

OWNER: DG TAXUD	ISSUE DATE: 22/03/2010	VERSION: 1.04
<p>TAXATION AND CUSTOMS UNION DG</p> <p>ITSM</p> <p>SUBJECT:</p> <p>FQP - Annex 23: Conformance Testing</p>		
FRAMEWORK CONTRACT # TAXUD/2007/CC/088		

ITSM	REF.: ITS-IFQP-SC04
FQP - Annex 23: Conformance Testing	VER.: 1.04
DOCUMENT HISTORY	ISSUE DATE: 22/03/2010

DOCUMENT HISTORY

Edi.	Rev.	Date	Description	Action (*)	Pages
0	01	06/07/2007	First Draft	I	All
0	02	05/10/2007	Further implementation	I/R	As req.
0	03	08/10/2007	Further implementation	I/R	As req.
0	04	15/10/2007	Draft delivered for information to DG TAXUD	I/R	As req.
0	05	31/10/2007	Draft delivered for information to DG TAXUD	I/R	As req.
0	06	30/11/2007	Further implementation + Implementation of comments received from DG TAXUD. Delivered for information to DG TAXUD	I/R	As req.
0	07	10/12/2007	Further updates	I/R	As req.
0	08	01/04/2008	Further updates	I/R	As req.
0	09	07/07/2008	Consolidation after intermediate deliveries of processes outside of the scope of the FQP document	I/R	As req.
0	10	15/07/2008	Delivered for review to DG TAXUD after internal QC	I/R	As req.
1	00	07/11/2008	Delivered for acceptance to DG TAXUD after implementation of review comments	I/R	As req.
1	01	28/11/2008	Re-delivered for acceptance to DG TAXUD after implementation of remaining comments	I/R	As req.
1	01-1	10/12/2009	Delivered for information to DG TAXUD	I/R	As req.
1	02	01/02/2010	Sent for review to DG TAXUD after internal QC	I/R	As req.
1	03	05/02/2010	Re-delivered for review to DG TAXUD after internal QC	I/R	As req.
1	04	22/03/2010	Delivered for acceptance to DG TAXUD	I/R	As req.

(*) Action: I = Insert R = Replace

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1. Introduction

This document is an annex to the Framework Quality Plan, deliverable DLV 0.1.1 requested in Specific Contract 04 [A2] under Framework Contract (IT Service Management for DG TAXUD) [A1], Work Package WP.0.1.

This document presents the Level 1, 2 and 3 of the ITSM process FQP - Annex 23: Conformance Testing.

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2 - Reference and Applicable Documents	ISSUE DATE: 22/03/2010

2. Reference and Applicable Documents

This chapter presents two lists of relevant programme related documents. They are divided into reference and applicable documents.

2.1 Reference Documents

Id	Reference	Title	Date	Version
R1	ITS-IFQP-SC04-Framework Quality Plan	Framework Quality Plan	22/03/2010	1.04
R2	ITS-IFQP-SC04-Annex 9	ITSM Glossary	22/03/2010	1.13

Table 1 – Reference documents

2.2 Applicable Documents

An applicable document is a document which content is binding for a contractor no matter what is mentioned in this FQP.

Id	Reference	Title	Date	Version
A1	TAXUD/2007/CC/088	Framework Contract	04/05/2007	N/A
A2	TAXUD/2008/DE/114	Specific Contract 04	30/06/2008	N/A
A3	QAC-SC01-FQP_TEM	Framework Quality Plan Template	N/A	1.01

Table 2 – Applicable documents

ITSM	REF.: ITS-IFQP-SC04
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3 - Terminology	ISSUE DATE: 22/03/2010

3. Terminology

3.1 Abbreviations and Acronyms

A list of the abbreviations and acronyms used in the context of the ITSM Programme, and more specifically for this document is provided in Annex 9 ITSM Glossary [R2].

3.2 Interface with DG TAXUD

Where there is a non-specific reference to DG TAXUD, Directorate General Taxation and Customs Union DG or other similar descriptions, it means that the interface can be with any one of the following business threads of DG TAXUD:

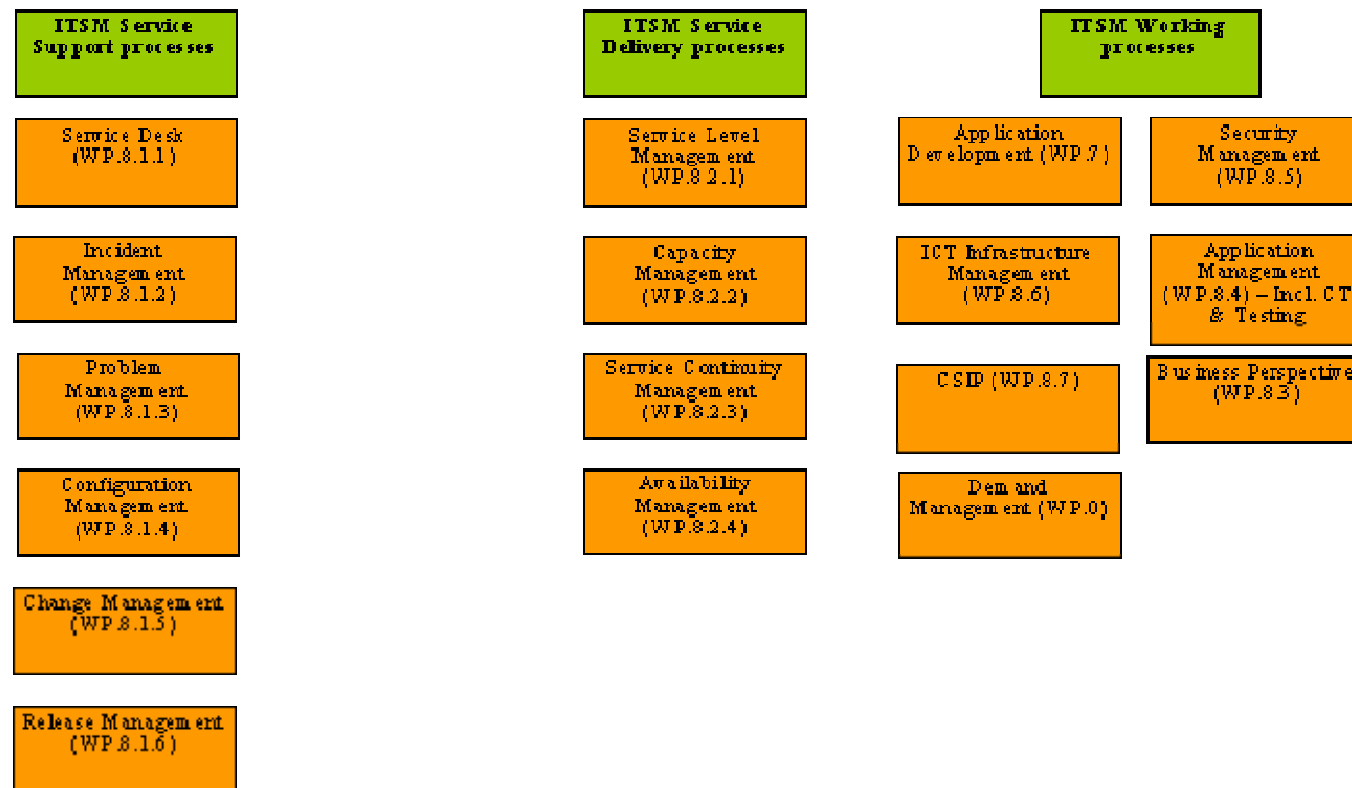
- DG TAXUD A4/CPT;
- DG TAXUD A4/ISD;
- DG TAXUD A4/APM;
- DG TAXUD A3/Tax;
- DG TAXUD A3/Exc;
- DG TAXUD A3/CUST;
- DG TAXUD A3/LISO.

