

<b>TAXUD/R5 – INVITATION TO TENDER TAXUD/2010/AO-13</b>	<b>REF: ITSM2-Lot1-As is</b>
<b>TAXUD - ITSM2 – <u>ANNEX II</u> – SERVICE REQUIREMENTS:</b>	
<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	

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TAXUD/R5	21/09/2011	FINAL
<p><b>Invitation to tender TAXUD/2010/AO-13</b></p> <p><b>IT SERVICE MANAGEMENT FOR IT SYSTEMS &amp; INFRASTRUCTURE OPERATION OF</b></p> <p><b>THE DIRECTORATE-GENERAL FOR TAXATION &amp; CUSTOMS UNION</b></p> <p><b>ITSM2</b></p> <p><b><u>Annex II.A.1:</u></b></p> <p><b>Lot1: Technical Specifications</b></p> <p><b>– As is description</b></p>		

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## Typographic conventions

The following typographic conventions are used in this document:

The following [convention](#) indicates a link

The following indicates one of these keywords: **TES, Lot1, Lot2 or Lot3**



Indicates reference information



Draws attention to important information



Indicates deviations or important information

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## 1 Acronyms and definitions



In this document, the Directorate-General Taxation and Customs Union of the European Commission, which is the contracting authority, will be further referred to as “the Commission” or "DG TAXUD".



Definitions of the acronyms related to the different applications (e.g. TARIC3, ART2, TTA, CM/MIS, CS/RD...) are not listed.



Tenderer is to be understood as an economic operator who has submitted a tender with a view to concluding a contract. In this call for tenders, "Tender" and "Bid" are used as synonyms.

<b>Acronyms and definitions</b>	
<b>Acronym</b>	<b>Definition</b>
ACD	Automated Call Distribution
ACT	Application configuration tool
AEO	Authorised Economic Operators
AMDB	Availability Management Database
AN	As Needed
APM	Application Portfolio Management
ART	Activity Reporting Tool
ATS	Acceptance Test Specifications
BCP	Business Continuity Plan
BL	Baseline
BMM	Bilateral Monthly Meeting
BPM	Business Process Modelling
BT	Business Thread
BTI	Binding Tariff Information
BTM	Business Thread Manager
CAB	Change Advisory Board
CAP	Capacity Management
CAPS	Customs Applications

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<b>Acronyms and definitions</b>	
<b>Acronym</b>	<b>Definition</b>
CCN	Common Communications Network
CCN2	Common Communications Network 2
CCN/TC	Common Communications Network / Technical Centre
CCN/CSI	Common Communications Network / Common System Interface
CCN/WAN	Common Communications Network / Wide Area Network provider
CDB	Capacity Management Database
Cfsu	COSMIC FFP functional size unit (ISO 19.761:2003)
CI	Configuration Item
CIA	Classification of Information Assets
CIRCA	Communication and Information Resource Centre Administrator
CIRCABC	Communication and Information Resource Centre for Administrations, Businesses and Citizens
CIS	Customs IT Systems sector
CMDB	Configuration Management Database
CMMI	Capability Maturity Model Integration
CN	Combined Nomenclature
CO <sup>2</sup>	Carbon Dioxide
COBIT	Control Objectives for Information and related Technology
COM	European Commission
CONF	Conformance test environment
COPIS	anti-Counterfeit and anti-Piracy system
COTS	Commercial Off-The-Self (software packages)
CPCA	Common Priority Control Area
CPT	Central Project Team
CQP	Contract Quality Plan
CRC	Common Risk Criteria
CS	Central Services
CSF	Critical Success Factor
CSIP	Continuous Service Improvement Programme
CSIPM	Continuous Service Improvement Programme Manager
CSISC	Continuous Service Improvement Steering Committee
CS/RD	Central Services/Reference Data
CT	Conformance test
CUSTDEV2	Development contractor for customs systems 2
DDS	Data Dissemination System

