first draft of the Documentary Deliverable;

(b) the date by which the Authority will notify the Supplier of the outcome of its review of the first draft of the Documentary Deliverable and provide any review comments;

(c) the date by which the Parties will meet to review the Authority's comments;

(d) the date by which the Supplier shall submit a revised draft Documentary Deliverable;

(e) the date by which the Authority shall check the revised draft; and

(f) the planned date for the issue of the Assurance Certificate.

3.9 Review Procedure for Documentary Deliverables:

3.9.1 the Parties shall conduct the review in accordance with the Review Plan and the timescales specified therein.

3.9.2 the Supplier shall produce and issue by the date of delivery of the first draft of the Documentary Deliverable a complete draft Documentary Deliverable for review by the Authority, in accordance with the Review Plan.

3.9.3 the Supplier shall not submit the draft Documentary Deliverable for review by the Authority without first verifying that it:

(a) is in accordance with the format, scope and Assurance Criteria specified in the applicable Deliverable Description;

(b) is clearly written, in language that those parties who will need to refer to the document should be able to understand;

(c) does not refer to any document not provided to, or in the possession of, the Authority unless the Parties have previously agreed that such document is not required to be provided;

(d) effectively draws upon the necessary expertise and Industry Best Practice available to the Supplier;

(e) is complete, with an appropriate level of detail and any relevant cross-references; and

(f) has no obvious errors of spelling, grammar, numbering or order, duplications or omissions.

3.9.4 The Authority shall review the draft Documentary Deliverable to objectively determine whether it meets the applicable Assurance Criteria or not and shall notify the Supplier of the outcome of this review.

3.9.5 Where the Authority reasonably determines that the draft meets all the applicable Assurance Criteria, the review shall be concluded at this point, and the Authority shall notify the Supplier of Assurance Success.

3.9.6 Where the Authority rejects a draft Documentary Deliverable, because it does not meet all the applicable Assurance Criteria, the Authority shall specify its reasons for rejection in the form of collated review comments to the Supplier, and the following procedures shall apply:

(a) the Parties shall meet to discuss the Authority's review comments and will seek to agree and document the necessary changes to the draft Documentary Deliverable that are required to achieve Assurance Success;

(b) the Supplier shall produce a revised draft Documentary Deliverable, incorporating all the agreed changes, with the changes clearly highlighted, for review by the Authority;

(c) the Authority shall review the revised draft Documentary Deliverable in order to objectively determine whether the agreed changes have been made and whether the revised draft now meets the applicable Assurance Criteria, and shall notify the Supplier of the outcome of this review; and

(d) where, the Authority rejects the revised draft Documentary Deliverable, the Authority shall notify the Supplier of the reasons for its rejection of the draft. In this event the Supplier shall liaise with the Authority to understand the Authority's concerns and shall complete the necessary changes and shall issue a further revised draft Documentary Deliverable for review. This process shall be repeated until all applicable Assurance Criteria have been met.

3.9.7 The Parties shall inform each other of any inability to meet a date in the Review Plan as soon as it becomes apparent to them. Any consequential impact on the Supplier meeting any Key Milestone date shall be managed through the Change Control Procedure.

3.10 Assurance Success

If the Authority determines that the Documentary Deliverable meets each of the applicable Assurance Criteria, the Authority shall notify the Supplier of Assurance Success.

3.11 Assurance Failure

If all applicable Assurance Criteria are not met by the Planned Successful Assurance Date, the Authority shall notify the Supplier of the failure to reach Assurance Success and, without prejudice to the Authority's other rights and remedies, the Supplier shall comply with its obligations set out in Clause 27 (Rectification Plan Process).

3.12 Referenced Documents

Once Assurance Success has been achieved, the title and version reference number of the Documentary Deliverable shall be recorded.

3.13 Additional Assurance Documentation

The Authority reserves the right to request, and the Supplier shall promptly supply, any existing Supplier documentation relevant to the delivery a Documentary Deliverable. The receipt of such documentation does not constitute acceptance by the Authority of the contents.

4 TESTING OVERVIEW

4.1 All Tests conducted by the Supplier shall be conducted in accordance with the Test Strategy, the Test Plans, the Test Specifications and with the Home Office Quality Assurance and Test Assurance Strategy.

4.2 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, dependant Deliverable(s); and

(c) until the Parties have agreed the Test Plan and the Test Specification relating to the relevant Deliverable(s).

4.3 The Supplier shall use reasonable endeavours to submit each Deliverable for Testing or re-Testing by or before the date set out in the Implementation Plan for the commencement of Testing in respect of the relevant Deliverable.

4.4 Prior to the issue of a Test Certificate, the Authority shall be entitled to review the relevant Test Reports and the Test Issue Management Log.