Where it is intended that a reference is to a specific business thread, one of the business threads above shall be stated.

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4. ITSM Process model

4.1 Level 0: Process flows



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Figure 4-1: ITSM Process Model

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4.2 Level 1: Conformance Testing

Conformance Testing is part of Application Management, but has been defined as an independent process due to its importance and complexity.

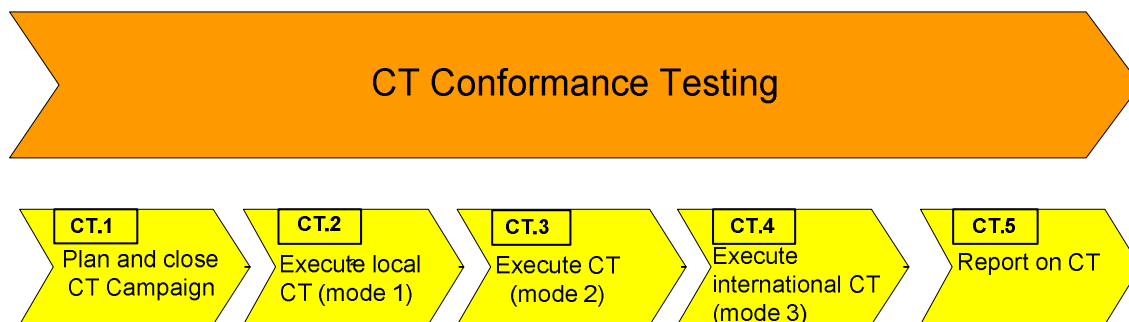


Figure 4-2: Conformance Testing sub-processes

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4.3 Level 2: Conformance Testing

CT.1 Plan and close CT campaign

CT.1 – Plan and close CT Campaign

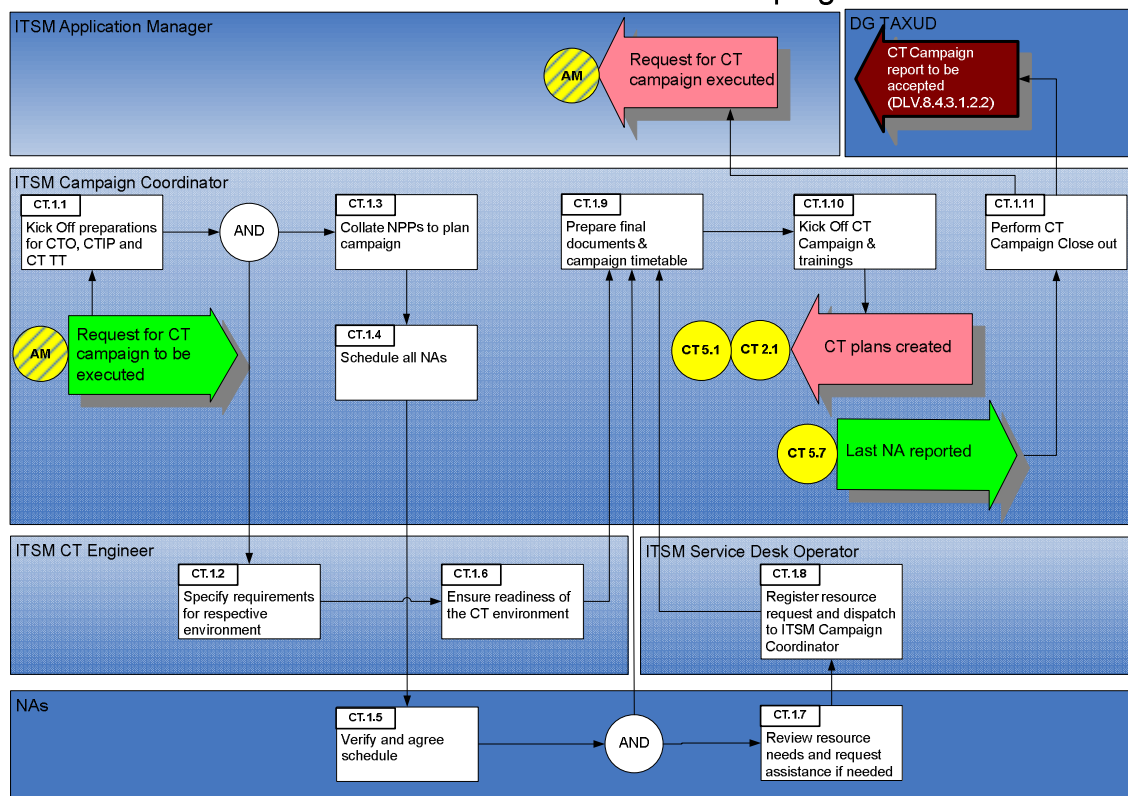


Figure 4-3: CT.1 Plan and close CT campaign

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CT.2 Execute Local CT (mode 1)

CT.2 – Execute local CT (mode 1)

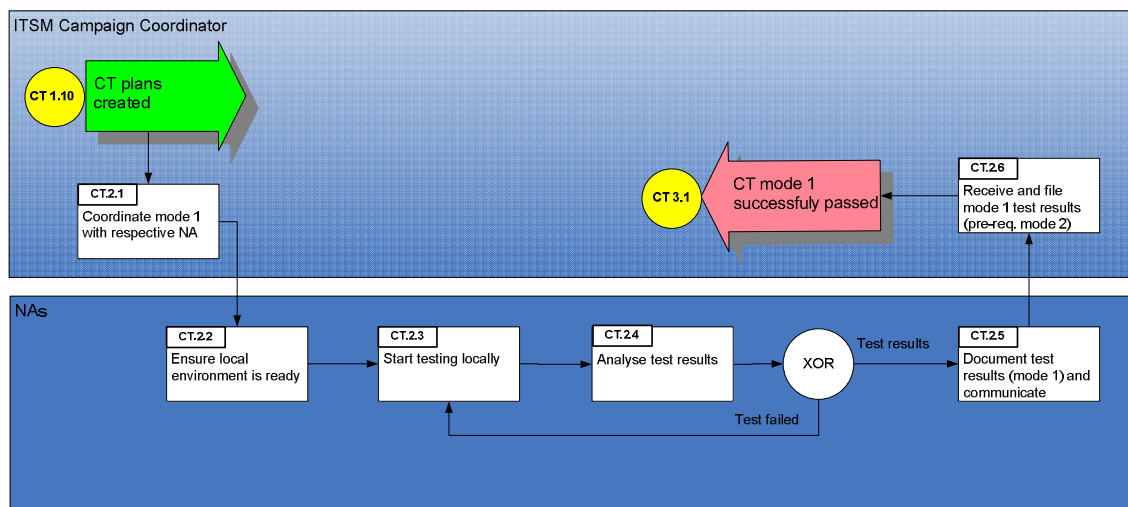


Figure 4-4: CT.2 Execute Local CT (mode 1)

