

SCHEDULE 14

TESTING PROCEDURES

Schedule 14 (*Testing Procedures*)

1 DEFINITIONS

In this Schedule, the following definitions shall apply:

“Component”	any constituent parts of the infrastructure for a Service, hardware or Software;
“Material Test Issue”	a Test Issue of Severity Level 1 or Severity Level 2;
“Severity Level”	the level of severity of a Test Issue, the criteria for which are described in Annex 1;
“Test Certificate”	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 or when the Supplier has satisfactorily completed the Definition of Done for a Sprint;
“Test Issue”	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, a maximum number of Severity Level 3, Severity Level 4 and Severity Level 5 Test Issues as set out in the Test Strategy or the relevant Sprint Backlog;
“Test Issue Management Log”	a log for the recording of Test Issues as described further in Paragraph 7.1;
“Test Reports”	the reports to be produced by the Supplier setting out the results of Tests;
“Test Strategy”	a strategy for the conduct of Testing as described further in Paragraph 4;
“Test Success Criteria”	in relation to a Test, the test success criteria for that Test as referred to in Paragraph 5;
“Test Witness”	any person appointed by the Authority pursuant to Paragraph 8.1; and
“Testing Procedures”	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:
- 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
 - affect the Authority's right subsequently to reject:

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- (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 Contract; 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.
- 3.2 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 relevant elements of the Test Strategy that shall be applicable and/or a Sprint Backlog relating to the relevant Deliverable(s).
- 3.3 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.
- 3.4 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.
- 3.5 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 final Test Strategy as soon as practicable after the Effective Date but in any case no later than 40 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 in accordance with the Implementation Plan;
 - (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;

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- (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;
- (j) the procedure for managing the configuration of the Test environments; and
- (k) a spreadsheet or table which correlates requirements and Testing activities to allow tracing back and forth the links of one entity to the other, thus enabling the determination of coverage achieved by the Test Strategy (the "**Traceability Matrix**").

5 TEST SUCCESS CRITERIA

5.1 The Test Success Criteria for:

- (a) each Test that must be Achieved for the Supplier to Achieve a Milestone are set out in Annex 4; and
- (b) all other Tests shall be agreed between the Parties as part of the relevant Sprint Backlog.

5.2 Any Test listed within Annex 4 which relates to the provision of Documentation (each a "**Document Deliverable**") shall be delivered to the Authority by the date in the Implementation Plan. Following receipt of the relevant Document Deliverable from the Supplier, the Authority shall:

- (a) review and comment on the relevant Document Deliverable as soon as reasonably practicable, and in any event no later than ten (10) Working Days after the date on which the relevant Document Deliverable is first delivered to the Authority; or
- (b) notify the Supplier in writing that it approves or rejects the relevant Document Deliverable no later than ten (10) Working Days after the date on which the relevant Document Deliverable is first delivered to the Authority.

5.3 The Supplier shall provide a response to any comments on the relevant Document Deliverable provided by the Authority pursuant to Paragraph 5.2(a) no later than five (5) Working Days after the date on which the comments were first delivered to the Supplier.

5.4 If the Authority rejects the relevant Document Deliverable:

- (a) the Authority shall inform the Supplier in writing of its reasons for its rejection; and
- (b) the Supplier shall then revise the relevant Document Deliverable (taking reasonable account of the Authority's comments) and shall re-submit a revised version of the relevant Document Deliverable to the Authority for the Authority's approval within ten (10) Working Days of the date of the Authority's notice of rejection. The provisions of Paragraph 5.2 and this

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Paragraph 5.4 shall apply again to any resubmitted relevant Document Deliverable, provided that either Party may refer any disputed matters for resolution by the Dispute Resolution Procedure at any time.

- 5.5 Any Document Deliverable issued by the Supplier to the Authority that has not been responded to within ten (10) Working Days in accordance with Paragraph 5.2 shall be deemed as reviewed and approved by the Parties for the purposes of Annex 4.