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<b>Acronyms and definitions</b>	
<b>Acronym</b>	<b>Definition</b>
DE	German
DEV	Development
DG	Directorate General
DG AGRI	European Commission DG Agriculture
DIGIT	Directorate-General for Informatics
DIGIT/DC	Data Centre of the European Commission
DLV	Deliverable
DM	Demand Management
DML	Definitive Media Library
DMZ	Demilitarized Zone
DRP	Disaster Recovery Plan
DSL	Definitive Software Library
DTM	Deliverable Tracking Matrix
EAS	Entreprise IT architecture and Strategy
EBTI	European Binding Tariff Information
EC	European Commission
ECG	Electronic Customs Group
ECICS	European Customs Inventory of Chemical Substances
ECS	Export Control System
EfA	Estimate for Action
EMCS	Excise Movement and Control System
EMCS-DEV	Development contractor for Excise systems
EN	English
EoF	Exchange of Forms
EORI	Economic Operators' Registration and Identification System
EOS	Economic Operators Systems
EU	European Union
EUROFISC	Network between MSAs supporting administrative cooperation in the field of tax evasion and tax fraud
EWSE	Early Warning System for Excise
FAQ	Frequently Asked Questions
FAT	Factory Acceptance Test
FC	Framework Contract
FISCO	Fiscal Compliance Experts' Group

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<b>Acronyms and definitions</b>	
<b>Acronym</b>	<b>Definition</b>
FITSDEV	Development contractor for Fiscalis <sup>1</sup> systems
FITSDEV2	Development contractor for Fiscalis systems 2 (Replacing <a href="#">FITSDEV</a> )
FITS-TC	Fiscalis Technical Centre
FP	Fixed Price
FQP	Framework Quality Plan
FR	French
FS	Functional Specifications
FTE	Full Time Equivalent
GANTT	A chart that depicts progress in relation to time
GLT	Glossary of Terms
GQI	Global Quality Indicator
GTT	Generic Test Tool
GW	Gateway
HO	Handover
HoS	Head of Sector
HoU	Head of Unit
HTTP	HyperText Transfer Protocol
HTTPS	HyperText Transfer Protocol Secure
HW	Hardware
IA	Individual Acceptance
ICS	Import Control System
ICT	Information & Communications Technology
ICT IM	ICT Infrastructure Management (ITIL process)
ID	Individual Delivery
ILIADe	Intra Laboratory Inventory of Analytical Determination
IP	Internet Protocol
IPR	Intellectual Property Rights
IPSec	Internet Protocol Security
IS	Information Systems
ISD	Infrastructure and Service Delivery sector
ISO/IEC	International Organization for Standardization/ International Electrotechnical Commission
ISPP	Information System for Processing Procedures
IT	Information Technology

<sup>1</sup> Covering Taxation and Excise

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<b>Section:</b>	

<b>Acronyms and definitions</b>	
<b>Acronym</b>	<b>Definition</b>
ITIL	IT Infrastructure Library
ITOP	Weekly operational planning - Installation and Testing Operational Plan
ITSC	IT Steering Committee
ITSCM	ITSM Continuity Management
ITSM	IT Service Management
ITSM2	IT Service Management 2 (ITSM2 Programme)
ITT	Invitation To Tender
IVR	Interactive Voice Response
IWP	Internal Working Procedures
JIT	Just In Time
J2EE	Java 2 Platform Enterprise Edition
KDB	Knowledge Database
KEL	Known Error List
KPI	Key Performance Indicator
LAN	Local Area Network
LCMS	Local CCN Mail Server
LISO	Information Security Officer
LSYA	Local System Administrator
MOM	Minutes of Meeting
MA	Mutual Agreement
MCC	Modernised Customs Code
MCP	Monthly Consolidated Plan
Mini1SS	Mini-One Stop Shop
MO	Managed Object
MPR	Monthly Progress Report
MRN	Movement Reference Number
MS	Member State
MSA	Member State Administration
MSR	Monthly Service Report
MQ	Message Queue
MTTR	Mean Time To Repair
MVS	Movement Verification System
N.A.	Not Applicable
NA	National Administration
NCTS	New Computerised Transit System

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<b>Section:</b>	

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<b>Acronym</b>	<b>Definition</b>
NCTS Lot 2	NCTS Service Desk
NCTS TIR	NCTS part dealing with transit declarations and movements of road transport (Transport International Routier)
NECA	National Export Control Application
NICA	National Import Control Application
NTA	National Transit Application
OD	On Demand services
ODL	Operational Document Library
OECD	Organisation for Economic Co-operation and Development
OGC	Office of Government Commerce
OIB	Office for infrastructure and logistics in Brussels
OIL	Office for infrastructure and logistics in Luxembourg
OJ	Official Journal
OLA	Operational Level Agreement
OLAF	Office De Lutte Anti-fraude / European Anti-Fraud Office
OPL	Official Price List
OR	On Request
OS	Operating System
PDA	Personal Digital Assistant
P&I	Products & Infrastructure
PERT	Program evaluation and review technique. Also called "critical path method"
PQP	Programme Quality Plan
PreCT	Pre-Conformance Test
PSAT (preSAT)	Pre Site Acceptance Test
PS	Project Support sector
QA	Quality Assurance
QC	Quality Control
QoD	Quality of Data
QoS	Quality of Service
QT	Qualification Tests
QTM	Quoted Time and Means
RDP	Remote Desktop Protocol
REX	Registered Exporters
RfA	Request for Action
RfC	Request for Change