4.5 Any Disputes between the Authority and the Supplier regarding Testing shall be referred to the Dispute Resolution Procedure using the Expedited Dispute Timetable.

5 TEST STRATEGY

5.1 The Supplier shall develop the final Test Strategy 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.

5.2 The final Test Strategy shall include:

(a) an overview of how Testing will be conducted in accordance with the Implementation Plan and Test Assurance Strategy;

(b) the process to be used to capture and record Test results and the categorisation of Test Issues;

(c) the method for mapping the expected Test results to the Test Success Criteria;

(d) 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;

(e) the procedure to be followed to sign off each Test;

(f) the process for the production and maintenance of Test Reports and reporting, including templates for the Test Reports and the Test Issue Management Log, and a sample plan for the resolution of Test Issues;

(g) the names and contact details of the Authority's and the Supplier's Test representatives;

(h) 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;

(i) the technical environments required to support the Tests; and the procedure for managing the configuration of the Test environments.

5.3 Further detail on the Test Strategy is described at Annex 6 of this Schedule.

6. TEST PLANS

6.1 The Supplier shall develop Test Plans and submit these for the 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 Implementation Plan).

6.2 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, the requirements being tested and, for each Test, 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 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

(c) the process for escalating Test Issues from a re-test situation to the taking of specific remedial action to resolve the Test Issue.

6.3 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.

7. TEST SUCCESS CRITERIA

7.1 The Test Success Criteria for:

(a) each Test that must be Achieved for the Supplier to Achieve either the ATP Milestone or a CPP Milestone are set out in Annex 5; and

(b) all other Tests shall be agreed between the Parties as part of the relevant Test Plan pursuant to Paragraph 6.

8. TEST SPECIFICATION

8.1 Following approval of a Test Plan, the Supplier shall develop the 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 Implementation Plan).

8.2 Each Test Specification shall include as a minimum:

(a) the specification of the Test data, 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;

(b) a plan to make the resources available for Testing;

(c) Test scripts;

(d) Test pre-requisites and the mechanism for measuring them; and

(e) expected Test results, including:

(i) a mechanism to be used to capture and record Test results; and

(ii) a method to process the Test results to establish their content.

9. TESTING

9.1 Before submitting any Deliverables for Testing the Supplier shall subject the relevant Deliverables to its own internal quality control measures.

9.2 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 12.

9.3 The Supplier shall notify the Authority at least 10 Working Days (or such other period as the Parties may agree in writing) in advance of the date, time and location of the relevant Tests 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.

9.4 The Authority may raise and close Test Issues during the Test witnessing process.

9.5 The Supplier shall provide to the Authority in relation to each Test:

(a) a draft Test 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 Report within 5 Working Days (or such other period as the Parties may agree in writing) of completion of Testing.

9.6 Each Test 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) identification of the relevant Test Success Criteria that have been satisfied;

(c) 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;

(d) the Tests that were not completed together with the Supplier's explanation of why those Tests were not completed;

(e) the Test Success Criteria that were satisfied, not satisfied or which were not tested, and any other relevant categories, in each case grouped by Severity Level in accordance with Paragraph 10; and

(f) the specification for any hardware and software used throughout Testing and any changes that were applied to that hardware and/or software during Testing.

10. TEST ISSUES

10.1 Where a Test Report identifies a Test Issue, the Parties shall agree the classification of the Test Issue using the criteria specified in Annex 1 and the Test Issue Management Log maintained by the Supplier shall log Test Issues reflecting the Severity Level allocated to each Test Issue.

10.2 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.

10.3 The Authority shall confirm the classification of any Test Issue unresolved at the end of a Test 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.

11. TEST WITNESSING

11.1 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.

11.2 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.

11.3 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;

(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 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.

12. TEST QUALITY AUDIT

12.1 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.

12.2 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.

12.3 The Supplier shall allow sufficient time in the Test Plan to ensure that adequate responses to a Testing Quality Audit can be provided.

12.4 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 Implementation Plan.

12.5 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.

12.6 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.

12.7 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.

13. OUTCOME OF TESTING

13.1 The Authority shall issue a Test Certificate as soon as reasonably practicable when the Deliverables satisfy the Test Success Criteria in respect of that Test without any Test Issues.

13.2 If the Deliverables (or any relevant part) 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).*

13.3 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.

14. ISSUE OF MILESTONE ACHIEVEMENT CERTIFICATE

14.1 The Authority shall issue a Milestone Achievement Certificate 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 Implementation 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).

14.2 The grant of a Milestone Achievement Certificate shall entitle the Supplier to the receipt of a payment in respect of that Milestone in accordance with the provisions of Schedule 7.1 (*Charges and Invoicing*).

14.3 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.

14.4 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.