6 TESTING

- 6.1 Before submitting any Deliverables for Testing the Supplier shall subject the relevant Deliverables to its own internal quality control measures.
- 6.2 The Supplier shall manage the progress of Testing in accordance with the Test Strategy and shall carry out the Tests in accordance with the Test Strategy and/or the relevant Sprint Backlog. Tests may be witnessed by the Test Witnesses in accordance with Paragraph 8.
- 6.3 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.
- 6.4 The Authority may raise and close Test Issues during the Test witnessing process.
- 6.5 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 7.1; 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.
- 6.6 The Supplier shall make each Test Report available to the Authority upon request.

7 TEST ISSUES

- 7.1 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.
- 7.2 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.

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- 7.3 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.

8 TEST WITNESSING

- 8.1 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.
- 8.2 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.
- 8.3 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 Test Strategy and/or the relevant Sprint Backlog;
 - (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.

9 TEST QUALITY AUDIT

- 9.1 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.
- 9.2 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.
- 9.3 The Supplier shall allow sufficient time in the Implementation Plan to ensure that adequate responses to a Testing Quality Audit can be provided.
- 9.4 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

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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.

- 9.5 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.
- 9.6 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.

- 9.7 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.

10 OUTCOME OF TESTING

- 10.1 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.
- 10.2 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 period for Testing 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 25.1 (*Rectification Plan Process*).
- 10.3 The Authority shall be entitled, without prejudice to any other rights and remedies that it has under this Contract, 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.

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11 ISSUE OF MILESTONE ACHIEVEMENT CERTIFICATE

- 11.1 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).
- 11.2 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 15 (Charges and Invoicing).
- 11.3 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.
- 11.4 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.
- 11.5 Without prejudice to the Authority's other remedies the following shall constitute a Notifiable Default for the purposes of Clause 25.1 (*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 24 (*Reports and Records Provisions*) Annex 3 (*Records To Upload To Virtual Library*) has not been uploaded to the Virtual Library in accordance with Paragraph 3 of that Schedule.
- 11.6 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 11.3); 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.

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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

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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 “**Contract**”) 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 14 (Testing Procedures) of the Contract.

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

OR

[We confirm that the Definition of Done has been met successfully for each Deliverable in the Sprint, in accordance with the Sprint Backlog relevant to the Sprint.]

OR

[This Test Certificate is issued pursuant to Paragraph 10.1 of Schedule 14 (Testing Procedures) of the Contract 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]**

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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 “**Contract**”) 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 14 (Testing Procedures) of the Contract.

[We confirm that all the Deliverables relating to Milestone **[number] have been tested successfully in accordance with the Test Strategy 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

[We confirm that the Definition of Done has been met successfully for each Deliverable in each preceding Sprint, in accordance with all the preceding Sprint Backlogs relating to Milestone INT8]*

OR

[This Milestone Achievement Certificate is granted pursuant to Paragraph 11.1 of Schedule 14 (Testing Procedures) of the Contract 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 15 (Charges and Invoicing).]*

**delete as appropriate*

Yours faithfully

[Name]

[Position]

acting on behalf of **[Authority]**

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ANNEX 4: TEST SUCCESS CRITERIA

