

SCHEDULE 14 (TESTING PROCEDURES)

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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;
“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 relevant Test Plan;
“Test Issue Management Log”	a log for the recording of Test Issues as described further in Paragraph 9.1;
“Test Plan”	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 5;
“Test Reports”	the reports to be produced by the Supplier setting out the results of Tests;
“Test Specification”	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;
“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 6;
“Test Witness”	any person appointed by the Authority pursuant to Paragraph 10.1; and

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“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:
- (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 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, the Test Plans and the Test Specifications.
- 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 Test Plan and the Test Specification 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 [20 Working Days] (or such other period as the Parties may agree in writing) after the Effective Date.

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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;
- (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 Test Specifications 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 PLANS

5.1 The Supplier shall develop Test Plans and submit these for the approval of the Authority as soon as practicable prior to the start date for the relevant Testing (as specified in the Implementation Plan).

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, the requirements being tested and, for each Test, the specific Test Success Criteria to be satisfied;
- (b) an updated Traceability Matrix for the Test
- (c) 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;

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- (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
- (d) 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.

6 TEST SUCCESS CRITERIA

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 Test Plan pursuant to Paragraph 5.

7 TEST SPECIFICATION

- 7.1 Following approval of a Test Plan, the Supplier shall develop the Test Specification for the relevant Deliverables as soon as reasonably practicable prior to the start of the relevant Testing (as specified in the Implementation Plan).
- 7.2 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.

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.
- 8.3 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

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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 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.
- 8.6 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 9.1; 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.

9 TEST ISSUES

- 9.1 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.
- 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 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 TEST WITNESSING

- 10.1 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.

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- 10.2 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.
- 10.3 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.

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 Implementation 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

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(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 when the Deliverables satisfy the Test Success Criteria in respect of that Test without any Test Issues.
- 12.2 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 25.1 (*Rectification Plan Process*).
- 12.3 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.

13 ISSUE OF MILESTONE ACHIEVEMENT CERTIFICATE

- 13.1 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

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- (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).
- 13.2 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).
- 13.3 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.
- 13.4 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.
- 13.5 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.
- 13.6 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 13.3); 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 Plan relevant to those Deliverables.]

OR

[This Test Certificate is issued pursuant to Paragraph 12.1 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 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 13.1 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 [TBN]

1. Tests to be Achieved in order to Achieve the Mobilisation 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	INT1 Test Plans	The Test Plans for all Tests related to the INT1 Milestone have been submitted to the Authority.	The applicable Test Plans are reviewed and approved by the Authority.
INT1.3	INT1 Test Specifications	The Test Specifications for all Tests related to the INT1 Milestone have been submitted to the Authority.	The applicable Test Specifications are reviewed and approved by the Authority.
INT1.4	INT1 Test Reports	The Test Reports for all Tests related to the INT1 Milestone have been submitted to the Authority.	The applicable Test Reports are reviewed and approved by the Authority.
INT1.5	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.

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Ref	Test	Pre-conditions	Test Success Criteria
INT1.6	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.
INT1.7	Key Personnel	Confirmation that all Key Personnel listed in Schedule 29 (<i>Key Personnel</i>) have been mobilised.	Receipt of confirmation by the Authority.
INT1.8	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.
INT1.9	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.
INT1.10	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.

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Ref	Test	Pre-conditions	Test Success Criteria
INT1.11	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.
INT1.12	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.
INT1.13	Financial Representative appointed	Confirmation of the appointment of the Financial Representative, as required by Schedule 19 (<i>Financial Reports and Audit Rights</i>).	Receipt of confirmation by the Authority.
INT1.14	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.

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Ref	Test	Pre-conditions	Test Success Criteria
INT1.15	Authority approval of 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.
INT1.16	Joint Statement of Intent	The Joint Statement of Intent is submitted to the Authority, as required by Schedule 21 (<i>Testing Procedures</i>) Paragraph 2.6.	The Joint Statement of Intent is reviewed and approved by the Authority.
INT1.17	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.
INT1.18	Data Protection Impact Assessment	A completed Data Protection Impact Assessment is submitted to the Authority, as required by Schedule 31 (<i>Processing Personal Data</i>) Paragraph 1.5.	The Data Protection Impact Assessment is reviewed and approved by the Authority.

