



Financial Systems Integration Office

Financial Management Systems for U.S. Government Agencies



Core Financial System Product Qualification Test Policy

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Appendix—Test Activities and Time Frames

Abbreviations

CFOC	Chief Financial Officers Council
FAS	Federal Acquisition Service (GSA)
FFMIA	Federal Financial Management Improvement Act of 1996
FMS	Financial Management Service (Treasury)
FSIO	Financial Systems Integration Office
GSA	General Services Administration
OMB	Office of Management and Budget
Treasury	Department of the Treasury
U.S. SGL	U.S. Standard General Ledger

Foreword

This document specifies the core financial system qualification test policy and procedures that will be followed by the government starting in 2007. This policy replaces the one previously in place, which was last updated in September 2002. The following key policy changes are reflected in the sections indicated, and highlighted in the text with a side bar:

- Eliminates the policy to fully retest qualified products on a 3-year cycle. Certifications issued to qualified software products will continue to be active as long as subsequent full and incremental tests are taken and passed. (Section 4.6.1.1, Passed the Test)
- Revises the criterion for passing the test. Previously, the criterion was successful execution of 100 percent of the test steps. Products must now show they can meet 100 percent of the mandatory requirements tested, as evidenced by successful test step execution. Note that alternate test procedures are still allowed. (Section 4.4.1, FSIO Validates Observed Processing Results)
- Changes the requirement for vendor demonstrations of product functionality. Demonstrations at the start of a test are no longer optional. These demonstrations will be used as part of the first test readiness assessment of the software's ability to meet the current mandatory requirements. These demonstrations also familiarize FSIO testers with the software product, increasing testing efficiency. (Section 4.2.3, FSIO Conducts Setup Interview)
- Requires vendors to demonstrate test readiness and establishes test readiness criteria. Vendors that are determined not ready will be rescheduled. (Section 4.2.4, FSIO Conducts First Readiness Assessment; Section 4.3.4, FSIO Conducts Second Readiness Assessment; Section 4.5.4, FSIO Conducts Retest Readiness Assessment)
- Expands incremental test coverage to include any functional capability of agency interest, supported by an existing mandatory requirement or newly mandated requirement, driven by external agency needs. Previously, only new mandated requirements were tested, such as the Central Contractor Registration. (Section 2.5.2, Incremental Test)
- Adds a policy requiring full testing of version upgrades when version demonstrations are determined by FSIO to be insufficient evidence of continued compliance with all mandatory core financial system requirements. (Section 2.6.3, Timing of a Version Test; Section 4.1.6, FSIO Notifies Vendor of Need to Test)
- Reduces the time from 1 year to 3 months that vendors must wait before applying to retest a nonqualifying product in a full retest. (Section 2.6.5, Timing of a Test of a Nonqualifying Software Product; Section 4.6.6, Vendor Applies to Test New Version after Failure)

- Eliminates the requirement to submit a separate test application for a retest. (Section 4.5.1, FSIO Schedules Retest)
- Changes the term “variance” to “alternate test procedure.” Vendors may request permission to use an alternate test procedure in the execution of a test; FSIO may grant permission under conditions similar to those previously granted as variances. (Section 4.2.1, Vendor Submits Alternate Test Procedure Requests)
- Eliminates the requirement to submit user documentation for software products upon application for testing. Instead, documentation, updated to reflect software changes made to pass the tests, must be submitted within 30 days of notification of successful test results. (Section 4.6.2, Vendor Submits Product Documentation)
- Requires vendors to make the newly qualified software and related documentation available to government customers within 6 months of notification of successful test results. (Section 4.6.4, Vendor Provides Software to the Government)
- Requires vendors to save the configuration used to pass the test and make information about it available at agency request for subsequent demonstration of software functionality as configured for the test. (Chapter 4 Qualifying a Product)
- Changes the timing of vendors’ submissions of assurance statements to be at the time of test application, instead of 2 weeks after notification of a successful test outcome. These assurance statements assert that all of the changes made to a product during the test process will be incorporated into the product version to be named on the certificate and that the product version will be available for agency acquisition. (Section 4.1.1, Vendor Submits Test Application; Section 4.1.2.1, Application Screening Criteria)
- Requires vendors to provide an additional assurance that the software product has been fully tested (e.g., unit test, integration test, regression test). (Section 4.1.1, Vendor Submits Test Application; Section 4.1.2.1, Application Screening Criteria)
- Eliminates the collection and publication of Report Sources information, which documented how each test output report was generated, since most are now produced from third-party report writer tools which are specified in the application.
- Changes the timing for when information is collected on the value-added features provided by tested software products. The information will be posted on the vendors’ websites, with links provided on the FSIO website. (Section 4.6.2, Vendor Submits Product Documentation and Information on Value-Added Features)

This document has been restructured to improve readability. Policies are now organized around the test process.

Chapter 1 Introduction

The Federal Financial Management Improvement Act of 1996 (FFMIA) mandates that agencies implement financial system software that substantially complies with the following:

- Federal Accounting Standards Advisory Board statements of Federal financial accounting concepts and standards
- Established government-wide system requirements
- U.S. Standard General Ledger (U.S. SGL) at the transaction level.

Office of Management and Budget (OMB) Circular A-127, *Financial Management Systems*, mandates that Federal agencies acquire only financial system software and services that comply with *Core Financial System Requirements*. The requirements, composed and published by the Financial Systems Integration Office (FSIO), are the established government-wide system requirements referred to in the FFMIA.

Circular A-127 further assigns responsibility for requirements compliance testing to the Chief Financial Officers Council (CFOC). Actual product testing is carried out on behalf of the CFOC by FSIO.

FSIO develops policy for and manages the core financial system qualification process. As part of the process, FSIO develops and administers a qualification test to prospective vendors. FSIO is also responsible for publications that document core financial system functional and technical requirements.

Final determination that a product fully complies with established government-wide requirements is made by the FSIO Executive. This determination is based solely on the results of the formal software testing program administered by the FSIO staff.

1.1 PURPOSE OF THIS DOCUMENT

This document specifies the FSIO qualification test policies and practices. The policies govern how FSIO tests the products offered by commercial vendors. Detailed information about each test, such as schedule, scope, and requirements to be tested, is provided in the test plan specific to that test.

1.2 AUDIENCE

The audience for this document includes two primary parties:

- *Federal agencies*, on whose behalf the test policy is established and the testing is conducted by FSIO

- *Commercial vendors*, who are required to adhere to these policies in order to obtain and maintain certification of their core financial system software products.

1.3 SUPPLEMENTAL TESTING MATERIALS

This test policy applies to other FSIO testing materials mentioned in this policy and published separately on the FSIO website (<http://www.fsio.gov>). These materials include the

- test application,
- test plans,
- format for alternate test procedure requests, and
- format for test questions.

1.4 DOCUMENT ORGANIZATION

The remainder of this document is organized in sections that further describe qualification testing. The major sections are as follows:

- Overview of qualification testing
- Developing a qualification test
- Qualifying a product, including conducting the test, evaluating the results, and publishing the resulting certifications.