1. Tests to be Achieved in order to Achieve the Mobilisation and Discovery Complete (INT1) Interim Milestone

Ref	Test	Pre-conditions	Test Success Criteria
INT1.1	INT1 Deliverables	The Deliverables identified in the Implementation Plan to be achieved by the INT1 Milestone have been submitted to the Authority.	The Supplier has demonstrated that each of the Deliverables identified in the Implementation Plan to be achieved by the INT1 Milestone have been Approved by the Authority.
INT1.2	Detailed Implementation Plan	The Detailed Implementation Plan is submitted to the Authority, as required by Schedule 13 (<i>Implementation Plan</i>) Paragraph 3.	The Detailed Implementation Plan is reviewed and approved by the Authority.
INT1.3	Quality Plan	The Quality Plan is submitted to the Authority, as required by Clause 6.	The Quality Plan is reviewed and approved by the Authority.
INT1.4	Key Personnel	Confirmation that all Key Personnel listed in Schedule 29 (<i>Key Personnel</i>) have been mobilised.	Receipt of confirmation by the Authority.
INT1.5	Insurance	Evidence of insurances has been submitted to the Authority, as required by Schedule 6 (<i>Insurance Requirements</i>) Paragraph 4.	Receipt of evidence by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
INT1.6	Template invoice	A template invoice containing the details set out in Part E Paragraph 1.2(b) of Schedule 15 (<i>Charges and Invoicing</i>) has been submitted to the Authority.	The template invoice is reviewed and approved by the Authority.
INT1.7	Key Sub-Contractors	Confirmation of the appointment of the Notified Key Sub-contractors listed in Schedule 10 (<i>Notified Key Sub-contractors</i>).	Receipt of confirmation by the Authority.
INT1.8	Test Strategy	The Test Strategy is submitted to the Authority, as required by Schedule 14 (<i>Testing Procedures</i>) Paragraph 4.	The Test Strategy is reviewed and approved by the Authority.
INT1.9	Programme Delivery Manager appointed	Confirmation of the appointment of the Programme Delivery Manager, as required by Schedule 21 (<i>Governance</i>) Paragraph 2.2.	Receipt of confirmation by the Authority.
INT1.10	Financial Representative appointed	Confirmation of the appointment of the Financial Representative, as required by Schedule 19	Receipt of confirmation by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
		<i>(Financial Reports and Audit Rights).</i>	
INT1.11	Virtual Library	The URL for the Virtual Library and the training manuals for the Virtual Library is submitted to the Authority, as required by Schedule 24 (<i>Reports and Records Provisions</i>) Paragraph 4.	The URL for the Virtual Library and the training manuals for the Virtual Library is reviewed and approved by the Authority.
INT1.12	Input provided into the Outgoing Suppliers Exit Plan	Confirmation of the detailed sequence of activities to be documented in the Outgoing Suppliers Exit Plan, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.2.	Receipt of confirmation by the Authority.
INT1.13	Joint Statement of Intent	The Joint Statement of Intent is submitted to the Authority, as required by Schedule 21 (<i>Governance</i>) Paragraph 2.6.	The Joint Statement of Intent is reviewed and approved by the Authority.
INT1.14	Data Protection Impact Assessment	A completed Data Protection Impact Assessment is submitted to the Authority, as required by Schedule 31 (<i>Processing</i>	The Data Protection Impact Assessment is reviewed and approved by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
		<i>Personal Data</i>) Paragraph 1.5.	
INT1.15	Product Backlog	Readiness to populate the Product Backlog, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.7.2.	Structured walk-through with the Authority to demonstrate that the Product Backlog has been provisioned in accordance with Schedule 2 (<i>Services Description</i>). Walk-through shows no Severity Level 1 and Severity Level 2 Test Issues and no more than the agreed number of Severity Level 3, 4 and 5 Test Issues.
INT1.16	Business Change Lead appointed	Confirmation of the appointment of the Business Change Lead, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.9.2.	Receipt of confirmation by the Authority.
INT1.17	User Research Discovery Report	The User Research Discovery Report is submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.4.1.	The User Research Discovery Report is reviewed and approved by the Authority.

2. Tests to be Achieved in order to Achieve the Unregistered Users Solution Discovery Complete (INT2) Interim Milestone

Ref	Test	Pre-conditions	Test Success Criteria
INT2.1	INT1 Milestone	INT1 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT1 Milestone.

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Ref	Test	Pre-conditions	Test Success Criteria
INT2.2	INT2 Deliverables	The Deliverables identified in the Implementation Plan to be achieved by the INT2 Milestone have been submitted to the Authority.	The Supplier has demonstrated that each of the Deliverables identified in the Implementation Plan to be achieved by the INT2 Milestone have been Approved by the Authority.
INT2.3	Unregistered Users Solution Design	The Unregistered Users Solution Design is submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.3.1.	The Unregistered Users Solution Design is reviewed and approved by the Authority.

3. Tests to be Achieved in order to Achieve the Implementation Environments Deployed (INT3) Interim Milestone

Ref	Test	Pre-conditions	Test Success Criteria
INT3.1	INT1 Milestone	INT1 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT1 Milestone.
INT3.2	INT3 Deliverables	The Deliverables identified in the Implementation Plan to be achieved by the INT3 Milestone have been submitted to the Authority.	The Supplier has demonstrated that each of the Deliverables identified in the Implementation Plan to be achieved by the INT3 Milestone have been Approved by the Authority.
INT3.3	Provision of Environments	Readiness to provide the Environments for the Implementation Phase.	Structured walk-through with the Authority to demonstrate that the necessary Environments have been provisioned in accordance with Schedule 2 (<i>Services Description</i>). Walk-through shows no Severity Level 1 and Severity Level 2 Test Issues and no more than the agreed number of Severity Level 3, 4 and 5 Test Issues.