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CT.3 Conformance Test (mode 2)

CT.3 – Conformance Test (mode 2)

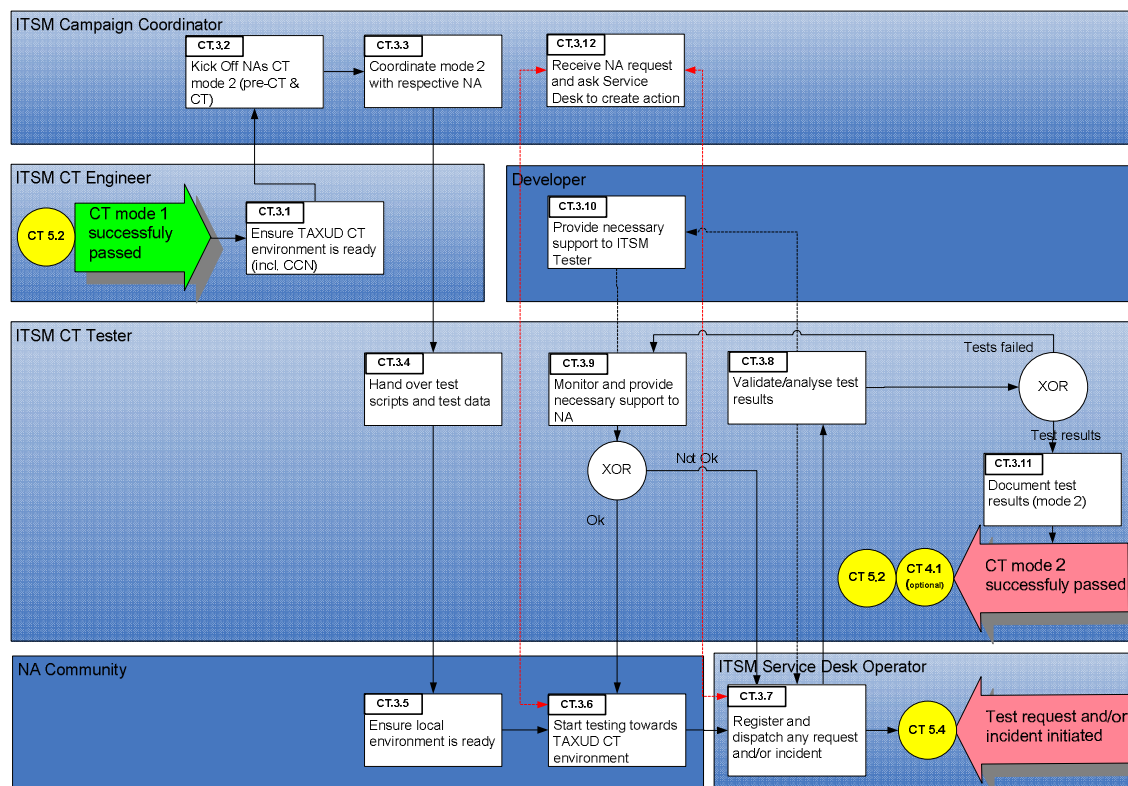


Figure 4-5: CT.3 Conformance Test (mode 2)

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CT.4 Execute international CT (mode 3)

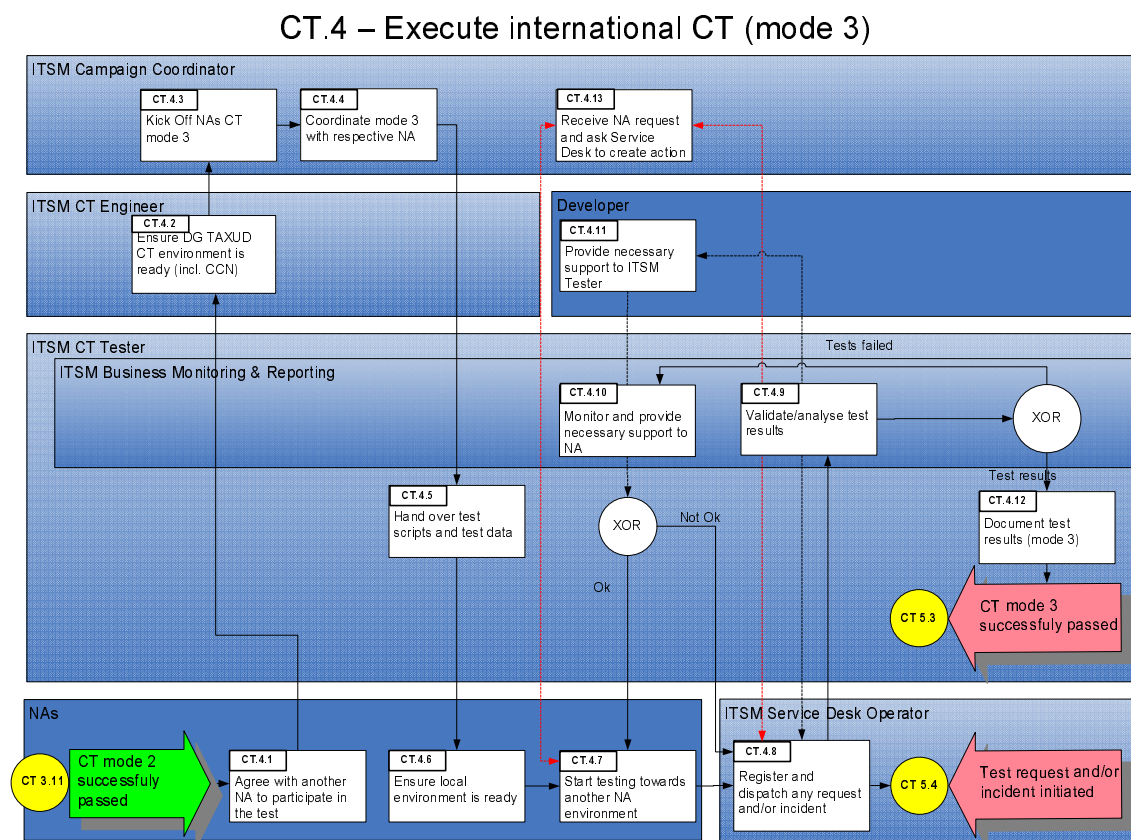


Figure 4-6: CT.4 Execute international CT (mode 3)