14.5 Without prejudice to the Authority's other remedies the following shall constitute a Notifiable Default for the purposes of Clause 27.1 (*Rectification Plan Process*) and the Authority shall refuse to issue a Milestone Achievement Certificate where:

(a) there is one or more Material Test Issue(s); or

(b) the information required under Schedule 8.4 (Reports and Records Provisions) Annex 3 (Virtual Library) has not been uploaded to the Virtual Library in accordance with Paragraph 3 of that Schedule.

14.6 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 14.3); 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 Test Issue:** a Test Issue 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 Test Issue:** a Test Issue for which, as reasonably determined by the Authority, there is no practicable workaround available, and which:

   2.1 causes a Component to become unusable;

   2.2 causes a lack of functionality, or unexpected functionality, that has an impact on the current Test; or

   2.3 has an adverse impact on any other Component(s) or any other area of the Services;

3. **Severity Level 3 Test Issue:** a Test Issue which:

   3.1 causes a Component to become unusable;

   3.2 causes a lack of functionality, or unexpected functionality, but which does not impact on the current Test; or

   3.3 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 Test Issue:** a Test Issue 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 Test Issue:** a Test Issue 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: FORMAT FOR DELIVERABLE DESCRIPTION OF DOCUMENTARY DELIVERABLES

DOCUMENTARY DELIVERABLE REFERENCE	
Deliverable Title	
Deliverable Description Version	
Deliverable Description Date	
Project or Programme	
Deliverable Purpose	
Deliverable Scope	
Deliverable Form/Composition	
Derivation of Deliverable	
Assurance Criteria for Deliverable	
Approval of Deliverable	
First Draft Delivery Date for Deliverable	
Planned Successful Assurance Date for Deliverable	

ANNEX 3: 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 and Assurance 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 and Assurance 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 4: MILESTONE ACHIEVEMENT CERTIFICATE

The certificate to be granted by the Authority when the Supplier has achieved a Milestone, shall be in substantially the same form as the embedded document 'HMPO Milestone Achievement Certificate v1.0'.

HMPO Milestone Achievement Certifica

Her Majesty's Passport Office –	
Document Title:	Milestone Achievement Certificate (MAC)
Milestone name:	
Milestone ID:	
Milestone type: (tick one)	✓ **Payment Milestone** ☐ **CPP** ☐ **Service Charge Milestone (Start/Stop)** ☐ **Non Financial**

PART 1 ***N.B.: Please print and sign two copies of this MAC.***

Title of Milestone	Milestone Date
Executive Summary Commentary	
Overview of Milestone **Value of all milestones** **Under spend due to the use of leveraged resources.**	
Comments / Qualifications	

Approvals			
Role	**Name**	**Signature**	**Date**
1)Approve assurance plan	[Name] (Portfolio Director)		
2)Approve assurance record	[Name] (Project Manager)		
3) Approve finance inputs	[Name] (Finance Representative)		
4) Approve commercial alignment	[Name] (Commercial Representative)		
5) SRO approval	[Name] (Senior Responsible Officer)		

Her Majesty's Passport Office -	
Document Title:	Milestone Achievement Certificate (MAC)
Contractual milestone name:	

Assurance Record				
SRO:			**Contractual MAC Assurance Date:**	
Portfolio Director:			**Milestone payment: (target price less CPP retention)**	
BDA Approver:			**Latest Product Approved Date:**	

PART 2

Progress ** Type Name of Approver/s*				**Checklist**
Prior to commencement of assurance activities	**Sign-off step**	**Target Date**	**Actual Date**	**Name of Approver***
	MAC assurance plan created by Programme			
	MAC assurance plan Approved by Portfolio Director			
MAC Issuance (10 working days)	Programme Approval			
	Finance Approval			
	Commercial Approval			
	SRO Approval			
	Issue to Supplier			

RFC No.	**RFC / CAN Title**	**CAN Approval Date**	**Deliverable Impacted**	**Delivery Description Submitted**	**Delivery Description Approved**	**Deliverable Submitted**	**Deliverable Approved**
RFC							

ANNEX 5: TEST SUCCESS CRITERIA

1. Tests to be Achieved in order to Achieve the ATP Milestone

Test	Pre-conditions*	Test Success Criteria
[*List all Tests relating to ATP Milestone*]		

* Note: The Pre-Conditions are that e.g. the Success Criteria for the previous Tests must be satisfied before the ATP Milestone tests are commenced

2. Tests to be Achieved in order to Achieve a CPP Milestone

CPP Milestone Charge No.	Test	Test Success Criteria
	[List all Tests relating to CPP Milestone Charge No.]	

ANNEX 6: SCANNING, VALIDATION AND STORAGE ITT APPENDIX 15 TEST STRATEGY

[redacted]

Annex 6 has been removed as it is an HMPO internal document and contains personal information.