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Ref	Test	Pre-conditions	Test Success Criteria
INT3.4	Security Management Plan	The Security Management Plan is submitted to the Authority, as required by Schedule 5 (<i>Security Management</i>).	The Security Management Plan is reviewed and approved by the Authority.
INT3.5	Information Security Approval Statement	The Information Security Approval Statement is submitted to the Supplier, as required by Schedule 5 (<i>Security Management</i>) Paragraph 3.	Receipt of confirmation by the Supplier.
INT3.6	ISO/IEC 27001:2013 certification and Cyber Essentials Plus certification	Certification is submitted to the Authority, as required by Schedule 5 (<i>Security Management</i>) Paragraph 5.	Receipt of confirmation by the Authority.
INT3.7	Security reports	The frequency and nature of the security reports to be prepared and submitted by the Supplier to the Authority have been provided to the Authority, as required by Schedule 5 (<i>Security Management</i>) Paragraph 7.1(g).	The frequency and nature of the security reports to be prepared and submitted by the Supplier to the Authority is agreed to by the Authority.

4. Tests to be Achieved in order to Achieve the High-Level Design Documentation (INT4) Interim Milestone

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Ref	Test	Pre-conditions	Test Success Criteria
INT4.1	INT1 Milestone	INT1 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT1 Milestone.
INT4.2	INT4 Deliverables	The Deliverables identified in the Implementation Plan to be achieved by the INT4 Milestone have been submitted to the Authority.	The Supplier has demonstrated that each of the Deliverables identified in the Implementation Plan to be achieved by the INT4 Milestone have been Approved by the Authority.
INT4.3	Detailed Design	The Detailed Design has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.6.2.	Structured walk-through with the Authority to demonstrates how the Detailed Design Achieves the requirements listed in: (a) Schedule 2 (<i>Services Description</i>); (b) Schedule 4 (<i>Standards</i>); (c) Schedule 5 (<i>Security Management</i>); and (d) Schedule 26 (<i>Service Continuity Plan</i>). The Detailed Design is reviewed and approved by the Authority.
INT4.4	Data Architecture Design	The Data Architecture Design has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.6.3.	The Data Architecture Design is reviewed and approved by the Authority.
INT4.5	Integration Specification	The Integration Specification has been submitted to the Authority, as required by Schedule 2	The Integration Specification is reviewed and approved by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
		(<i>Services Description</i>) Paragraph 2.6.1.	

5. Tests to be Achieved in order to Achieve the Operational Environments Deployed (INT5) Interim Milestone

Ref	Test	Pre-conditions	Test Success Criteria
INT5.1	INT1 Milestone	INT1 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT1 Milestone.
INT5.2	INT5 Deliverables	The Deliverables identified in the Implementation Plan to be achieved by the INT5 Milestone have been submitted to the Authority.	The Supplier has demonstrated that each of the Deliverables identified in the Implementation Plan to be achieved by the INT5 Milestone have been Approved by the Authority.
INT5.3	Provision of Environments	Readiness to provide the Environments for the Operational Phase.	Structured walk-through with the Authority to demonstrate that the necessary Environments have been provisioned in accordance with Schedule 2 (<i>Services Description</i>). Walk-through shows no Severity Level 1 and Severity Level 2 Test Issues and no more than the agreed number of Severity Level 3, 4 and 5 Test Issues.
INT5.4	Service Continuity Plan	The Service Continuity Plan is submitted to the Authority, as required by Schedule 26 (<i>Service Continuity Plan</i>) Paragraph 2.	The Service Continuity Plan is reviewed and approved by the Authority.