Chapter 2 Overview of Qualification Testing

FSIO tests commercially available core financial system software products to certify them for federal acquisition. FSIO testing is designed to generate objective evidence that core financial system products comply with mandatory government-wide core financial system requirements.

The objective of this testing program is to enable agencies to acquire new commercial core financial systems with the assurance that selected products can be configured to handle common federal accounting, reporting, and electronic business transactions. This reduces the risk that agencies will acquire noncompliant or otherwise ineffective core financial system software.

Other testing objectives include the following:

- Promote consistency of core financial systems across the government. It identifies and requires a set of functional core financial system requirements used by all stakeholders. The testing process is designed to be comprehensive (incorporating all mandatory requirements), traceable to core requirements, and transparent.
- Clarify requirements and provide examples to help agencies and vendors understand published requirements and deliver better solutions.
- Reduce the need for agencies to independently develop a test for common core financial system requirements, allowing them to focus on their own unique requirements. Agencies can reuse the test for software implemented in their specific environment.
- Incrementally test commercial off-the-shelf software products over time. This helps ensure that the software offerings are adapted to meet new requirements as quickly as possible, with minimal cost to the government.

FSIO serves as a focal point to leverage federal resources in the test of core financial systems for the benefit of all agencies.

2.1 SCOPE OF QUALIFICATION TESTING

FSIO tests compliance with requirements published in *Core Financial System Requirements*, as supplemented by incremental test requirements. The test includes only functional capabilities; FSIO-administered tests do not address performance or product suitability for use at a specific agency.

2.2 LIMITATIONS OF QUALIFICATION TESTING

The qualification test process is the entry point to the Federal financial management system market for commercially available software products. Though the test comprehensively checks for compliance with core financial system requirements, it does not address a number of other important factors in the selection of core financial system software. The qualification test does not:

- Assess whether a product is suitable for a specific agency's operating environment. Agencies differ dramatically in size, budgetary resources, and business practices. An agency may have unique agency-specific requirements in addition to the core financial system requirements.
- Assess the product's ease of use. Each product, while meeting the mandatory FSIO core financial system requirements, has its own strengths and weaknesses, such as number of screens accessed to complete a transaction and "user friendliness," which may impact ultimate success in day-to-day operation at a specific agency.
- Assess the product's computing performance. Performance depends on such things as compatibility with the enterprise architecture, response time, and transaction throughput capacity, which can be especially important when an agency has large volumes of transaction data.
- Ensure that delivered products are installed and configured appropriately for an agency's operating environment. Although each vendor configures its product to pass the qualification test, this configuration is not necessarily the same one an agency uses. It is the agency's responsibility to test the product as implemented. An improperly configured system has the potential to give noncompliant test results.

2.3 RELATIONSHIP TO AGENCY PROCUREMENT ACTIVITIES

Qualification testing is independent of any agency procurement process. FSIO certifies only that a named product has passed all FSIO-required qualification tests. It is the vendor's responsibility to maintain this certification for products offered to agencies over time. It is the acquiring agency's responsibility to confirm that certifications of proposed products are in good standing.¹

FSIO recognizes that agency contracts or orders for core financial system products may require the successful bidder to submit a FSIO-issued certificate as evidence of qualification. Vendors are responsible for ensuring that the name and version of the

¹ Section 39.101(c) of the Federal Acquisition Regulation requires agencies to acquire core financial management software that has been certified.

software product tested, and for which a certificate of compliance is issued, are consistent with the name and version identified in contract vehicles.

A complete list of all product certifications can be found on the FSIO website. The requirements that form the basis of testing, the test materials, and the results of the FSIO testing process are also posted on this website. FSIO notifies the GSA's Federal Acquisition Service (FAS) of any changes to the list of product certifications.

2.4 THE FSIO TEST TEAM

The FSIO staff directs the test team. Team members may consist of either government employees (including FSIO personnel) or qualified contract support personnel. The government takes reasonable steps to prevent contract support personnel conflicts of interest and to safeguard vendor proprietary information. The team works under the direction of FSIO and a FSIO-designated on-site representative. The team members make observations, gather information, and advise the FSIO on-site team leader.

The team members interact with software vendor personnel for routine planning and testing activities. The FSIO on-site representative resolves issues after consultation with the vendor's designated senior representative.

To make the test more operational/effective, other stakeholders are involved when appropriate. As an example, the Department of the Treasury (Treasury) Financial Management Service (FMS) has assisted with testing interface files to determine their accuracy.

2.5 TEST TYPES

FSIO uses three types of qualification tests to qualify new products and to enable vendors to maintain their product certifications over time:

- Full test
- Incremental test
- Version test.

When a product does not pass a full or incremental test on the first try, the product may be retested if FSIO determines that it is eligible for retesting (that is, if the product passes at least 90 percent of the tested requirements on the first attempt).

2.5.1 Full Test

Full testing is used by FSIO to qualify new products and to retest qualified products after significant requirement updates. A full test allows FSIO to determine product compliance with mandatory requirements in all functional areas as published in the

current *Core Financial System Requirements* and related FSIO-issued supplements. The functional areas are as follows:

- System management
- General ledger management
- Budgetary resource management
- Payment management
- Receivable management
- Fund Balance with Treasury management
- Cost management.

2.5.2 Incremental Test

FSIO uses an incremental testing process to assess product compliance with new requirements as they are issued. In planning an incremental test, FSIO may incorporate new central-agency-mandated requirements and any other mandatory requirements for which expanded testing is desired based on input from agencies.

All certified products are subject to ongoing incremental testing in order to maintain their qualification.

2.5.3 Version Test

Version testing is used by FSIO to qualify new versions of qualified products as they are released (issued) by the vendor. A version test allows FSIO to assess product changes for potential impacts on previously certified product functionality. New product versions will continue to be evaluated prior to their release and may be subject to full testing at FSIO's option.

2.6 TIMING OF THE TEST

The timing of each test type is triggered by differing events, as described below. Appendix A contains the time frames for developing the test and qualifying software.

2.6.1 Timing of a Full Test

The need for a full test of qualified software products is communicated based on the publication of substantial requirement changes. FSIO gives advance notice of testing when draft requirement updates are issued for comment. Vendors are encouraged to begin making software changes based on the draft requirements to maximize the time available to prepare for the test. Formal notice of a full test may be given at any time after the final requirements are published.

The vendor is responsible for product engineering and for the timing of new product introductions. Before offering a new product to a Federal agency, the vendor must apply for and successfully complete the full test process.

A full test, including any retest, must be completed within 12 months of submitting the test application.

2.6.2 Timing of an Incremental Test

When FSIO determines that an incremental test is in the best interest of the government, FSIO drafts any new requirements and requirement revisions that are needed to describe the required functionality. The vendor is responsible for updating its products to comply with all new mandatory requirements. Vendors are encouraged to begin making software changes based on the draft requirements to maximize the time available to prepare for the test. Considering comments received on the draft requirements, FSIO updates the requirements and issues them in final form. FSIO then issues a notice of intent to conduct an incremental test. Following this announcement, FSIO develops an incremental test plan and the test materials that will accompany the plan.