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2. Tests to be Achieved in order to Achieve the MVP (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.
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	INT2 Test Plans	The Test Plans for all Tests related to the INT2 Milestone have been submitted to the Authority.	The applicable Test Plans are reviewed and approved by the Authority.
INT2.4	INT2 Test Specifications	The Test Specifications for all Tests related to the INT2 Milestone have been submitted to the Authority.	The applicable Test Specifications are reviewed and approved by the Authority.
INT2.5	INT2 Test Reports	The Test Reports for all Tests related to the INT2 Milestone have been submitted to the Authority.	The applicable Test Reports are reviewed and approved by the Authority.
INT2.6	MVP use cases	The use cases as set out in Schedule 2 (<i>Services Description</i>) Paragraph 2.3.14 labelled "MVP" are 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 applicable use cases is complete.

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Ref	Test	Pre-conditions	Test Success Criteria
			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.

3. Tests to be Achieved in order to Achieve the MVP+1 (INT3) Interim Milestone

Ref	Test	Pre-conditions	Test Success Criteria
INT4.1	INT2 Milestone	INT2 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT2 Milestone.
INT4.2	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.
INT4.3	INT3 Test Plans	The Test Plans for all Tests related to the INT3 Milestone have been submitted to the Authority.	The applicable Test Plans are reviewed and approved by the Authority.
INT4.4	INT3 Test Specifications	The Test Specifications for all Tests related to the INT3 Milestone have been submitted to the Authority.	The applicable Test Specifications are reviewed and approved by the Authority.
INT4.5	INT3 Test Reports	The Test Reports for all Tests related to the INT3 Milestone have been submitted to the Authority.	The applicable Test Reports are reviewed and approved by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
INT4.6	MVP+1 use cases	The use cases as set out in Schedule 2 (<i>Services Description</i>) Paragraph 2.3.14 labelled "MVP+1" are 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 applicable use cases 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.

4. Tests to be Achieved in order to Achieve the Private Beta (INT4) Interim Milestone

Ref	Test	Pre-conditions	Test Success Criteria
INT4.1	INT3 Milestone	INT3 Milestone Achieved.	Milestone Achievement Certificate issued by the Authority in respect of the INT3 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	INT4 Test Plans	The Test Plans for all Tests related to the INT4 Milestone have been submitted to the Authority.	The applicable Test Plans are reviewed and approved by the Authority.
INT4.4	INT4 Test Specifications	The Test Specifications for all Tests related to the INT4 Milestone have been submitted to the Authority.	The applicable Test Specifications are reviewed and approved by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
INT4.5	INT4 Test Reports	The Test Reports for all Tests related to the INT4 Milestone have been submitted to the Authority.	The applicable Test Reports are reviewed and approved by the Authority.
INT4.6	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.
INT4.7	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 2.4.1.	The materials required for the User communications campaign are reviewed and approved by the Authority.
INT4.8	Message content	The content of Messages has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.4.2.	The content of Messages is reviewed and approved by the Authority.
INT4.9	Contact Channel design	The “look and feel” and content used in each Contact Channel has been submitted to the Authority,	The design of the Contact Channels is reviewed and approved by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
		as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.4.3.	
INT4.10	Train the Trainer	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 2.3.10.	Receipt of training by the Authority.

5. Tests to be Achieved in order to Achieve the MVS (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.

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Ref	Test	Pre-conditions	Test Success Criteria
ATP.5	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.6	ATP Test Plans	The Test Plans for all Tests related to the ATP Milestone have been submitted to the Authority.	The applicable Test Plans are reviewed and approved by the Authority.
ATP.7	ATP Test Specifications	The Test Specifications for all Tests related to the ATP Milestone have been submitted to the Authority.	The applicable Test Specifications are reviewed and approved by the Authority.
ATP.8	ATP Test Reports	The Test Reports for all Tests related to the ATP Milestone have been submitted to the Authority.	The applicable Test Reports are reviewed and approved by the Authority.
ATP.9	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.
ATP.10	Information Security Approval Statement	The Information Security Approval Statement is submitted to the Supplier, as required by Schedule 5	Receipt of confirmation by the Supplier.