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CT.5 Report on CT

CT.5 – Report on CT

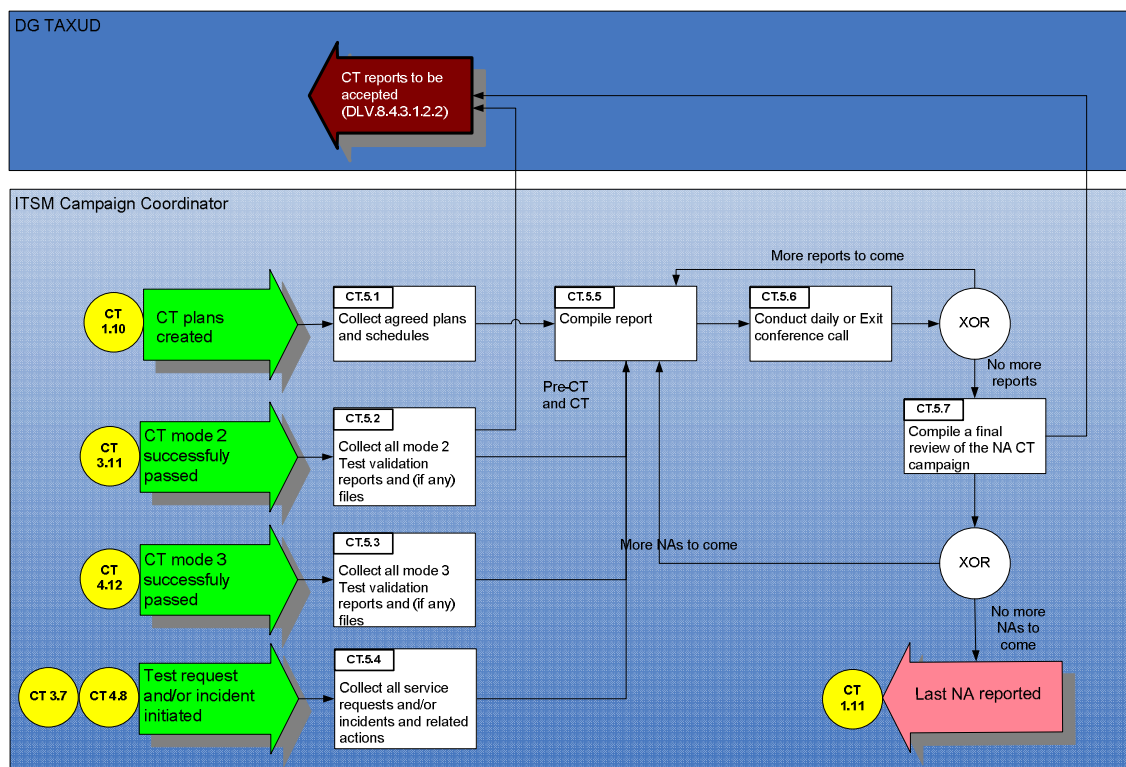


Figure 4-7: Report on CT

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RACI Table for CT

Activity	ITSM Business Thread Managers	ITSM Campaign Coordinator	ITSM CT Engineer	ITSM CT Tester	ITSM Service Desk Operator	ITSM Service Level Manager	NA Community	Developer	QA Contractor	DG TAXUD A3/Tax	DG TAXUD A3/Exc	DG TAXUD A3/Cust	DG TAXUD A4/CPT
CT.1.1 Kick Off preparation for CTO, CTIP and CT TT	AC	R	I	I	I		I	I	I	C	C	C	C
CT.1.2 Specify requirements for respective environment	A		R				I	C	I	C	C	C	C
CT.1.3 Collate NPPs to plan campaign	AI	R					RC		I	C	C	C	C
CT.1.4 Schedule all NAs	AI	R					C		I	C	C	C	C
CT.1.5 Verify and agree schedule	I	CI					AR			I	I	I	I
CT.1.6 Ensure readiness of the CT environment	AC	I	R	I			CI	C		I	I	I	I
CT.1.7 Review resource needs and request assistance if needed	I	C					AR						
CT.1.8 Receive resource request and dispatch to ITSM Campaign coordinator	A	C			R		I						
CT.1.9 Prepare final documents & campaign timetable	AC	R	I	I	I	I	I	I	I				
CT.1.10 Kick Off CT campaign and trainings	AC	R	I	I	I	I	C	I	I	I	I	I	I
CT.1.11 Perform CT campaign close out	AC	R	I	I	I	I	C	I	C	C	C	C	C
CT.2.1 Coordinate mode 1 with respective NA	A	R	I	I	I	I	I	I	I	I	I	I	I
CT.2.2 Ensure Local environment is ready		I					AR			I	I	I	I
CT.2.3 Start testing locally		I					AR			I	I	I	I
CT.2.4 Analyse test results		I					AR			I	I	I	I
CT.2.5 Document test results (mode 1) and communicate		I					AR						
CT.2.6 Receive and file mode 1 test results (pre-req. mode 2)	A	R											

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CT.3.1 Ensure DG TAXUD CT environment is ready	A	I	R	I				C					
CT.3.2 Kick Off NAs CT mode 2 (pre-CT & CT)	A	R	I	I	I	I	CI	I	I				
CT.3.3 Coordinate mode 2 with respective NA	A	R	I	I	I	I	CI	I	I				
CT.3.4 Hand-Over test scripts and test data	A		I	R			I	CI					
CT.3.5 Ensure Local environment is ready		I	C	C			AR						
CT.3.6 Start testing towards DG TAXUD CT environment		I		CI			AR						
CT.3.7 Register and dispatch any request and/or incident	A	I			R		I						
CT.3.8 Validate/analyse test results	A	I		R			I	CI		I	I	I	I
CT.3.9 Monitor and provide necessary support to NA	A	I		R	I			I					
CT.3.10 Provide necessary support to ITSM tester	A	I		CI				R					
CT.3.11 Document test results (mode 2)	A	I		R			I	I					
CT.3.12 Receive NA request and ask Service Desk to create action	A	R			C		I			I	I	I	I
CT.4.1 Agree with another NA to participate in the test	I	I					AR						
CT.4.2 Ensure DG Taxud CT environment is ready	A	I	R	I						I	I	I	I
CT.4.3 Kick Off Nas CT mode 3	A	R	I	I	I	I	CI	I	I	I	I	I	I
CT.4.4 Coordinate mode 3 with respective NA	A	R	I	I	I	I	CI	I	I				
CT.4.5 Hand-Over test scripts and test data	A		I	R			I	CI					
CT.4.6 Ensure Local environment is ready		I	C	C			AR						
CT.4.7 Start testing towards another NA environment		I		CI			AR			I	I	I	I
CT.4.8 Receive and dispatch any request and/or incident	A	I			R		I						
CT.4.9 Validate/analyse test results	A	I		R			I	CI					
CT.4.10 Monitor and provide necessary support to NA	A	I		R	I			I					
CT.4.11 Provide necessary support to ITSM tester	A	I		CI				R					
CT.4.12 Document test results (mode 3)	A	I		R			I	I		I	I	I	I
CT.4.13 Receive NA request and ask Service Desk to create action	A	R			C		I						
CT.5.1 Collect agreed plans and schedules	A	R					I		I				
CT.5.2 Collect all mode 2 Test validation reports and files	A	R					I		CI				
CT.5.3 Collect all mode 3 Test validation reports and files	A	R					I		I				
CT.5.4 Collect all service requests and/or incidents and related actions	A	R			CI		I		I				
CT.5.5 Compile report	A	R				I	I		I				
CT.5.6 Conduct daily or exit conference call	A	R					CI		CI	I	I	I	I
CT.5.7 Compile a final review of the NA CT campaign	A	R					CI		CI	I	I	I	I