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<b>Section:</b>	

<b>Acronyms and definitions</b>	
<b>Acronym</b>	<b>Definition</b>
RfE	Request for Estimation
RfI	Request for Information
RfO	Request for Offer
RfS	Request for Service
RIF	Risk Information Form
RSD	Release Scope Document
SA	Self Assessment
SAT	Site Acceptance Testing
SB	Service Block
SC	Specific Contract
SD	Service Desk
SE	Service
SEAP	Single Electronic Access point
SEED	System for Exchange of Excise Data
SfA	Submit for Acceptance
SfR	Submit for Review
SIPSC	Service Improvement Project Steering Committee
SMT	Service Management Tool
SLA	Service Level Agreement
SLM	Service Level Management
SMM	Service Monthly Meetings per BT
SMS	Specimen Management System
SMT	Service Management Tool
SOA	Scope Of Activities
SPEED	Single Portal for Entry or Exit of Data
SPEEDNET	SPEED Network
SPOC	Single Point of Contact
SQI	Specific Quality Indicator
SRD	System Requirement Definition
SSH	Secure Shell
SSL	Secure Sockets Layer
SSTA	Standard SPEED Test Application
SSTP	Self-Service Testing Portal
SSTWP	Self-Service Testing Web Portal
STTA	Standard Transit Test Application
STEERCO	Steering Committee

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<b>Acronyms and definitions</b>	
<b>Acronym</b>	<b>Definition</b>
SUG	Start Up Guide
SUPCO	Support of Customs Operations
SW	Software
SWOT	Strength, Weakness, Opportunity, Threat
TA	Test Application
T&S	Travel and Subsistence
TARIC	TARif Intégré Communautaire
TASMAN	Tool for Automated Supply management
TATAF	Tariff Applications Technical Architecture Framework
TAX	Taxation Trans-European Systems sector
TAXUD	Directorate-General for Taxation and Customs Union
TC	Technical Centre
TCO	Total cost of ownership
TEDB	Taxes in Europe Database
TEMPO	TAXUD Electronic Management of Projects Online
TES / T€S	Trans-European System
TESM	IT service management for the Trans-European Systems
TIN	Tax Identification Number
TIP	Technical Infrastructure Plan
TIR	Transports Internationaux Routiers
TO	Takeover
ToC	Terms of Collaboration
ToR	Terms of Reference
ToS	Taxation of Savings
TS	Technical Specifications
TSS	Cf SPEED
TTA	Transit Test Application
UAM	User Access Management
UIPE	Uniform Instrument Permitting Enforcement
UNF	Uniform Notification form
UPS	Uninterruptible power supply
USB	Universal Serial Bus
USS	User Satisfaction Survey
VAT	Value Added Tax
VIA	VIES Initial Application

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<b>Acronyms and definitions</b>	
<b>Acronym</b>	<b>Definition</b>
VIES	VAT Information Exchange System
VoeS	VAT on e-Services
VoW	VIES-on-the-Web
VPN	Virtual Private Network
VREF	VAT Refund
VSS	VIES Statistical application
VTA	VIES Test Application
VPN	Virtual Private Network
WAN	Wide Area Network
WBS	Work-Breakdown Structure
WIKI	Collaborative Web site
WP	Work package
WS	Workshop
X-DEV	Development contractors ( <a href="#">FITSDEV/FITSDEV2</a> , <a href="#">CUSTDEV2</a> )
XML	Extensible Markup Language

Table 1: List of acronyms

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## 2 Applicable and Reference documents

The documents listed below can be consulted from the baseline.