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Ref	Test	Pre-conditions	Test Success Criteria
		(<i>Security Management</i>) Paragraph 3.	
ATP.11	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(f).	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.
ATP.12	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.
ATP.13	Operational readiness	Readiness to provide the Operational Services from the ATP Milestone Date.	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. 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.
ATP.14	Service Continuity Plan	The Service Continuity Plan is submitted to the	The Service Continuity Plan is reviewed and approved by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
		Authority, as required by Schedule 26 (<i>Service Continuity Plan</i>) Paragraph 2.	
ATP.15	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.16	Detailed Design	The Detailed Design has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.3.6.	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>). 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. The Detailed Design is reviewed and approved by the Authority.
ATP.17	Operational Level Agreement	The Operational Level Agreement has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.3.3.	The Operational Level Agreement is reviewed and approved by the Authority.

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Ref	Test	Pre-conditions	Test Success Criteria
ATP.18	Provision of Environments	Readiness to provide the Environments from the ATP Milestone Date, as required by Schedule 2 (<i>Services Description</i>) Paragraph 3.5.37.	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.
ATP.19	Data Architecture Design	The Data Architecture Design has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.3.7.	The Data Architecture Design is reviewed and approved by the Authority.
ATP.20	Integration Specification	The Integration Specification has been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 2.3.5.	The Integration Specification is reviewed and approved by the Authority.
ATP.21	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 2.4.4.	The materials required for the Beta Service Assessment are reviewed and approved by the Authority to ensure the Authority passes the Beta Service Assessment.
ATP.22	Management Reports	Readiness to provide the Management Reports, as	Structured walk-through with the Authority to demonstrate that the necessary Management Reports have been

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Ref	Test	Pre-conditions	Test Success Criteria
		required by Schedule 2 (<i>Services Description</i>) Paragraph 3.5.6.	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.
ATP.23	Knowledge Articles	The Knowledge Articles have been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 3.5.27.	The Knowledge Articles are reviewed and approved by the Authority.
ATP.24	Help Articles	The Help Articles have been submitted to the Authority, as required by Schedule 2 (<i>Services Description</i>) Paragraph 3.5.30.	The Help Articles are reviewed and approved by the Authority.
ATP.25	Product Backlog	Readiness to populate the Product Backlog, as required by Schedule 2 (<i>Services Description</i>) Paragraph 3.5.46.	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.
ATP.26	MVS use cases	The use cases as set out in Schedule 2 (<i>Services Description</i>) Paragraph 2.3.14 labelled "MVS" are	Structured walk-through with the Authority on a platform that the Authority can access to demonstrate that the implementation of the applicable use cases is complete.

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Ref	Test	Pre-conditions	Test Success Criteria
		implemented within the Supplier Solution.	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.

6. Tests to be Achieved in order to Achieve the Early Life Support (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.
CPP.2	1	Effective operation of the Operational Services post ATP	Two (2) consecutive Service Periods in which the Supplier Achieves: (a) No Serious KPI Failures; (b) No Severe KPI Failures; and (c) No breaches of the KPI Service Thresholds, for KPIs being measured for the Operational Services post ATP in accordance with Schedule 3 (<i>Performance Levels</i>).
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	CPP Test Plans	The applicable Test Plans are reviewed and approved by the Authority.

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Ref	CPP Milestone Charge No.	Test	Test Success Criteria
CPP.6	1	CPP Test Specifications	The applicable Test Specifications are reviewed and approved by the Authority.
CPP.7	1	CPP Test Reports	The applicable Test Reports are reviewed and approved by the Authority.
CPP.8	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.9	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.
CPP.10	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.11	1	Documentation	<p>Up to date Documentation available in the Virtual Library.</p> <p>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 (<i>Exit Management</i>) Paragraph 2 (<i>Obligations During the Term to Facilitate Exit</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	CPP Milestone Charge No.	Test	Test Success Criteria
CPP.12	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.13	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.14	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.15	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.
CPP.16	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.17	1	Modern Slavery Assessment Tool	The Modern Slavery Assessment Tool is reviewed and approved by the Authority, in accordance with Clause 33.8.
CPP.18	1	Continuous Improvement Plan	The Continuous Improvement Plan is reviewed and approved by the Authority, in accordance with Clause 8.