An incremental test, including any retest, must be completed within 6 months of submitting the test application.

2.6.3 Timing of a Version Test

Vendors are responsible for defining the mechanism and timing for releasing new product versions. Whenever a vendor makes changes that result in a uniquely identified version of a qualified product (e.g., v8.3) that can be acquired by an agency, either through a maintenance upgrade process or as a new product installation, the vendor must apply for a version test.

Upon receipt of a version test application, FSIO will review the information provided and the release notes related to the version update. If more information is needed, FSIO will request a product demonstration. FSIO may qualify the new version based on a review of the release notes alone or after the additional product demonstration. If the changes to a software product are extensive, the vendor may be required to apply for a full test.

2.6.4 Timing of a Retest

Upon completion of the validation of test results for full and incremental tests, FSIO will notify the vendor if a retest is needed to complete a test. The notification will include a list of requirements to be tested. Retests are to be scheduled within 30 calendar days of receipt of notice from FSIO.

2.6.5 Timing of a Test of a Nonqualifying Software Product

Vendors must wait a minimum of 3 months after notification of unsuccessful test results before applying for a new test of a nonqualifying software product.

2.7 DURATION OF THE TEST

Time frames for vendor completion of each test process, from test application through any required retest, are specified in Appendix A. Time frames for vendor completion of unobserved and observed processing are specified in the individual test plans published by FSIO. The start of a full test is defined as the start of the execution of unobserved test steps. The time frames allowed for test execution are determined by FSIO for each test version. The test plans contain specifics on test phases and applicable test execution time frames.

Chapter 3 Developing a Qualification Test

The FSIO testing program starts with agency outreach to identify or update core financial system requirements and ends with formal system testing of commercial software products.

3.1 AGENCY OUTREACH

Agencies are integral to the success of the testing process. Common agency needs drive the requirements identification process on the front end. Agency representatives help establish test development priorities and are the primary audience for published test results.

To help agencies stay engaged in the testing process, FSIO actively solicits their input using a variety of special study groups, topical workshops, open houses, surveys and key personnel interviews. The resulting reports, requirements, and other testing-related materials are published by FSIO.

3.2 REQUIREMENTS IDENTIFICATION

Federal financial managers rely on FSIO-published requirements as the official reference describing the essential characteristics of their automated systems. Auditors of federal financial management systems rely on these requirements as their official reference for required core financial system functionality, and vendors rely on them to help them understand agency-processing needs, enabling them to develop improved system solutions.

FSIO publishes new and revised requirements before the test date to allow enough time for software vendors to update products to perform newly required functions. The basic process followed by FSIO to update a requirements document has three steps: (1) assemble a draft set of updated requirements, (2) distribute a draft to stakeholders for comment, and (3) publish resulting requirements in a final form as approved by the CFOC. New and revised requirements for incremental tests are published either as new editions of *Core Financial System Requirements* or supplemental updates.

3.3 TEST DEVELOPMENT

FSIO translates mandatory functional requirements into a series of test steps that are suitable for execution in a wide variety of operating environments. The goal is to develop a test that provides the government with an unimpeachable basis for determining whether a product is qualified for federal government use.

For each test, FSIO publishes a test plan, which contains instructions on how to execute the test. The test materials, including setup data, test scripts, and expected results, are published as appendixes to the test plan and are posted on the FSIO website.

The test script contains test cases, each composed of several test steps, based on the mandatory requirements. One or more test steps may be needed to test each mandatory requirement.

The test is organized by accounting cycles, and includes a complete set of expected results, including financial statements, transaction registers, trial balances, and Treasury e-commerce files. Agencies and vendors are invited to review the draft test materials before they are finalized.

Chapter 4 Qualifying a Product

Qualification testing starts with a vendor application that identifies the subject product. The process typically ends with the issuance of a certificate of qualification. Vendors set up for and execute the test; FSIO observes the test and reviews the actual results against expected results.

In taking a test, vendors must configure their products to meet core financial system requirements, enter the data, and generate the results. Vendors provide the computing facilities and the software subject to qualification.

To conserve government resources on products that lack functionality, FSIO assesses test readiness at key points in the process and requires a threshold for passing the initial test. A product is not certified unless it meets 100% of the requirements. Vendors are initially required to pass at least 90 percent of the requirements tested. The software is then given a chance to retest the 10% of failed requirements that will qualify it for certification. Software is considered to be nonqualifying if it fails to meet more than 10 percent of the tested requirements. If this threshold is not met, vendors must invest in further development before proceeding with a test.

Product specifics (vendor name, software name, version number) for all software products that passed the test are posted on the FSIO website. Vendors are required to save the configuration used to pass the test and make information about it available at agency request for subsequent demonstration of software functionality as configured for the test.

Execution of the test includes the following processes:

- Applying for the test
- Exchanging pretest information
- Conducting the test
- Grading the test
- Conducting a retest
- Performing posttest activities.

The activities and related policies for each process are described below.

4.1 APPLYING FOR THE TEST

This section explains the purpose, uses, and processes associated with applying for the core financial system qualification test. The actual test application with instructions is published separately on the FSIO website. The application form should be used for all tests.

4.1.1 Vendor Submits Test Application

The qualification test and resulting certificate of compliance pertain to a specific software product version (and not to a vendor). Software vendors applying for the test must designate the software product name and version in the application.

The application also provides the following information:

- Administrative information used to schedule and conduct the test
- Information for screening applications
- Vendor assurance of the software's capability to meet mandatory requirements
- Vendor assurance that the software has been fully tested (e.g., unit test, integration test, regression test)
- Vendor assurance that all of the changes made to a product during the test process will be incorporated into the product version named on the certificate and that the product version will be available for agency acquisition.

When software changes have been made beyond those needed for an incremental test, the vendor must submit separate applications for the version and incremental tests. This will allow FSIO to evaluate the changes separately. The version test will be conducted separately and before the incremental test.

Applications for full tests of new software products and for version tests of new software versions may be submitted at any time. Applications for full and incremental tests of previously qualified software products must be submitted within 30 calendar days of the publication of final test materials.

4.1.2 FSIO Notifies Vendor of Application Acceptance or Rejection

Upon receipt, FSIO reviews each application for completeness. If additional information is needed, FSIO will contact the vendor.

FSIO also reviews the application in accordance with the screening criteria described above. Within 30 calendar days of receipt of the application or of additional information, whichever is later, FSIO will notify the vendor whether the application has been accepted or rejected.