### 2.1 Applicable documents

Ref.	Title	Reference	Version	Date
[R1]	ITSM Framework Quality Plan	R1_ITS-IFQP-SC04-Framework Quality Plan v1.04_TAXUD.zip	1.04	22/03/2010
[R2]	CCN/CSI Framework Quality Plan	R2_CCN-CFQP-EN2.00.pdf	2.00	10/06/2008
[R3]	ITSM – R4/R5 Service Catalogue	R3_ITS-ISCT-SC08-006-Evolutive maintenance -Service Catalogue R4-R5 v1.70.zip	1.70	21/03/2011
[R4]	ITSM – NA Service Catalogue	R4_ITS-ISCT-SC08-007-Evolutive Maintenance Service Catalogue NA v1.20.pdf	1.20	18/03/2011
[R5]	ITSM – ToR <u>previous</u> ITSM contract	R5_ITSM_Terms_of_Reference.pdf	20.00	18/07/2006
[R6]	ITSM – TA <u>previous</u> ITSM contract	R6_ITSM Technical Annex v01.pdf	1.00	25/07/2006
[R8]	Application Development – Sector Differences – Recommendations Summary Document	R8_APD Sector Differences - Recommendations Summary document.pdf	1.00	02/02/2010
[R9]	Delivery and Review procedure	R9_ALL-PPRC-DLREV-EN1.19.pdf	1.19	21/05/2010
[R10]	Incident Management Policy	R10_ITS-IPRC-001-Evolutive Maintenance of Incident Management Policy V1.10.pdf	0.11	05/11/2009
[R11]	Problem Management Policy	R11_ITS-IPRC-002-Evolutive Maintenance of Problem Management Policyv1.20.pdf	1.20	01/12/2009
[R12]	Change Management Policy	R12_ITS-IPRC-003-Evolutive Maintenance of Change Management Policy V1.10.pdf	1.10	11/12/2009
[R13]	Configuration Management Policy	R13_ITS-IPRC-004-Evolutive Maintenance of Configuration Management Policy V1.00.pdf	1.00	17/11/2009

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<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R14]	Release Management Policy	R14_ITS-IRPC-005-Evolutive Maintenance of ITSM Release Management Policy V1.1.pdf	1.10	11/12/2009
[R15]	Fast change Release process of CT related tools	R15_ITS-IRPT-001-SC04-Fast-Change-Release-process-for-CT-related-tools-v1.10.pdf	1.10	08/04/2010
[R16]	Security Plan for TAXUD IT Services Security Plan for IT Services related to Trans-European Systems managed by the Commission and the Member States	R16_Security plans.zip	1.00	20/12/2010
[R17]	ITSM external processes & procedures definition and description	R17_ITS-IRPT-SC08-EPP-005+-+External+Processes+Evolutive+maintenance+v1.00.zip	1.00	22/03/2011
[R18]	Application Portfolio	R18_Application Portfolio 19-11-10.pdf	1.00	19/11/2010
[R19]	ITSM-IP182 - ITOP procedure	R182_IWP_Bundle_1.00.zip	1.00	18/03/2011
[R20]	ITS-IPRC-003-Escalation procedure	R182_IWP_Bundle_1.00.zip	1.00	18/03/2011
[R21]	ITSM-IP-173-User_Access_Management	R182_IWP_Bundle_1.00.zip	1.00	18/03/2011
[R22]	ITSM - Mode of calculation quantities	R22_ITS-Mode of calculation quantities-SC06 - V045.pdf	0.45	16/11/2010
[R23]	ITSM Internal Procedure – Incident Management ITSM Internal Procedure – Security Incident Handling Procedure	R182_IWP_Bundle_1.00.zip	1.00	18/03/2011
[R24]	ITSM Internal Procedure-Change Management ITSM Internal Procedure-RFC Creation	R182_IWP_Bundle_1.00.zip	1.00	18/03/2011
[R25]	ITSM Internal Procedure - Problem Management	R182_IWP_Bundle_1.00.zip	1.00	18/03/2011
[R26]	ITSM Internal Procedure Release Management Working Procedures	R182_IWP_Bundle_1.00.zip	1.00	18/03/2011
[R27]	ITSM Internal Procedure Configuration Management Working Procedures	R182_IWP_Bundle_1.00.zip	1.00	18/03/2011
[R29]	Customs Quality Plan	R29_Customs-PQP_EN1.6.pdf	1.6	14/01/2009