6. Tests to be Achieved in order to Achieve the IT Service Management Readiness (INT6) Interim Milestone

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Ref	Test	Pre-conditions	Test Success Criteria
INT6.1	INT1 Milestone	INT1 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT1 Milestone.
INT6.2	INT6 Deliverables	The Deliverables identified in the Implementation Plan to be achieved by the INT6 Milestone have been submitted to the Authority.	The Supplier has demonstrated that each of the Deliverables identified in the Implementation Plan to be achieved by the INT6 Milestone have been Approved by the Authority.
INT6.3	Performance Indicators reporting process	Details of how the process in respect of the monitoring and reporting of Performance Indicators is submitted to the Authority, as required by Schedule 3 (<i>Performance Levels</i>) Part B (Performance Monitoring) Paragraph 1.1.	The process in respect of the monitoring and reporting of Performance Indicators is reviewed and approved by the Authority.
INT6.4	Operational Level Agreement	The Operational Level Agreement has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.5.2.	The Operational Level Agreement is reviewed and approved by the Authority.
INT6.5	Knowledge Articles	The Knowledge Articles have been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 3.4.29.	The Knowledge Articles are reviewed and approved by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
INT6.6	Maintenance Schedule	A Maintenance Schedule has been created for the Supplier Solution, as required by Clause 9.4.	Structured walk-through with the Authority to demonstrate that the necessary Maintenance Schedule has been provisioned in accordance with Clause 9.4.

7. Tests to be Achieved in order to Achieve the Business Readiness and Private Beta (INT7) Interim Milestone

Ref	Test	Pre-conditions	Test Success Criteria
INT7.1	INT1 Milestone	INT1 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT1 Milestone.
INT7.2	INT7 Deliverables	The Deliverables identified in the Implementation Plan to be achieved by the INT7 Milestone have been submitted to the Authority.	The Supplier has demonstrated that each of the Deliverables identified in the Implementation Plan to be achieved by the INT7 Milestone have been Approved by the Authority.
INT7.3	Private Beta service	A Private Beta service is implemented within the Supplier Solution.	Structured walk-through with the Authority on a platform that the Authority can access to demonstrate that the implementation of the Private Beta service is complete. Walk-through shows no Severity Level 1 and Severity Level 2 Test Issues and no more than the agreed number of Severity Level 3, 4 and 5 Test Issues.
INT7.4	Communications	The materials required for the User communications campaign have been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.9.4.	The materials required for the User communications campaign are reviewed and approved by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
INT7.5	Message content	The content of Messages has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.9.8.	The content of Messages is reviewed and approved by the Authority.
INT7.6	Contact Channel design	The “look and feel” and content used in each Contact Channel has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.9.9.	The design of the Contact Channels is reviewed and approved by the Authority.
INT7.7	Training Plan	The Training Plan has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.9.11.	The Training Plan is reviewed and approved by the Authority.
INT7.8	System Manual	The System Manual has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.9.12.	The System Manual is reviewed and approved by the Authority.
INT7.9	e-Learning Modules	The e-Learning Modules have been submitted to the Authority, as required by Schedule 2 (<i>Services</i>	The e-Learning Modules are reviewed and approved by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
		<i>Description</i>) Paragraph 2.9.14.	
INT7.10	Duty Officer training	Training pertaining to the Supplier Solution methodology has been delivered to the Authority's nominated Duty Officers, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.9.16.	Receipt of training by the Authority.
INT7.11	Train the Trainer training	Training pertaining to the Supplier Solution using a Train the Trainer methodology has been delivered to the Authority's nominated Internal Users, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.9.15.	Receipt of training by the Authority.
INT7.12	Beta Service Assessment	The materials required for the Beta Service Assessment have been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.9.19.	The materials required for the Beta Service Assessment are reviewed and approved by the Authority to ensure the Authority passes the Beta Service Assessment.
INT7.13	Help Articles	The Help Articles have been submitted to the Authority, as required by	The Help Articles are reviewed and approved by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
		Schedule 2 (<i>Services Description</i>) Paragraph 3.4.31.	

8. Tests to be Achieved in order to Achieve the Functional Solution Build, Test and Deployment (INT8) Interim Milestone

Ref	Test	Pre-conditions	Test Success Criteria
INT8.1	INT1 Milestone	INT1 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT1 Milestone.
INT8.2	INT8 Test Certificates	INT8 Test Certificates issued.	Test Certificates issued by the Authority in respect of every Sprint relating to Milestone INT8.