Table 4-1: CT RACI Table

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Communication interfaces with DG TAXUD A3 BTH

Interface description communication with DG TAXUD A3 Bth	Direction	Format
CT 1.9 Prepare Final document & campaign timetable		
Invitation to Campaign Kick Off	Outgoing/Incoming	E-mail
CT 1.10 Kick-off CT campaign & trainings		
MoM, CTO, CTIP, CTTT	Outgoing	E-mail
CT 1.11 Perform CT campaign close out		
MoM, Final CT Campaign Report	Outgoing	E-mail
CT 2.6 Received and file mode 1 test results		
Confirmation mode 1 successful	Outgoing	E-mail
CT 3.2 Kick off Nas CT mode 2 (pre-CT & CT)		
Invitation to Kick Off mode 2	Outgoing/Incoming	E-mail
CT 4.3 Kick Off Nas CT mode 3		
Invitation to Kick Off mode 3	Outgoing/Incoming	E-mail
CT 5.5 Compile Report		
Changes to plan	Outgoing	E-mail
Daily report	Outgoing	E-mail
QA Report mode 2 testing	Outgoing	E-mail
CT 5.6 Conduct daily or Exit conference call		
MoM	Outgoing	E-mail
CT 5.7 Compile a final review of the NA CT campaign		
Final NA CT Report	Outgoing	E-mail

Table 4-2: CT Communication interfaces with DG TAXUD BTH (DG TAXUD A3/Tax, Exc and Cust)

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4.4 Level 3: Conformance Testing

Procedure	
	<p><u>CT.1 Plan and close CT Campaign</u></p> <p>This procedure within the process manages the initial planning of the campaign, kick off of the campaign, as well as the exit meeting of the campaign. This phase also picks up, during the campaign, any changes necessary to the schedule and plans.</p>
<div>CT.1.1</div> <div>Kick Off preparations for CTO, CTIP and CT TT</div>	<p>CT.1.1 Kick Off preparations for CTO, CTIP and CT TT</p> <p><u>Inputs:</u></p> <p>The Service Request for a Conformance Test Campaign is provided by the ITSM Business Thread Manager although the originating request might have been issued through another channel (see CT 4.1).</p> <p>The ITSM Campaign Coordinator (appointed by the ITSM Business Perspective Manager in conjunction with ITSM Business Thread Managers) picks up the document templates for:</p> <ul style="list-style-type: none"> • Conformance Test Organisation (CTO); • Conformance Test ITSM Plan (CTIP); • Conformance Test Time Table (CTTT). <p>After this, there are two work streams taking place; planning and technical environments.</p>
<div>CT.1.2</div> <div>Specify requirements for respective environment</div>	<p>CT.1.2 Specify requirements for respective environment</p> <p>Based upon the requirements coming from the developer, the ITSM CT Engineer further specifies all the technical requirements needed for the CT. There might also be some specific requirements the NAs need to adhere to e.g. a specific software version, database version etc... This type of information/requirements will be published in the CTO.</p>
<div>CT.1.3</div> <div>Collate NPPs to plan campaign</div>	<p>CT.1.3 Collate NPPs to plan Campaign</p> <p>The ITSM Campaign Coordinator collates all National Project Plans (NPP, one for every Member State) and aligns them with the requirements coming from the high level CT campaign schedule which only contains a start and an end date for the whole campaign.</p>

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<div>CT.1.4</div> <div>Schedule all NAs</div>	<p>CT.1.4 Schedule all NAs</p> <p>Based upon the campaign high level plan and the existing NPPs the ITSM Campaign Coordinator schedules the various NAs. The ITSM Campaign Coordinator contacts the respective NA and finally agrees upon a timeslot.</p>
<div>CT.1.5</div> <div>Verify and agree schedule</div>	<p>CT.1.5 Verify and agree schedule</p> <p>In conjunction with CT 4.1, the NAs discuss and agree upon the schedule for the CT. The agreed schedule acts as input to CT 1.9 to finalise the plans.</p>
<div>CT.1.6</div> <div>Ensure readiness of the CT environment</div>	<p>CT.1.6 Ensure readiness of the CT environment</p> <p>After the technical specifications are communicated, the ITSM CT Engineer verifies that all CT environments are compliant to the requirements. The current status acts as input to CT 1.9 to finalise the plans.</p>
<div>CT.1.7</div> <div>Review resource needs and request assistance if needed</div>	<p>CT.1.7 Review resource needs and request assistance if needed</p> <p>After the timeslot is agreed, the NAs make an inventory of their resource requirements for the CT. If ITSM resources are required by the NA for On-Demand services (described in the CTO) they raise the Service Request with the ITSM Service Desk (CT 1.8). This request can be made via an e-mail or phone call to the ITSM Service Desk.</p>
<div>CT.1.8</div> <div>Receive resource request and dispatch to ITSM Campaign Coordinator</div>	<p>CT.1.8 Receive resource request and dispatch to ITSM Campaign Coordinator</p> <p>The ITSM Service Desk Operator, after an NA request is issued, opens a new SR for that particular NA and CT campaign and then adds an activity for the resource request. For details see Incident Management (Section 7.4.1.3 WP.8.1.2 Incident Management) and Business Thread Management (Section 7.4.4.1 Business Thread Management) processes.</p> <p>The opening of the SR can take place either at this step, if resources/actions are requested or at the latest when the NAs CT starts.</p>
<div>CT.1.9</div> <div>Prepare final documents & campaign timetable</div>	<p>CT.1.9 Prepare final documents & campaign timetable</p> <p>Based upon the NPP, agreed timeslots and (if any) requested resources the final CTO, CTIP and CTTT can now be produced by the ITSM Campaign Coordinator and agreed upon with DG TAXUD A4/CPT.</p>