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<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R30]	Excise Quality Plan	R30_ECP-PQP001-v1.11.pdf	1.11	01/10/2007
[R31]	ITSM SLA Harmonisation guidelines	R31_ITSM SLA Harmonisation guidelines.zip	1.00	15/05/2009
[R32]	Excise SLA	R32_EXC-ISLA-004+v+1+21.pdf	1.21	01/04/2011
[R33]	Excise TOC	R33_ITS-ITOC-001-ExciseEMCS v3.01.pdf	3.01	26/11/2009
[R34]	ECustoms SLA	R34_ECustoms SLA.zip	1.1.1	07/04/2010
[R35]	ECustoms TOC	R35_ECustoms TOC.zip	1.10	07/04/2010
[R36]	Taxation SLA	R36_SCIT68 -- SLA v4.00.zip	4.00	24/09/2010
[R37]	AGRI SLA	R37_ALL-PSLA-AGRI-EN1.50.pdf	1.50	11/04/2007
[R38]	DIGIT Hosting proposal for TAXUD Infrastructure	R38_DIGIT_hosting_proposal.pdf	1.00	12/07/2007
[R39]	ITSM SC08 CQP	R39_ITS-ICQP-SC08-v1.00.zip	1.00	17/09/2010
[R40]	CCN - Service Level Agreement	R40_CCNTC-Removed-SC08-SLA-EN0.01D.pdf	0.10	04/05/2010
[R41]	CCN - OLA between DG TAXUD and National Administrations	R41_CCN-COPG-OLA-EN3.00.pdf	3.00	09/05/2008
[R42]	CCN - OLA between DG TAXUD and OLAF	R42_ALL-PSLA-OLAF-EN2.00.pdf	2.00	26/10/2007
[R43]	ITSM Internal Procedure – CSIP Process	R182_IWP_Bundle_1.00.zip	1.00	18/03/2011
[R44]	ITSM New Portal: Requirement document: Phase 1	R44_ITS-ISR-001 v1 00.pdf	1.00	22/07/2008
[R45]	ITSM New Portal: Requirements ITSM Portal Phase 2	R45_ITS-IRPT-Requirements ITSM Portal PhaseII v1 00.pdf	1.00	13/09/2010
[R46]	ITSM New Portal: Functional Specifications	R46_ITS-IFSS-002 v1.04.pdf	1.04	14/07/2010
[R47]	ITSM New Portal: Technical Specifications	R47_ITS-ITCS-002 v1.04.pdf	1.04	30/07/2010
[R48]	ITSM New Portal: Acceptance Test Specifications	R48_ITS-IATS-002 v1.06.pdf	1.06	30/07/2010
[R49]	New SMT: Feasibility Study	R49_ITS-IFES-001-Feasibility Study SMT-CMDBv 1 00.pdf	1.00	16/01/2009

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<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R50]	Official CCN/TC price list	R50_CCNTC-- CatalogueReview_Winter2010_-EN1.20.pdf	1.20	24/03/2010
[R51]	CCN gateway management procedures	R51_CCN-CMPR-GW-EN18.00.pdf	18.00	16/06/2010
[R52]	AvDB (Design)	R52_AvDB (design).zip	0.16	27/11/2008
[R53]	CMDB (Design)	R53_CMDB (Design).zip	1.00	07/06/2010
[R54]	ITSM New Portal - FAT Report	R54_ITS-IFRT-ITSM_Portal_v1.04-FAT Report for ITSM-Portal Release 1.04-V1.01.pdf	1.01	30/07/2010
[R55]	ITSM New Portal - Release Note	R55_ITS-IDDS-ITSM_Portal_v1.04 - Release Notes v1.01.pdf	1.01	30/07/2010
[R57]	ITSM New Portal - Operations Guide	R57_ITS-IOPG-001-Operation Procedure-Release 1.04_Phase 1 + Phase 2_of the new ITSM Portal v1.03.pdf	1.03	14/07/2010
[R58]	ITSM New Portal - Content maintenance procedure	R58_ITS-IRPT-002-Content Maintenance Working Procedure v1 02.zip	1.02	30/07/2010
[R59]	Technological Infrastructure Plan	R59_TIP.MAR.2011.zip	RELEASE MAR.2011	30/03/2011
[R60]	ITSM New Portal - User guide	R60_ITS-IUSG-001-User Guide of the new ITSM Portal v1.04.pdf	1.04	14/07/2010
[R61]	ITSM New Portal - SAT report linked to e-learning material	R61_ITS-IFTR-008+FAT+Report+about+on-line+training+for+the+new+ITSM+Portal+v1.0.pdf	1.00	10/03/2010
[R62]	CCN/CSI software installation and user guide	R62_CCN_CSI software installation and user guide.zip	1.00	Jan 2010
[R63]	CCN Qbrowser for MS windows platforms.	R63_SIG-QB-03.pdf	3.00	07/03/2001