9. Tests to be Achieved in order to Achieve the Unregistered Users Solution Build, Test and Deployment (INT9) Interim Milestone

Ref	Test	Pre-conditions	Test Success Criteria
INT9.1	INT1 Milestone	INT1 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT1 Milestone.
INT9.2	INT9 Test Certificates	INT9 Test Certificates issued.	Test Certificates issued by the Authority in respect of every Sprint relating to Milestone INT9.

10. Tests to be Achieved in order to Achieve the User Research, Content Design and Interaction Design Complete (INT10) Interim Milestone

Ref	Test	Pre-conditions	Test Success Criteria
INT10.1	INT1 Milestone	INT1 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT1 Milestone.

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Ref	Test	Pre-conditions	Test Success Criteria
INT10.2	INT10 Milestone	INT10 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT10 Milestone.

11. Tests to be Achieved in order to Achieve the Minimum Viable Service (MVS) Operational (ATP) Milestone

Ref	Test	Pre-conditions	Test Success Criteria
ATP.1	INT1 Milestone	INT1 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT1 Milestone.
ATP.2	INT2 Milestone	INT2 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT2 Milestone.
ATP.3	INT3 Milestone	INT3 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT3 Milestone.
ATP.4	INT4 Milestone	INT4 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT4 Milestone.
ATP.5	INT5 Milestone	INT5 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT5 Milestone.
ATP.6	INT6 Milestone	INT6 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT6 Milestone.
ATP.7	INT7 Milestone	INT7 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT7 Milestone.
ATP.8	INT8 Milestone	INT8 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT8 Milestone.

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Ref	Test	Pre-conditions	Test Success Criteria
ATP.9	ATP Deliverables	The Deliverables identified in the Implementation Plan to be achieved by the ATP Milestone have been submitted to the Authority.	The Supplier has demonstrated that each of the Deliverables identified in the Implementation Plan to be achieved by the ATP Milestone have been Approved by the Authority.
ATP.10	Operational readiness	Readiness to provide the Operational Services from the ATP Milestone Date.	<p>Structured walk-through with the Authority to demonstrate that the transfer (from the Outgoing Supplier) of Authority Data, Authority Software, Transferring Assets, Transferring Former Supplier Employees, Documentation, and all other elements which are necessary for the Supplier to provide the Operational Services required from the ATP Milestone (as documented in the Implementation Plan) are complete.</p> <p>Walk-through shows no Severity Level 1 and Severity Level 2 Test Issues and no more than the agreed number of Severity Level 3, 4 and 5 Test Issues.</p>
ATP.11	Annual Contract Report	The Annual Contract Report is submitted to the Authority as required by Schedule 19 (<i>Financial Reports and Audit Rights</i>) Part B.	The Annual Contract Report is reviewed and approved by the Authority.
ATP.12	Management Reports	Readiness to provide the Management Reports, as required by Schedule 2 (<i>Services Description</i>) Paragraph 3.4.5.	<p>Structured walk-through with the Authority to demonstrate that the necessary Management Reports have been provisioned in accordance with Schedule 2 (<i>Services Description</i>).</p> <p>Walk-through shows no Severity Level 1 and Severity Level 2 Test Issues and no more than the agreed number of Severity Level 3, 4 and 5 Test Issues.</p>

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Ref	Test	Pre-conditions	Test Success Criteria
ATP.13	"Cost per transaction" metric	The methodology to calculate the "cost per transaction" metric has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 3.4.4.	The "cost per transaction" methodology is reviewed and approved by the Authority.
ATP.14	Telephone Operator Data Sharing Agreements	Telephone Operator Data Sharing Agreements are submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.3.	Receipt of confirmation by the Authority.
ATP.15	Service Delivery Manager appointed	Confirmation of the appointment of the Service Delivery Manager, as required by Schedule 21 (<i>Governance</i>) Paragraph 2.2.	Receipt of confirmation by the Authority.

12. Tests to be Achieved in order to Achieve the Early Life Support (ELS) Complete (CPP) Milestone

Ref	CPP Milestone Charge No.	Test	Test Success Criteria
CPP.1	1	ATP Milestone	Milestone Achievement Certificate issued by the Authority in respect of the ATP Milestone.