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<div>CT.1.10</div> <div>Kick Off CT Campaign & trainings</div>	<p>CT.1.10 Kick Off CT Campaign & trainings</p> <p>There will be an official kick off for the whole campaign where the NPPs, CTO, CTIP and CTTT will be presented in detail. (One Kick Off for the whole campaign and then one Kick Off per NA). Since all NAs are invited to this Kick Off, it will be organised via conference call or video conferencing, if available. During the Kick Off all training will be provided to e.g. QA and NAs. This Kick Off will take place on “start date for first test – x weeks”, where x depends on the actual campaign.</p>
<div>CT.1.11</div> <div>Perform CT Campaign Close out</div>	<p>CT.1.11 Perform CT Campaign Close out</p> <p>After the last NA CT test has taken place and all testing and reporting have been internally reviewed and approved, the ITSM Campaign Coordinator, in conjunction with the Business Thread Manager, conducts a final exit meeting of the Campaign with all relevant parties. In case of (major) non compliance by an NA this will have to be escalated to DG TAXUD A4/CPT for final decision and would happen in the "Exit conference call" (CT 5.6) before that particular NA is closed. DG TAXUD A4/CPT participates in this Exit call. The meeting minutes (after internal QA) will be distributed after approval and the CT Campaign is officially closed.</p>
	<p><u>CT.2 Execute local CT (mode 1)</u></p> <p>The mode 1 testing takes place within the respective NA, this to ensure there are no compatibility/conformance in-house issues. This test is taking place without any involvement from the ITSM Campaign Coordinator except for the overall coordination. No ITSM CT Engineers or ITSM CT Testers are involved in the mode 1 testing. Mode 1 support might be necessary by the ITSM CT Testers but it is not planned as a fixed activity.</p>
<div>CT.2.1</div> <div>Coordinate mode 1 with respective NA</div>	<p>CT.2.1 Coordinate mode 1 with respective NA</p> <p>It is the responsibility of the ITSM Campaign Coordinator, in conjunction with the ITSM Business Thread Manager, to coordinate the activities taking place within the respective NAs once they are ready to start their internal compliance. The ITSM Campaign Coordinator will ensure that people are in place; the technology is in place and will act as a focal point for any issues/questions that might arise.</p>
<div>CT.2.2</div> <div>Ensure local environment is ready</div>	<p>CT.2.2 Ensure local environment is ready</p> <p>The respective NA needs to ensure their local environment is compliant with DG TAXUD (any prerequisite described in the</p>

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	CTO) before the mode 1 testing can begin.
<div>CT.2.3</div> <div>Start testing locally</div>	<p>CT.2.3 Start testing locally</p> <p>Once the environment is verified, the respective NA can start running the tests locally. This is an iterative activity in case some of the tests fail.</p>
<div>CT.2.4</div> <div>Analyse test results</div>	<p>CT.2.4 Analyse test results</p> <p>After each test the results must be analysed and compared to the expected outcome. This analysis is carried out by the respective NAs themselves. If, for any reason, the tests fail, step CT 2.3 must be carried out again and consequently this step as well. No fixed support by the ITSM CT Tester is planned for mode 1 but can of course be requested by the NA (via ITSM Service Desk).</p>
<div>CT.2.5</div> <div>Document test results (mode 1) and communicate</div>	<p>CT.2.5 Document test results (mode 1) and communicate</p> <p>After all tests are carried out successfully a CT Report for mode 1 is issued and distributed, including the ITSM Campaign Coordinator. This is not a formal document or deliverable, just an assurance that the mode 1 testing went through.</p>
<div>CT.2.6</div> <div>Receive and file mode 1 test results (pre-req. mode 2)</div>	<p>CT.2.6 Receive and file mode 1 test results (pre-req. mode 2)</p> <p>The ITSM Campaign Coordinator just files (in ITSM Collaborative tool) the CT Report from the NA. It is the responsibility of the NA to distribute the report to a wider audience (see CT 2.5). The successful test report just serves as an input to the CT Campaign planning, as well as a proof that the NA is now ready to start mode 2 testing.</p>
	<p><u>CT.3 Execute CT (mode 2)</u></p> <p>Conformance Test (mode 2): the NA tests (with assistance from ITSM CT Testers if requested) its compliance against the Conformance Testing environment of DG TAXUD, under the management of the ITSM Campaign Coordinator.</p> <p>This test is carried out in two iterations:</p> <ul style="list-style-type: none"> • Pre-Conformance Testing; • Conformance Testing. <p>The difference between these two iterations is just that the pre-Conformance Testing processes and procedures are not verified by an independent QA Contractor; otherwise the tests are identical in terms of coordination, testing, validation, support</p>

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	<p>etc...</p> <p>For Conformance Testing, XXX verifies the technical compliance of the national applications against the applicable technical system specifications, using a Conformance Testing Protocol delivered by the Application Development party responsible for specifying the system.</p> <p><u>Experience suggests that the Conformance Test is of 4 categories:</u></p> <ul style="list-style-type: none"> • Category 1: checking the connectivity to a Web application; • Category 2: checking the compliance of file format; • Category 3: checking the compliance of an application to a light request/response protocol and message structure; • Category 4: checking the compliance of an application to a complex conversational protocol and message structure. <p>For category 1, XXX verifies through available system /application /infrastructure monitoring tools that the National Administration can connect and use the application. For categories 2 to 4, XXX uses Conformance Testing applications provided by DG TAXUD via the Application Development party, should that be the contractor itself or a 3rd party. On the basis of the report (recommendation) of the Conformance Test from the ITSM Campaign Coordinator and the report (recommendation) of the Quality contractor, DG TAXUD A4/CPT will:</p> <ul style="list-style-type: none"> • Allow the NA to enter into operation; • Allow the NA to enter into operation with restriction; • Not allow the NA to enter in operation with the tested application. <p><u>Experience suggests that Conformance Test last:</u></p> <ul style="list-style-type: none"> • Category 1: less than a day; • Category 2: few days; • Category 3: few weeks; • Category 4: 1 to 2 months. <p>Experience suggests also that for categories 3 and 4, the duration drops dramatically to few days/weeks after 5 to 10 National Administrations go through the Conformance Testing, as the Conformance Testing environment (application/script/test data) and associated technical support reach full maturity, exiting their own "after-care" period.</p>
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<div>CT.3.1</div> <div>Ensure DG TAXUD CT environment is ready (incl. CCN)</div>	<p>CT.3.1 Ensure DG TAXUD CT environment is ready (incl. CCN)</p> <p>Once the mode 1 testing is carried out, the ITSM CT Engineer will verify the availability and fitness of the Conformance Testing environment and will configure it as required, in particular configuration of test data to each specific NA. The deployment of the Conformance Testing environment is covered by WP.8.4.3.1.1 “Deployment of applications”. The ITSM Engineer also liaises with CCN/TC to ensure the links between DG TAXUD’s CT environment, CCN and the NA are established.</p>
<div>CT.3.2</div> <div>Kick Off NAs CT mode 2 (pre-CT & CT)</div>	<p>CT.3.2 Kick Off NAs CT mode 2 (pre-CT & CT)</p> <p>For every NA test mode 2 the ITSM Campaign Coordinator officially kicks off the testing. This to ensure the plans are still adequate, the resources and test scripts are available, and that the communication is established. The kick off is for both the pre-CT and actual CT i.e. it is for the specific NAs a complete mode 2 testing.</p> <p>Note: Not all Business Threads carry out the pre-Conformance Testing.</p>
<div>CT.3.3</div> <div>Coordinate mode 2 with respective NA</div>	<p>CT.3.3 Coordinate mode 2 with respective NA</p> <p>The ITSM Campaign Coordinator continuously monitors and coordinates all mode 2 activities. This is accomplished by monitoring the campaign e-mail inbox, JIRA actions and corresponding ITSM SMT actions, and, of course keeping in touch with the roles involved in the testing. The ITSM Campaign Coordinator also acts as an initial escalation point during the mode 2 testing if any issues should arise.</p>
<div>CT.3.4</div> <div>Hand-Over test scripts and test data</div>	<p>CT.3.4 Hand-Over test scripts and test data</p> <p>The ITSM CT Tester ensures all valid test scripts, data and/or applications (as described in the CTO/CTIP) are available and handed-over to the NA.</p>
<div>CT.3.5</div> <div>Ensure local environment is ready</div>	<p>CT.3.5 Ensure local environment is ready</p> <p>The NA needs to ensure and verify its environment is ready before actually running any test scripts. In case of doubt, the ITSM CT Tester and ITSM Campaign Coordinator are available for support. This activity can also be triggered by a previously failed test/QA activity.</p>
<div>CT.3.6</div> <div>Start testing towards DG TAXUD CT environment</div>	<p>CT.3.6 Start testing towards DG TAXUD CT environment</p>