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<b>TAXUD - ITSM2 – ANNEX II – SERVICE REQUIREMENTS:</b>	
<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Applicable documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R64]	CCN/CSI System Overview	R64_CCN-COVW-GEN-EN13.00.pdf	13.00	24/04/2009
[R67]	Evolutionary maintenance of the IT Service Continuity plan for the trans-European IT services	R67_ITS-IPLN-SC06-ITSCP-TES-EN-1+30.pdf	1.30	22/06/2010
[R68]	Evolutionary version of the Capacity Plan for Commission IT services	R68_ITS-IPLN-SC08-CAP-003-Evolutionary+version_3.00.pdf	3.00	03/03/2011
[R69]	Action report for CCN action 109 (test reports, tests scenario and procedures)	R69_RfA109.zip	1.00	29/11/2010
[R72]	Report on delivery and installation of COTS ICT products - COTS Deployment SAT Report (Infra for SMT) (RfA180)	R72_ITS-IRPT-SC07-RfA180-COTS-Report+on+delivery+and+installation+of+COTS+ICT+products-1.00.zip	1.00	14/10/2010
[R73]	CCN Working Procedure for Test Management	R73_CCN-CWPR-TSMGT-EN1.00.pdf	1.00	11/11/2008
[R74]	CCN/CSI Contract Quality Plan (CQP)	R74_CCN-CCQP-SC7-EN1.00.pdf	1.00	10/12/2009
[R75]	Secure Web Architecture - CCN/TC web portal Validation Report	CCN-SA11-webarch-v1_.pdf	1.00	28/04/2003
[R76]	CCN/TC Security Procedures	CCN-CCNTC SECURITY PROCEDURES.pdf	2.10	24/04/2009
[R77]	TAXUD SPEED design architecture	Speed-Architecture_1.pdf	1.00	2007
[R78]	Description of CCN/CSI roles	CCN-CLST-ROL-EN1.00.pdf	1.00	04/05/2005
[R79]	DG TAXUD Information Systems Architecture	DG TAXUD_Information_Systems_Architecture.zip	2.10	31/08/2010
[R80]	ITSM IT Service Continuity Plan for Commission IT Services	R80_ITS-IPLN-SC06-ITSCP-DRP-003-EN-2+01.zip	2.01	02/06/2010
[R81]	CCN Business Contingency Plan Guideline	CCN-CSEC-CTGPG-EN-1.00.pdf	1.00	06/05/2009



<b>TAXUD/R5 – INVITATION TO TENDER TAXUD/2010/AO-13</b>	<b>REF: ITSM2-Lot1-As is</b>
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<b>Section:Applicable documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R82]	Knowledge Management Study	R82_ITS-IRPT-Knowledge+Management+Study+v1.00.pdf	1.00	26/01/2011
[R83]	Functional and Technical Specifications of SMT Phase 1 Annex : ITSM Portal Design for HP SM 7	R83_Portal FTS.zip	1.00	02/12/2010
[R85]	SMT: SMT Programme setup and definition	ITS-IRPT-001-Programme+setup+and+definitionv1.00.pdf	1.00	22/09/2010
[R86]	Study on IT architecture and DC consolidation	R86_ITS-IRPT-SC07-RfA195-Project Charter on IT architecture and DC consolidation v0.10.pdf	0.10	14/04/2011
[R87]	LDAP Feasibility Study	ITS-IRPT-LDAP+Feasibility+Study+v1.00.pdf	1.00	25/11/2010
[R89]	Evolutionary version of the Availability Plan for Commission IT services	R89_ITS-IPLN-SC08-AVL-003-COM-EN-v3.00.zip	3.00	31/03/2011
[R90]	CCN/CSI candidate countries deployment plan	CCN-CDEP-CCAN-EN1.00.DOC	1.00	15/10/2007
[R91]	CCN business continuity plan - final report	CCN-BUSINESS CONTINUITY PLAN - FINAL REPORT.zip	1.00	18/07/2008
[R92]	CCN business continuity plan guidelines	CCN-BUSINESS CONTINUITY PLAN GUIDELINES.pdf	1.00	06/05/2009
[R93]	CCN business impact analysis	CCN-BUSINESS IMPACT ANALYSIS.pdf	1.00	23/03/2009
[R94]	CCN/CSI security risks assessment	CCN-CSI_Risk_assessment.pdf	1.00	14/06/2006
[R95]	CCN Disaster recovery plan	CCN-DISASTER RECOVERY PLAN.pdf	2.00	28/08/2008
[R96]	CCN SPEED Security Policy	CCN-SPEED SECURITY POLICY.pdf	1.00	14/11/2008
[R97]	Evolutionary version of the Availability Plan for the trans-European IT services	R97_ITS-IPLN-SC08-AVL-TESEvolutionary+version+of+Availability+Plan+TES-EN-v3.00.zip	3.00	31/03/2011