4.1.2.1 Application Screening Criteria

FSIO uses portions of the application to assess the capability of the applicant software and determines with reasonable assurance that it is potentially capable of satisfying the FSIO requirements. These portions include the following:

1. *Mandatory requirements assurance.* The vendor asserts that the candidate software can meet each mandatory requirement. The vendor's software is required to meet 100 percent of the mandatory requirements, whether or not FSIO actually tests that the software meets the requirement.
2. *Testing assurance.* The vendor must provide a written assurance that the software product has been fully tested (e.g., unit test, integration test, regression test).
3. *Updated software assurance.* The vendor must provide a written assurance to FSIO that all changes (e.g., fixes) made to a product during the test process will be incorporated into the product version named on the certificate and that the product version will be available for agency acquisition.
4. *References.* FSIO uses the references as supplementary information to help determine whether the candidate system software has the capability to pass the test. Lack of references does not prejudice consideration of an application. FSIO may contact the references as part of the evaluation.
5. *Release notes.* As part of a version or incremental test application, the vendor is required to fully disclose all material changes made to previously qualified products (e.g., release notes).

4.1.2.2 Acceptance of Application

If the application is accepted, FSIO states this event in writing and schedules a mutually acceptable test period with the applicant.

4.1.2.3 Rejection of Application

Applications for software testing may be rejected for one or more of the following reasons:

- Failure to attest that the software product meets all mandatory requirements
- Failure to complete the application in accordance with the instructions in this document and those on the application
- Provision of inaccurate or false information²
- Absence of an officer's signature on the application.

² For example, FSIO may observe during testing that a module or software product other than that listed in the application was used to pass the test.

FSIO will notify the vendor, in writing, of the reason for an application's rejection and will return the application.

A vendor whose application is rejected by FSIO may reapply at any time. A vendor resubmitting an application must complete all parts. The vendor should attach a letter to the resubmitted application describing the actions taken to correct the issues that resulted in the previous rejection.

4.1.3 FSIO Reviews Release Notes

For version or incremental test applications, FSIO will review the release notes to assess the extent to which new functional capabilities have been added and previous functionality has been affected.

4.1.4 Vendor Provides Version Demonstration

For version test applications, FSIO may request a version demonstration (prior to qualification testing) as further evidence that the product can perform the functions needed to generally satisfy mandatory core financial system requirements. When requested, version demonstrations are to be scripted by the vendor. Version demonstrations *do not* take the place of the test.

4.1.5 FSIO Evaluates Version Demonstration

For version test applications, FSIO may qualify the new version based on a review of the release notes alone or after the additional version demonstration. If the changes to a software product are extensive, the vendor may be required to apply for a full test. FSIO reserves the right to make the final determination in this matter.

4.1.6 FSIO Notifies Vendor of Need to Test

For version test applications, if FSIO determines that the new software version does not require testing, it will issue a certificate for the new version. FSIO will replace the certified version number on its website with the latest certified version.

Full testing of version upgrades is required when the product demonstration does not provide sufficient proof that the software meets all the mandatory core financial system requirements tested. If FSIO determines that the new version requires testing, the vendor will be required to take a full test to qualify the new software version.

4.1.7 FSIO Schedules Observed Testing

FSIO will schedule the observed test based on the dates requested by the vendor, or at FSIO's earliest convenience. The scheduled date for observed testing is subject to successful completion of the readiness assessments (as described in the Conducting the Test process). Unobserved testing typically occurs before observed testing.

4.2 EXCHANGING PRETEST INFORMATION

The vendor and FSIO will exchange information before the test is conducted. FSIO will provide the vendors with the test materials discussed below:

- *Test plan.* Test plans contain live testing procedures for each subject test. Test plan appendixes are used to deliver setup data, test scripts, and expected outputs.
- *Requirements trace matrix.* The requirements trace matrix is a report that presents the linkage between test steps and the core financial system requirements.
- *Vendor test question format.* Once the test has been scheduled, FSIO will work with the vendor to resolve any questions the vendor may have on the test materials. It is the vendor's responsibility to understand the mandatory requirements and the test steps. FSIO will not advise the vendor on how to operate the software to obtain the desired results. However, before the test, FSIO will answer reasonable vendor questions about the test execution. The standard format that vendors must use in submitting test questions is provided on the FSIO website.
- *Alternate test procedure request format.* FSIO will consider requests for exceptions to the test scripts individually, reviewing the proposed alternative and seeking clarification from the vendor, if necessary. The revised test script processing must be adequate for FSIO to perform regression testing necessary to ensure that the changes do not affect the integrity of the FSIO qualification test. FSIO will respond in writing to the vendor's request for use of the alternate test procedure prior to the test setup interview. The standard format that vendors must use in requesting an alternate test procedure is provided on the FSIO website.

4.2.1 Vendor Submits Alternate Test Procedure Requests

To maintain the integrity of the test process and ensure that the expected results are achieved, the vendor is not allowed to combine, separate, resequence, skip, or modify individual test steps, posting effects, or other expected results without prior consent. If a tested core financial system cannot process a step as specified, the vendor must request an alternate test procedure. Alternate test procedure requests identify the affected steps, the execution problem, and proposed alternative. A single request can cover multiple steps, if the execution problem is exactly repeated. In this case, the vendor would make a single alternate test procedure request but is obligated to itemize all steps to which the alternate test procedure applies. Table 1 contains types of alternate test procedures and guidelines for how FSIO will view the proposal.

Table 1. Alternate Test Procedure Types

Type of alternate procedure	Guideline
<i>Setup.</i> An alternate setup procedure occurs when the vendor uses different configuration or assumption data than what were provided in the test plan.	Minor setup differences that can be directly cross-walked to expected results are generally allowed. The use of account code suffixes to establish subaccounts would be considered an acceptable alternate provided these subaccounts roll up as intended and are not used for other unexpected posting results. Wholesale substitutions of specified fund codes, object classes, U.S. SGL accounts, programs, and projects are not permitted.
<i>Posting.</i> An alternate posting procedure occurs when a subject product is designed to post transactions in a manner different from the posting model specified by FSIO. (The test rules governing the use of alternate document numbers to reference U.S. SGL posting results are not considered an alternate procedure.)	If the core financial system can be configured to use the prescribed posting rules, FSIO expects it to be tested that way (without an alternate procedure). An alternative posting model may be allowed, if the net effect of the alternative model matches the specified result. The use of journal vouchers to accomplish posting results is prohibited.
<i>Execution.</i> An alternate execution procedure occurs when a tested product completes a test step using multiple, separately initiated documents or batch processes.	Alternate execution procedures may be acceptable if their initiation is automatic or system controlled, they achieve the expected results, and they do not cause a misstatement of funds availability (real-time) or period-end financial position.
<i>Function.</i> An alternate functional procedure occurs when a tested product was not designed to support a stated requirement (e.g., produce a report, produce a query result, or perform process control).	All tested functionality is considered mandatory.
<i>Reporting.</i> An alternate reporting procedure occurs when a product does not generate a required output report, query result, or transaction file according to form and content rules cited in the test step.	Treasury- and OMB-defined formats cannot be changed. When the test is based on an example format, alternate procedures may be approved provided all requested information is presented comprehensively.
<i>Process.</i> An alternate process procedure occurs when the way a product handles a multistep test case differs from the test-specified approach (e.g., starting balances, year-end closing, application programming interface, cost distribution).	FSIO expects differences in the way a core financial system handles complex posting processes. The basis for allowing an alternate process is whether the intended result is achieved and whether the end-to-end process is automatic.