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Ref	CPP Milestone Charge No.	Test	Test Success Criteria
CPP.2	1	Effective operation of the Operational Services post ATP	<p>Two (2) consecutive Service Periods in which the Supplier Achieves:</p> <ul style="list-style-type: none">(a) No Serious KPI Failures;(b) No Severe KPI Failures; and(c) No breaches of the KPI Service Thresholds, <p>for KPIs being measured for the Operational Services post ATP in accordance with Schedule 3 (<i>Performance Levels</i>).</p> <p>The Authority may provide approval for this Test (even in the event that the Supplier has a Serious KPI Failure(s), a Severe KPI Failure(s), and/or breaches the KPI Service Thresholds within one or both of the two (2) consecutive Service Periods) where the Authority, acting reasonably, considers that the Serious KPI Failure(s), Severe KPI Failure(s), and/or breaches of the KPI Service Thresholds do not constitute a material degradation of the Services.</p>
CPP.3	1	Remaining Test Issues	Approval has been given by the Authority of the plan for resolution of remaining Severity Level 3, 4 and 5 Test Issues with the elements of the Supplier Solution introduced on the ATP Milestone Date.
CPP.4	1	CPP Deliverables	The Supplier has demonstrated that each of the Deliverables identified in the Implementation Plan to be achieved by the CPP Milestone have been Approved by the Authority.
CPP.5	1	Exit Plan	The Exit Plan is reviewed and approved by the Authority, as required by Schedule 25 (<i>Exit Management</i>) Paragraph 5.
CPP.6	1	Exit Manager	Confirmation by the Authority of the appointment of the Exit Manager, as required by Schedule 25 (<i>Exit Management</i>) Paragraph 2.

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Ref	CPP Milestone Charge No.	Test	Test Success Criteria
CPP.7	1	Software list	Schedule 5 (<i>Software</i>) and Schedule 32 (<i>Intellectual Property Rights</i>) Annex 1 is updated by the Supplier, then reviewed and approved by the Authority.
CPP.8	1	Documentation	Up to date Documentation available in the Virtual Library. Structured walk-through with the Authority to demonstrate the completeness of Documentation necessary for delivery of the Services and compliance with the records management processes of Schedule 19 (<i>Financial Reports and Audit Rights</i>) Part B (<i>Financial Reports</i>), Schedule 24 (<i>Reports and Records Provisions</i>) and Schedule 25 (Exit Management) Paragraph 2 (<i>Obligations During the Term to Facilitate Exit</i>).
CPP.9	1	Transparency Reports	The draft Transparency Reports are submitted to the Authority, as required by Schedule 24 (<i>Reports and Records Provisions</i>) Paragraph 1, then reviewed and approved by the Authority.
CPP.10	1	Service Continuity Plan test	The Service Continuity Plan is tested in accordance with Schedule 26 (<i>Service Continuity Plan</i>) Paragraph 8.1.
CPP.11	1	Delivery of Specially Written Software	In accordance with Schedule 32 (<i>Intellectual Property Rights</i>) Paragraph 2.2(a)(ii), the Supplier delivers to the Authority the Specially Written Software and the software element of Project Specific IPRs in both Source Code and Object Code forms together with relevant Documentation and all related Software Supporting Materials on media that is reasonably acceptable to the Authority.
CPP.12	1	Back-up	In accordance with Clause 18.5, the Supplier demonstrates that back-ups of all Authority Data are available to the Authority upon request.

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Ref	CPP Milestone Charge No.	Test	Test Success Criteria
CPP.13	1	ISO 14001 certification	Receipt of confirmation by the Authority, in accordance with Schedule 4 (<i>Standards</i>) Annex 1 (<i>Environmental Requirements</i>).
CPP.14	1	Modern Slavery Assessment Tool	The Modern Slavery Assessment Tool is reviewed and approved by the Authority, in accordance with Clause 33.8.
CPP.15	1	Carbon Reduction Plan	Receipt of confirmation by the Authority, in accordance with Schedule 4 (<i>Standards</i>) Annex 1 (<i>Environmental Requirements</i>).