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	<p>The NA starts testing towards DG TAXUD's environment according to agreed scripts, procedures and documentation. The Service Desk will open one campaign call per NA. This will be the main call where all issues related to CT can be found. If any issue arises and support is required, CT 3.7 should be invoked by the NA, which asks ITSM Service Desk for opening a Trouble call which will be linked to their already created Service Request. This also applies once the test is carried out and the NA wants the ITSM CT Tester to verify and validate the test results.</p> <p>Note: The request for support and/or test validation can also be going directly to the ITSM Campaign Coordinator which then, on behalf of the NA, opens an action with ITSM Service Desk in their already created SR</p> <p>This is an iterative activity for every test script in case it fails – then it has to be re-tested until the expected solution exists.</p>
<div>CT.3.7</div> <div>Receive and dispatch any request and/or incident</div>	<p>CT.3.7 Receive and dispatch any request and/or incident</p> <p>Note: The details on how to log an incident are not described in this activity since it belongs to the Incident Management (Section 7.4.1.3 WP.8.1.2 Incident Management) and Business Thread Management (Section 7.4.4.1 Business Thread Management) processes.</p> <p>If the NA request support and/or validation, the ITSM Service Desk Operator simply adds an action to the NAs already created SR and dispatch for resolution. However, if it is an incident occurring during testing (e.g. a disk crash), a new incident will be created.</p> <p>As in step CT 3.6, the actual request can come via the ITSM Campaign Coordinator if the NA has gone directly to the Coordinator with their request.</p> <p>The ITSM Campaign Coordinator will closely monitor the requests to ensure a swift and accurate follow-up takes place.</p>
<div>CT.3.8</div> <div>Validate/analyse test results</div>	<p>CT.3.8 Validate/analyse test results</p> <p>Once the test is carried out, the NAs request a validation as per CT 3.6 and the ITSM CT Tester validates the outcome. If the test failed, the next step will be CT 3.9 or CT 3.10 otherwise CT 3.11. If necessary the ITSM CT Tester can request assistance from the Developer as per CT 3.10. This request for assistance will be made as a standard Service Request via ITSM Service Desk, nothing specific for the Conformance Testing except a close follow-up by the ITSM Campaign Coordinator.</p> <p>Whether the test result is successful, failed or blocked they will be reported upon on a daily basis by the ITSM Campaign</p>

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	Coordinator.
CT.3.9 Monitor and provide necessary support to NA	CT.3.9 Monitor and provide necessary support to NA This is an ongoing activity during the mode 2 testing where the ITSM CT Tester monitors the progress and result of the testing activities as well as provides support when required. Any issues noticed must immediately be reported to the ITSM Campaign Coordinator for follow-up.
CT.3.10 Provide necessary support to ITSM Tester	CT.3.10 Provide necessary support to ITSM Tester Upon request from the ITSM CT Tester (or ITSM Campaign Coordinator) the Application Developer must ensure that a responsive and effective support is provided. This is of particular importance at the beginning of a Conformance Testing campaign when the test applications have to mature rapidly without slowing down the pace of the Conformance Testing and without affecting the quality of service delivered to the NAs.
CT.3.11 Document test results (mode 2)	CT.3.11 Document test results (mode 2) After every successful test validation, a report will be written and managed in CT 5.2 Reporting of CT. This report should not be mixed with the daily report generated by the ITSM Campaign Coordinator containing all successful, failed, tests not run and blocked tests plus open/closed requests and incidents.
CT.3.12 Receive NA request and ask Service Desk to create action	CT.3.12 Receive NA request and ask Service Desk to create action Although the normal route for requests should be via the ITSM Service Desk Operator, the NA might raise a request directly via the ITSM Campaign Coordinator. If this occurs, the coordinator needs to contact the ITSM Service Desk Operator and ask for the request (action) to be raised on behalf of the NA.
	<u>CT.4 Execute International CT (mode 3)</u> International Conformance Testing (mode 3): the NA tests its conformance against other voluntary NAs, with the support of XXX if required. This 3 rd test is optional (depending on the business thread and application).
CT.4.1 Agree with another NA to participate in the test	CT.4.1 Agree with another NA to participate in the test Once the mode 2 testing passed, the NA discusses and agrees with one or more NAs to participate in the mode 3 testing. A

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	requirement for participating in the mode 3 testing is of course that their mode 2 test is approved and signed off.
CT.4.2 Ensure DG TAXUD CT environment is ready (incl. CCN)	CT.4.2 Ensure DG TAXUD CT environment is ready (incl. CCN) The ITSM CT Engineer then verifies the availability and fitness of the Conformance Testing environment and configures it as required; in particular configuration of test data to each specific NA. The deployment of the Conformance Testing environment is covered by WP.8.4.3.1.1 "Deployment of applications". The ITSM Engineer also liaises with CCN/TC to ensure the links between DG TAXUD's CT environment, CCN and the NA is established. If the CT Campaign uses the hosted infrastructure environment then this will also be verified.
CT.4.3 Kick Off NAs CT mode 3	CT.4.3 Kick Off NAs CT mode 3 For every NA test mode 3, the ITSM Campaign Coordinator officially kicks off the testing. This to ensure the plans are still adequate, resources available, test scripts available, communication is established etc...
CT.4.4 Coordinate mode 3 with respective NA	CT.4.4 Coordinate mode 3 with respective NA The ITSM Campaign Coordinator continuously monitors and coordinates all mode 3 activities. This is accomplished by monitoring the campaign e-mail inbox, JIRA actions and corresponding ITSM SMT actions, and of course keeping in touch with the roles involved in the testing. The Coordinator also acts as an initial escalation point during the mode 3 testing if any issues should arise.
CT.4.5 Hand-Over test scripts and test data	CT.4.5 Hand-Over test scripts and test data The ITSM CT Tester ensures all valid test scripts, data and/or applications are available and handed over to the NA, as described in the CTO.
CT.4.6 Ensure local environment is ready	CT.4.6 Ensure local environment is ready The NA needs to ensure and verify its environment is ready before actually running any tests. In case of doubt, the ITSM CT Tester and ITSM Campaign Coordinator are available for support. This activity can also be triggered by a previously failed test or QC activity.
CT.4.7 Start testing towards another NA environment	CT.4.7 Start testing towards another NA environment The NA starts testing towards the other(s) NAs environment according to agreed scripts, procedures and documentation. If