If the vendor proposes using an alternate posting model, a deviation from the test script, or alternate document numbering for any test step or accounting event (alternate test procedure), the vendor must request permission from FSIO before the test. The alternate test procedure request format available on the FSIO website must be used for this purpose. Alternate test procedures are subject to FSIO evaluation and approval. All alternate test procedure requests must be submitted at least 1 week before the test setup interview.

Vendors who wish to use an alternate test procedure must do the following:

- Explain why the alternate test procedure is needed, and what the benefit is to the government.
- Specify the alternate document numbering, alternate processing, and detailed ledger postings associated with each affected test step, as applicable.
- Provide all changes to the test materials that result from use of the alternate test procedure, including those to the setup data, test scripts, expected results, system queries, and reports. If the vendor uses an alternate document numbering system or an alternate general ledger posting model, it is the vendor's responsibility to provide a cross-walk from the test script and expected results, respectively, to the corresponding vendor's system information.

Requests will be reviewed case-by-case for their impact on the test and for conformance with the underlying requirements being tested. Allowed alternate test procedures will be confirmed during the setup interview and used during the test to qualify test results. Additional alternate test procedures and revisions to approved alternate test procedures may be requested during the test to document processing observed by FSIO.

FSIO's prior review of these exceptions should not be construed as determination of the outcome of the execution of the related test steps. All test step scoring will occur based on the execution of the test steps themselves during and after the test, to ensure that the alternative processing still meets the applicable FSIO requirements.

FSIO reserves the right to publish descriptions of all alternate test procedures used by the vendor to pass the test.

4.2.2 Vendor Conducts Setup and Other Pretest Activities

The vendor is responsible for reviewing all test steps, establishing a test environment, loading FSIO-prescribed setup data, and recording transactions necessary to establish any beginning balances. Vendors are required to provide FSIO with the test materials listed below:

- *Vendor test participants list.* Vendors must submit a list of all employees, contractors, and consultants assisting or present during the test, including those who may be at another location. For each person, the list must include name, system user identification, company affiliation, title, and role (even if an observer) during the test. The vendor will provide this at the test setup interview session, and will update it when the test is executed, including any re-test.
- *Test questions.* Vendors may submit questions on the test materials for clarification by FSIO. The test question format provided on the FSIO website must be used for this purpose. All questions on the test materials must be submitted prior to the setup interview.

- *Table configuration.* Requests for information related to the configuration of tables will be provided in the test plan.

See the Appendix for related time frames.

4.2.3 FSIO Conducts Setup Interview

During the test setup interview, the FSIO test team will do the following:

- Verify that the vendor's system and architecture conform to the description provided in the application, noting any differences.
- Verify the software product name and version.
- As part of the test application, confirm the required application software and the required infrastructure to be used during the test (as attested to by the vendor in the application), including all applicable modules and any third-party software products.
- Validate that complete and accurate setup data and beginning balances have been established in the vendor's test environment, on the basis of reports provided by the vendor. Any missing or incorrect data must be corrected before unobserved test execution can begin. FSIO recognizes that the setup information provided might be incomplete in terms of all the information required to configure each software product. The vendor is responsible for assessing the test scripts to determine the optimal configuration needed to process the indicated transactions and to produce the expected results.
- Confirm the information that the vendor supplied earlier, such as approved alternate test procedures, hardware components, and system table configuration. (During the test, FSIO will compare this information to observed system operation and request vendor updates, as appropriate.)
- Observe a demonstration of the software by the vendor, for further evidence that operational system software exists and can perform the functions that satisfy mandatory core financial system requirements. This demonstration will also familiarize FSIO with the operation of the software and thus facilitate efficient use of testing time. Software demonstrations are to be scripted by the vendor.

The vendor scripts the demonstration using the site, architecture, and platform of its choosing. To show the operational system, the vendor should script the demonstration to display the software's ability to accomplish several mandatory requirements such as the software's ability to meet the funds control requirements. To familiarize FSIO with the system, the vendor should also demonstrate user interaction with the application, data input screens, system configuration, maintenance and setup, security, and reporting capabilities. FSIO realizes that the demonstration is time constrained and not comprehensive.

This demonstration of software capability *does not* take the place of a qualification test.

4.2.4 FSIO Conducts First Readiness Assessment

At this point, FSIO also performs the first of two test readiness assessments based on the information collected at the setup interview and observations during the software demonstration. Test readiness criteria are published as part of the test materials for each test. Readiness assessments are conducted to evaluate whether the vendor is prepared to start the test and to successfully meet at least 90 percent of the tested requirements on the first attempt. Vendors that are determined to not be ready will be rescheduled, at which time test readiness will be reevaluated.

4.3 CONDUCTING THE TEST

FSIO will conduct the test at a vendor-provided site and location using vendor-provided hardware and software at a time scheduled by the vendor and FSIO. The vendor is expected to provide the test team with workspace to accommodate a team of up to four people. The office space should provide privacy and allow the test team adequate table or desk space to set up computers and review documents. A high-speed Internet connection and a printer should also be provided for use by the FSIO test team.

The test plan is a separate document that provides specifics about the conduct and execution of the test. FSIO will provide data for the test in the form of appendixes to the test plans. The vendor is responsible for data entry into the system as well as its total operation.

The vendor is responsible for determining how to meet the expected results, in accordance with the published mandatory requirements, and for executing each of the test steps. During the test, the test team will note the processing of each mandatory test step, but completion of processing of the test step does not imply that the vendor has passed that step.

FSIO is the final authority on the interpretation of all aspects of the test, including mandatory requirements, the test application, the test policy, the test plan, and all related test products.

FSIO is under no obligation to immediately notify the vendor that a requirement has not been met during the execution of the test. If the test team discovers, after the processing of a test step is completed, that the expected result has not been achieved, the test team may notify the vendor during the test that the test step was improperly executed. This information is provided to the vendor to help the vendor avoid failed requirements in subsequent steps.

4.3.1 General Test Requirements

Vendors are required to meet certain general requirements in the conduct of the test:

- Do not use journal vouchers
- Provide access log

- Produce and provide report outputs immediately
- Execute test steps to demonstrate compliance with requirements.

These requirements are described further in the sections below.

4.3.1.1 Journal Vouchers

FSIO expects that the software will meet expected results through standard system processing, without the use of journal vouchers.

4.3.1.2 Access Log

The test period is defined as the time period from the vendor's initial system setup through test completion, including any retest. As part of the setup interview session, the vendor is required to identify all people who will have access to the test environment, including their applicable system identification. For purposes of the test, these people will be called "test participants"; substitutions can be made after the vendor notifies FSIO.

Only authorized individuals are allowed to access the application, including its database and configuration parameters, for the duration of the test period. The vendor will execute necessary programs to produce an automatic log of all system access and activity during the test period in a manner consistent with the core requirements.

4.3.1.3 Report Production

During the observed processing phases of the test, when a report or query is required to be produced, the vendor must deliver all specified outputs immediately, directly to FSIO. The vendor may then choose to validate the output before FSIO evaluates it for compliance with the tested requirements. If a second report is run by the vendor, FSIO will verify that any differences between the first and second reports are the same as those found by the vendor. The vendor is prohibited from prescreening or changing queries or reports prior to FSIO receiving them. FSIO reserves the right to request additional queries or reports at any time during the test.

4.3.1.4 Test Step Execution

While FSIO will hold harmless the vendor for correction of simple mistakes, such as keying errors, once a test step has been executed, the result achieved is the basis for FSIO evaluation and scoring. Unless FSIO determines that the vendor made a simple mistake, results not in conformance with that expected count as an executed test step. FSIO will make the official pass/fail decision for the associated requirements based on the test observations and the posttest detailed evaluation of results.

4.3.2 Vendor Completes Unobserved Processing

Unobserved processing involves test steps that are not subject to FSIO observation (i.e., unobserved testing) but are still subject to FSIO evaluation against expected

results. The time frames allowed for test execution are determined by FSIO for each test version. Applicable test execution time frames are published in the test plan.

During the unobserved processing portion of the test, FSIO is usually not present at the vendor site, but is available to respond to questions regarding the test and how to proceed if the vendor experiences problems or perceived test step failures.

Unobserved processing often consists of multiple cycles, corresponding to accounting periods. Each cycle comprises test steps in which financial transactions, queries, and reports are processed by the vendor.

Unobserved processing ends either at the end of the days allowed for in the test plan or when the vendor has executed the last test step, whichever is earlier. When the test steps are completed, the unobserved processing portion of the test is finished, even if the days allowed for the test have not expired.

4.3.3 FSIO Validates Unobserved Processing Results

As each cycle is completed, the vendor submits the test step results to FSIO for validation against the expected results. These results include the reports, query results, screen prints, and other data specified by FSIO in the test script. The expected results for cycle end reports, such as trial balances and transaction registers, are published separately by FSIO. Other expected results are specified in the individual test steps. Discrepancies between the vendor's general ledger results and FSIO's expected results, other than those allowed by approved alternate test procedures, are to be resolved before the vendor begins unobserved processing for the next cycle.

4.3.4 FSIO Conducts Second Readiness Assessment

Before starting observed testing, FSIO will conduct the second of two test readiness assessments. Based on the results of the unobserved testing, FSIO will determine whether the vendor is ready to proceed with the test. Vendors that are determined to not be ready will be rescheduled. The vendor's readiness to start observed testing will be reassessed at the start of the rescheduled test.

4.3.5 Vendor Starts Observed Processing

Observed testing involves test steps that are subject to FSIO observation. The time frames allowed for test execution are determined by FSIO for each test. Applicable test execution time frames are published in the test plan.

FSIO observes the entering of the observed transaction processing test steps and receives the expected results at the end of each cycle.

In addition to scripted test steps, FSIO may use the following approaches in conducting the observed portion of the test:

- Use of changed data in test cases
- Reserved transaction processing

- Test restart.

These approaches are described further in the sections that follow.

4.3.5.1 Use of Changed Data in Test Cases

FSIO will use the test steps as published in the FSIO website. The vendor's core financial system software is expected to produce results that match the expected results as published in the FSIO website. However, either prior to or during the test, the government reserves the right to change data values (such as fund codes, object classes, general ledger accounts, posting model, document numbers or amounts) from those published, and expects that results produced by the vendor's software will change appropriately. (For example, if a payee name is changed from Jones to Smith or a general ledger account code is changed, the system should reflect the accurate information based on the latest available test data.)

4.3.5.2 Reserved Transaction Processing

At FSIO's discretion, one cycle of the test will be designated for reserved transaction processing. At the beginning of this cycle, FSIO will provide the vendor with additional test scripts to process. These scripts will be similar to those the vendor has already processed, but with different document numbers and data values. The vendor will perform a system backup, produce selected queries or reports, enter the test scripts, and provide further queries or reports. FSIO will evaluate the results as part of the overall scoring of the test.

If this cycle occurs mid-test, vendors will restore the system to the backup before continuing regular processing. This way, the cumulative expected results (e.g., general ledger reports and document balances) will not be affected.

4.3.5.3 Test Restart

If a test step is improperly executed, or if the test must be halted for any reason, FSIO will coordinate with the vendor to determine at what point in the test execution process that the test may resume. However, FSIO reserves the right to resume the test at a test step different from the one in which the test was stopped, including at a "system backup" step as specified in the test plan. The vendor may propose a different starting point than that requested by FSIO because of the application's programming logic. However, the vendor must explain why the different starting point is needed. The decision on whether to accept the proposal will be made by FSIO. FSIO may also request that the vendor produce system reports to verify the condition of the data at the point where execution was halted.

4.3.6 Vendor Completes Observed Processing

Observed processing ends either at the end of the days allowed for in the test plan or when the vendor has executed the last test step, whichever is earlier. When the test steps are completed, the observed processing portion of the test is finished, even if the days allowed for the test have not expired.

The execution of test will end when (1) all test steps have been executed and the required outputs are delivered to FSIO, or (2) the maximum time frame allowed for test step execution is reached, whichever is earlier. FSIO will not accept test results generated after test execution ends.

4.4 GRADING THE TEST

Once the vendor has executed all test steps and delivered all outputs specified in the test plan, FSIO will validate the results and will determine a pass/fail outcome by tested requirement. FSIO will also notify the vendor of the need to retest specific functionality, if the software has not passed one or more of the mandatory requirements tested.

4.4.1 FSIO Validates Observed Processing Results

Each mandatory requirement will be graded as either pass or fail, as evidenced by successful test step execution. The software passes the test when the software passes every mandatory requirement tested. During the test, FSIO does not formally acknowledge whether or not the software actually passed the requirement. Complete evaluation of test step results requires detailed examination of general ledger effects, subsidiary records, external file processing (such as payment files by Treasury), and other test outputs such as reports and queries. After the completion of the test, the FSIO test team performs this thorough evaluation, which may take a considerable amount of time (sometimes in excess of 30 days). Without exception, the test team will make the final pass/fail determination for each requirement based on its posttest detailed examination of results.

During the evaluation period, FSIO may need clarification of test results. As appropriate, FSIO will contact the vendor's team lead to present any questions for resolution.

During the evaluation period, the vendor should ensure that the operating environment, including software, hardware, and data, is isolated and not modified or updated. This will allow the vendor and FSIO to check the system when there are questions about test results and also provide the appropriate environment to retest any test steps.

Tested products are required to meet 100 percent of the mandatory core financial system requirements, whether or not FSIO actually tests that the product meets the requirement.

4.4.1.1 Grading Full and Incremental Tests

During the test, FSIO will not direct the vendor's proposed method to meet a test step but may provide feedback for consideration by the vendor. All final pass/fail determinations will be made solely on the results of the execution of the test steps and the results produced, as reviewed during FSIO's posttest examination of results. Information provided by FSIO to the vendor either prior to or during the test may not be construed as determination of the outcome of the execution of the related test steps.