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	<p>any issues arise and support is required, CT 4.8 should be invoked by the NA which opens an action with ITSM Service Desk in their already created SR. This also applies once the test is carried out and the NA wants the ITSM CT Tester to verify and validate the test results.</p> <p>Note: The request for support and/or test validation can also be going directly to the ITSM Campaign Coordinator which then, on behalf of the NA, opens an action with ITSM Service Desk in their already created SR.</p> <p>This is an iterative activity for every test script in case it fails – then it has to be re-tested until the expected solution exists.</p>
<div style="border: 1px solid black; padding: 2px; width: fit-content;">CT.4.8</div> <p>Receive and dispatch any request and/or incident</p>	<p>CT.4.8 Receive and dispatch any request and/or incident</p> <p>Note: The details on how to log an incident are not described in this activity since it belongs to the Incident Management (Section 7.4.1.3 WP.8.1.2 - Incident Management) and Business Thread Management (Section 7.4.4.1 Business Thread Management) processes.</p> <p>If the NA request support and/or validation, the ITSM Service Desk Operator simply adds an action to the NAs already created SR and dispatch for resolution. However, if it is an incident occurring during testing (e.g. a disk crash) a new incident will be created.</p> <p>As in CT 4.7, the actual request can come via the ITSM Campaign Coordinator if the NA has gone directly to the Coordinator with their request.</p> <p>The ITSM Campaign Coordinator will closely monitor the requests to ensure a swift and accurate follow-up takes place.</p>
<div style="border: 1px solid black; padding: 2px; width: fit-content;">CT.4.9</div> <p>Validate/analyse test results</p>	<p>CT.4.9 Validate/analyse test results</p> <p>Once the test is carried out the NAs request a validation as per CT 4.7 and the ITSM CT Tester and/or action for ITSM Business Monitoring & Reporting validates the outcome. If the test failed, the next step will be CT 4.10 or CT 4.11 otherwise CT 4.12. If necessary, the ITSM CT Tester can request assistance from the Developer as per CT 4.11. This request for assistance will be made as a standard Service Request via ITSM Service Desk, nothing specific for the Conformance Testing except a close follow-up by the ITSM Campaign Coordinator.</p> <p>Whether the test result is successful, failed or blocked they will be reported upon on a daily basis by the ITSM Campaign Coordinator.</p>

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CT.4.10 Monitor and provide necessary support to NA	CT.4.10 Monitor and provide necessary support to NA This is an ongoing activity during the mode 3 testing where the ITSM CT Tester monitors the progress and result of the testing activities as well as providing support when/if required. Any issues noticed must immediately be reported to the ITSM Campaign Coordinator for follow-up.
CT.4.11 Provide necessary support to ITSM Tester	CT.4.11 Provide necessary support to ITSM Tester Upon request from the ITSM CT Tester (or ITSM Campaign Coordinator), the Developer must ensure that a responsive and effective support is provided. This is of particular importance at the beginning of a Conformance Testing campaign when the test applications have to mature rapidly without slowing down the pace of the Conformance Testing and without affecting the Quality of Service delivered to the NAs.
CT.4.12 Document test results (mode 3)	CT.4.12 Document test results (mode 3) After every successful test validation, a report will be written and managed in CT 5.3 Reporting of CT. This report should not be mixed with the daily report generated by the ITSM Campaign Coordinator containing all successful, failed, tests not run and blocked tests plus open/closed requests and incidents.
CT.4.13 Receive NA request and ask Service Desk to create action	CT.4.13 Receive NA request and ask Service Desk to create action Although the normal process for requests should be via the ITSM Service Desk Operator, the NA might raise a request directly via the ITSM Campaign Coordinator. If this occurs, the ITSM Campaign Coordinator needs to contact the ITSM Service Desk Operator and asks for the request (action) to be raised on behalf of the NA.
	<u>CT.5 Report on CT</u> The ITSM Campaign Coordinator will report on all Conformance Testing activities through the MPR and MSR. Reporting will also take place on a daily basis (with a roll-up), at the end of each NAs CT and at the conclusion of each CT campaign (when testing with all NAs is completed). The exact recipients of the various reports will be agreed upon before the CT Campaign starts.

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CT.5.1 Collect agreed plans and schedules	CT.5.1 Collect agreed plans and schedules <p>After the official Kick Off of the campaign the ITSM Campaign Coordinator picks up all agreed plans and schedules and the Reporting of the Campaign starts. This is an iterative process as plans might change over time during the Campaign.</p>
CT.5.2 Collect all mode 2 Test validation reports and (if any) files	CT.5.2 Collect all mode 2 Test validation reports and (if any) files <p>As the mode 2 tests are validated and approved the results are picked up by the ITSM Campaign Coordinator. If the test results are from a Conformance Testing (not pre-CT), all the reports must go to DG TAXUD A4/CPT (and the Quality contractor) for final validation and approval.</p> <p>If the process and procedures running the tests are not approved by DG TAXUD A4/CPT (represented by the Quality contractor), the testing has to be restarted with activity CT 3.5 or CT 3.6 (depending on the reason for being rejected).</p>
CT.5.3 Collect all mode 3 Test validation reports and (if any) files	CT.5.3 Collect all mode 3 Test validation reports and (if any) files <p>When the mode 3 testing is validated and approved, the results are picked up by the ITSM Campaign Coordinator for reporting.</p>
CT.5.4 Collect all service requests and/or incidents and related actions	CT.5.4 Collect all Service Requests and/or incidents and related actions <p>The ITSM Campaign Coordinator also picks up, on a daily basis, all raised requests and incidents and their current status.</p>
CT.5.5 Compile report	CT.5.5 Compile report <p>Once all reports are approved and compiled they are distributed to Service Level Management (SLM) for inclusion in the MPR/MSR. In MPR, XXX provides an overview per campaign (status at the end of the report per campaign and per NA and MSA)</p> <p>Any changes to the plans during the Campaign will be forwarded to Business Perspective and included in the MCP.</p> <p>The daily report will be distributed directly by the ITSM Campaign Coordinator to agreed recipients, as outlined in the CTO.</p>
CT.5.6 Conduct daily or exit conference call	CT.5.6 Conduct daily or exit conference call <p>Normally there should be a daily conference call between ITSM Campaign Coordinator, the NA under testing and DG TAXUD A4/CPT, with minutes and status report.</p> <p>As a guideline (if nothing else has been requested) this call will</p>

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	<p>only take place if/when any issues needs discussing i.e. on an exception basis.</p> <p>This activity can also be about an exit conference call for every NAs CT.</p>
<div>CT.5.7</div> <div>Compile a final review of the NA CT campaign</div>	<p>CT.5.7 Compile a final review of the NA CT Campaign</p> <p>Once there are no more reports for a specific NA and they have finalised their campaign, a final NA CT Campaign Review Report will be compiled and reported after the exit conference call.</p> <p>This will happen for every NA. Once all NAs has gone through their CT, and been approved, a final CT Campaign Close Out will take place, see step CT 1.11.</p>