To pass a full test and receive a certificate of compliance, or to pass an incremental test and maintain the certificate, the tested product must pass 100 percent of the mandatory requirements tested. If the product does not pass the test, FSIO will issue a notice to the vendor indicating the percentage of requirements that were successfully met.

If the product passes at least 90 percent of the tested requirements on the first attempt, it is eligible for a one-time retest. Retesting generally involves reexecuting selected portions of the test. Refer to the section on conducting a retest for further information on this test process.

If the product passes less than 90 percent of the tested requirements, the test outcome will be considered to be a failure, and the product will be designated nonqualifying.

4.4.1.2 Grading a Version Test

If FSIO determines that the documented changes do not adversely affect prior-version functionality, the new version will be deemed qualified, and a certificate for that version will be issued.

4.4.2 FSIO Notifies Vendor of Need to Retest

Upon completion of the validation of test results for full and incremental tests, FSIO will notify the vendor if a retest is needed to complete a test. The notification will include a list of requirements and the specific test steps in which failure was evidenced. FSIO will also indicate the percentage of requirements that were successfully met.

4.5 CONDUCTING A RETEST

The following activities are required when a vendor has been notified by FSIO of the need to retest one or more requirements:

- FSIO schedules retest
- Vendor submits retest plan
- Vendor completes pretest activities
- FSIO conducts retest readiness assessment
- Vendor completes the retest
- FSIO validates the retest results.

The retest activities are described further in the sections below.

4.5.1 FSIO Schedules Retest

The vendor will propose to FSIO a date for the retest. FSIO will schedule the retest based on the dates requested by the vendor, or at FSIO's earliest convenience. A separate test application is not required.

4.5.2 Vendor Submits Retest Plan

In preparing for a retest, vendors must submit a recommended approach (retest plan). This approach must fully test all requirements subject to retesting, in a manner consistent with FSIO's original full test plan. The retest plan must also identify all required setup data, test steps to be executed, and expected results. FSIO will work with the vendor to finalize the retest approach and content.

Retests are typically conducted in a single phase that includes test steps subject to FSIO observation (i.e., observed testing). The time frames allowed for test execution are predetermined by FSIO for each retest. Applicable test execution time frames are published in the final retest plan.

4.5.3 Vendor Completes Pretest Activities

Before executing a retest, the vendor is responsible for upgrading the product to correct identified deficiencies, preparing the test environment, and loading all setup data. Vendors may also submit alternate test procedure requests for FSIO's approval.

4.5.4 FSIO Conducts Retest Readiness Assessment

Before starting a retest, FSIO will confirm that the vendor is ready to proceed. Vendors that are determined to not be ready will be rescheduled.

4.5.5 Vendor Completes the Retest

The vendor will execute the approved test plan and provide FSIO with all expected results. Retests may be conducted using web-based software demonstration tools.

4.5.6 FSIO Validates Retest Results

Once the vendor has executed all test steps and delivered all specified outputs, FSIO will validate the results and will determine a pass/fail outcome by tested requirement. To pass the retest, the product must meet 100 percent of the requirements subject to retesting.

4.6 PERFORMING POSTTEST ACTIVITIES

After FSIO grades the test, FSIO notifies the vendor of the test results.

If the test is successfully passed, the following activities also occur:

- Vendor submits product documentation

- FSIO publishes successful test results
- FSIO publishes alternate test procedures and supplemental information.

If the test is failed, the vendor may apply to test a new version.

These posttest activities are described further in the sections below.

4.6.1 FSIO Notifies Vendor of Test Results

After review and reconciliation of test output and processing results, FSIO will provide an official pass/fail determination to the vendor in writing. If the official determination is fail, an attachment to the letter will identify the requirements that were failed, the FSIO test team's observations for those requirements and associated test steps, and the reason the results were judged noncompliant.

4.6.1.1 Passed the Test

For software products that pass the full or version test, FSIO will issue a certificate of compliance within 30 calendar days following the completion of test grading or the submission of other required documentation, whichever is later. The certificate of compliance qualifies the software as meeting FSIO requirements for a core financial system. However, the government may require incremental testing to maintain the certificate.

For software products that pass the incremental test, the certificate of compliance remains in effect.

FSIO ISSUANCE OF CERTIFICATIONS

FSIO will issue a certificate of compliance for products that pass a full test or a version test. FSIO-issued certificates are specific to the product version tested and qualify the named product as meeting all mandatory requirements in force at the time of the test. Certificates will remain in effect as long as the vendor continues to successfully complete all subsequent full and incremental tests required by FSIO. Certificates will be revoked for products that fail or do not take required full and incremental tests.

A FSIO-issued certificate that results from passing these tests establishes that the subject product version meets all mandatory core financial system requirements in force at the time of a given test.

CERTIFICATION OF MULTIPLE PRODUCTS

A vendor may have more than one core financial system software product certified at any given time.

4.6.1.2 Failed the Test

If, after completing the test process (including retesting), the product does not successfully meet 100 percent of the tested requirements, or if the vendor fails to

complete the test process within the required time frame (within 12 months of submitting the application for a full test or within 6 months of submitting the application for an incremental test), the test outcome will be considered to be a failure, and the product will be designated nonqualifying. Any existing certificate will be revoked.

4.6.2 Vendor Submits Product Documentation and Information on Value-Added Features

A full set of product documentation, updated to reflect software changes made to pass the test, is required within 30 calendar days of notification of successful test results. This software documentation includes user guides, implementation guides, and system setup guides for all software modules that the vendor used to take the test. It may be provided in electronic format or made available online (with any necessary passwords provided to FSIO).

If the vendor chooses to provide information on the software product's value-added features, FSIO will provide a link on its website to the vendor's website for this information. The Value-Added Features form is available on the FSIO website. FSIO does not verify the accuracy of the information posted by the vendor.

4.6.3 FSIO Publishes Successful Test Results

FSIO publishes the following information on its website for currently certified software products:

- Vendor name
- Product name
- Version tested
- Recent test results.

FSIO will maintain the history of all software certifications on its website. When a certificate has been issued for a version update, the certificate for the prior version is no longer in effect. FSIO will update its website to reflect the new version that is certified.

4.6.4 Vendor Provides Software to the Government

The vendor will make the newly qualified software and related documentation available to government customers within 6 months of notification of successful test results.

4.6.5 FSIO Publishes Alternate Test Procedures and Supplemental Information

Over the course of testing, FSIO collects product and test execution information (other product information) that it considers to be nonproprietary. FSIO may elect to make this information available to the public. The following are the main categories of other product information:

- Alternate test procedures
- Supplemental information.

FSIO will generally respect written requests by the vendor for restricted dissemination of system documentation and other proprietary information to which FSIO testers may be exposed during the qualification process.

FSIO will not publish any information on products that do not receive a certificate of compliance, nor will FSIO publish information on applications received, applications rejected, or test scheduling.

4.6.5.1 Supplemental Information

During a test, FSIO will collect the following types of product description information:

- Product release history
- Software used for the test
- Hardware and network infrastructure used for the test
- Documentation sources
- Product architecture
- Functional observations.

At the conclusion of a test, FSIO will prepare a Supplemental Information report to document findings and observations in each of these categories.

4.6.5.2 Vendor Review of Product Information

FSIO will provide the vendor with advance notice about product information intended for publication and the opportunity to review and comment on these materials. FSIO will attempt to incorporate all vendor-provided comments to the extent such comments are consistent with FSIO internal observations and information dissemination standards.

4.6.6 Vendor Applies to Test New Version after Failure

To protect the government from a continued commitment of resources to test non-qualifying core financial systems, vendors must wait a minimum of 3 months before applying to retest a nonqualifying product, and demonstrate that the software is ready. FSIO may reduce the waiting period, at its discretion. To continue the test process at that time, the vendor must submit an application to test a new or updated version of the product and retake the full test in its entirety.

Appendix Test Activities and Time frames

Table A-1 provides the time frames and responsibilities for testing activities.

Table A-1. Time Frames for Testing Activities

Activity	Responsible Entity	Time Frame by Test Type			Notes
		Full Test	Incremental Test	Version Test	
Test Development					
1) Start the test development process.	FSIO	Upon issuance of new and revised requirements	Upon issuance of new and revised requirements	NA	
2) Notify vendors of need to test.	FSIO	At any time after issuance of new requirements	At any time after issuance of new requirements	NA	
3) Publish test plan exposure draft.	FSIO	Depends on extent of testing	Depends on extent of testing	NA	Test plan appendices provide setup data, test scripts, and expected results.
4) Comment on test plan exposure draft.	Vendors and Agencies	60 days after publication of test plan exposure draft	30 days after publication of test plan exposure draft	NA	
5) Publish final test plan.	FSIO	Depends on extent of comments	Depends on extent of comments	NA	
Test Execution					
6) Submit test application.	Vendor	Within 30 calendar days of publication of final test plan or at any time for new software products	Within 30 calendar days of publication of final test plan for qualified software products	At any time	Release notes must accompany version test applications.
7) Notify vendor of application acceptance or rejection.	FSIO	Within 30 calendar days of receipt of the application or receipt of additional information, whichever is later	Within 30 calendar days of receipt of the application or receipt of additional information, whichever is later	Within 30 calendar days of receipt of the application or receipt of additional information, whichever is later	
8) Review release notes. Request version demonstration, if needed.	FSIO	NA	NA	Within 30 calendar days of receipt of test application	.
9) Provide version demonstration.	Vendor	NA	NA	Within 30 calendar days of FSIO request	When requested, version demonstrations are to be scripted by the vendor.

Table A-1. Time Frames for Testing Activities

Activity	Responsible Entity	Time Frame by Test Type			Notes
		Full Test	Incremental Test	Version Test	
10) Evaluate version demonstration, if needed.	FSIO	NA	NA	Within 30 calendar days of end of version demonstration	If testing is needed, go to step 11. If no testing is needed, go to step 31.
11) Notify vendors of need to test.	FSIO	NA	NA	Upon completion of the review of the release notes, or evaluation of a version demonstration, whichever is later	
12) Schedule observed testing.	FSIO	Within 30 days of application acceptance	Within 30 days of application acceptance	Same as Full Test	Decide on test dates.
13) Submit alternate test procedure requests.	Vendor	At least 1 week prior to setup interview	At least 1 week prior to the setup interview	Same as Full Test	
14) Conduct setup and other pretest activities.	Vendor	Prior to setup interview	Prior to setup interview	Same as Full Test	
15) Conduct setup interview.	FSIO	At least 2 business days prior to receipt of first unobserved test results	At least 2 business days prior to receipt of first unobserved test results	Same as Full Test	
16) Conduct first readiness assessment.	FSIO	At least 2 business days prior to receipt of first unobserved test results	At least 2 business days prior to receipt of first unobserved test results	Same as Full Test	
17) Complete unobserved processing.	Vendor	At least 6 business days prior to start of observed processing	At least 6 business days prior to start of observed processing	Same as Full Test	
18) Validate unobserved processing results.	FSIO	Prior to start of observed processing	Prior to start of observed processing	Same as Full Test	
19) Conduct second readiness assessment.	FSIO	After validation of unobserved testing results and before starting observed processing	After validation of unobserved testing results and before starting observed processing	Same as Full Test	

Table A-1. Time Frames for Testing Activities

Activity	Responsible Entity	Time Frame by Test Type			Notes
		Full Test	Incremental Test	Version Test	
20) Start observed processing.	Vendor	Within 6 months of publication of test plan	Within 3 months of publication of test plan	Same as Full Test	FSIO may extend the deadline, if necessary to accommodate government testing partners.
21) Complete observed processing.	Vendor	As specified in test plan	As specified in test plan	Same as Full Test	
22) Validate observed processing results.	FSIO	As needed	As needed	Same as Full Test	
23) Notify vendor of need to retest.	FSIO	Upon completion of test results validation	Upon completion of test results validation	Same as Full Test	10% retest. If retesting is not applicable, go to step 29.
24) Schedule retest.	FSIO	Within 30 calendar days of notice to retest	Within 30 calendar days of notice to retest	Same as Full Test	Decide on test dates.
25) Submit retest plan.	Vendor	Within 30 calendar days of notice to retest	Within 30 calendar days of notice to retest	Same as Full Test	Must be approved by FSIO.
26) Complete pre-retest activities.	Vendor	At least 1 business day before starting retest	At least 1 business day before starting retest	Same as Full Test	
27) Conduct retest readiness assessment.	FSIO	At least 1 business day before starting retest	At least 1 business day before starting retest	Same as Full Test	
28) Complete retest.	Vendor	Within 60 calendar days of notice to retest and within 12 months from submission of the test application	Within 60 calendar days of notice to retest and within 6 months from submission of the test application	Same as Full Test	If vendor is assessed as being ready to retest.
29) Validate retest results.	FSIO	As needed	As needed	Same as Full Test	
30) Notify vendor of test results.	FSIO	Upon completion of test results validation	Upon completion of test results validation	Same as Full Test	Certificate is issued, extended, or revoked as indicated in test results letter.

Table A-1. Time Frames for Testing Activities

Activity	Responsible Entity	Time Frame by Test Type			Notes
		Full Test	Incremental Test	Version Test	
31) Submit product documentation and information on value-added features.	Vendor	Within 30 days of notification of successful test results	Within 30 days of notification of successful test results	Same as Full Test	Full documentation, updated to reflect all software changes made to pass the test. The vendor may choose to submit information on its value-added features, using the form provided on the FSIO website.
32) Publish successful test results.	FSIO	After notification of test results	After notification of test results	Same as Full Test	
33) Provide software to government customers.	Vendor	Within 6 months of notification of successful test results	Within 6 months of notification of successful test results	Same as Full Test	
34) Publish alternate test procedures and supplemental information.	FSIO	After publication of successful test results	After publication of successful test results	Same as Full Test	
35) Apply to test new version after failure.	Vendor	A minimum of 3 months after notification of unsuccessful test results	A minimum of 3 months after notification of unsuccessful test results	Same as Full Test	FSIO may reduce the waiting period, at its discretion.