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<b>Section:Applicable documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R99]	Feasibility Report for a Planning Tool – Part A	ITS-IRPT-007-Feasibility Report for the Planning tool-Part A v1.00.pdf	1.00	31/03/2010
[R100]	Sample of 2010 ITSM Deliverables	Extract ITSM - DTM 2010.pdf	1.00	Jan 2011
[R101]	CCN/CSI General Security Policy	CCN-CSEC-POL-EN3.00.pdf	3.00	13/02/2006
[R102]	CCN/CSI Baseline Security Checklist	R102_CCN-CSEC-BSCK-EN2.00.pdf	2.00	14/06/2006
[R103]	CCN/TC Web Portal - Acceptance Test Specifications	R103_CCN-CATS-WPORTAL-EN3.00.pdf	3.00	18/09/2009
[R104]	CCN Backbone diagram	R104_ccn - backbone-diagram_v0.3.pdf	0.03	03/02/2011
[R105]	Introduction to CCN	R105_Introduction_To_CCN.pdf	1.00	18/02/2011
[R108]	CIRCA FAQs	R108_CIRCAM3.0-FAQv10rev.pdf	3.00	22/02/2011
[R110]	DG TAXUD Mission statement	R110_TAXUD_mission_statement_en2009.pdf	1.00	23/10/2009
[R111]	DG TAXUD R5 Mission Statement	R111_DG TAXUD Unit R5 - Mission Statment.pdf	1.00	23/02/2011
[R112]	DG TAXUD R4 Mission Statement	R112_DG TAXUD Unit R4 - Mission Statment.pdf	1.00	23/02/11
[R113]	Information sheet on Automated Export System	R113_isis_AES.pdf	1.00	28/02/2011
[R114]	Information sheet on Automated Import System	R114_isis_AIS.pdf	1.00	28/02/2011
[R124]	Information sheet on Central System / Reference Data	R124_isis_CS-RD.pdf	1.00	21/04/2011
[R133]	Information sheet on Data Dissemination System – 2 – Suspensions domain	R133_isis_DDS2-Suspensions.pdf	1.00	22/04/2011
[R138]	Information sheet on European Customs Information Portal	R138_isis_ECIP.pdf	1.00	08/10/2010
[R144]	Information sheet on Intra-Laboratory Inventory for Analytical Determinations	R144_isis_ILIADe.pdf	1.00	07/01/2011
[R146]	CCN/CSI training notes (C)	R146_CCNCSE-General-concept.pdf	13.00	23/02/2011
[R147]	CCN/CSI training notes (Cobol) Module 3	R147_training_tra-cobmod3-06pdf_EN_6.pdf	06.00	23/02/2011

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<b>Section:Applicable documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R150]	SPEED presentation 1	R150_SPEED_presentation1.pdf	1.00	29/02/2008
[R151]	SPEED Presentation 2	R151_SPEED_Presentation2.pdf	1.00	29/02/2008
[R152]	SPEED Design extract	R152_Speed Design-extract.pdf	0.2	30/10/2008
[R153]	Terms of Collaboration for the SPEED Computerisation Project	R153_eCUST-TOC-SPEED-v1 20-EN.pdf	1.20	17/09/2010
[R154]	CCN/TC Monthly Progress Report	R154_CCN-CMPR-Jun2010-EN1 00.pdf	1.00	26/07/2010
[R155]	CCN - Daily Availability Report	R155_Availability 30.06.2010.pdf	1.00	30/06/2010
[R156]	CCN - Global Daily Traffic Report	R156_CCN - Global Daily Traffic Report.zip	1.00	30/06/2010
[R157]	CSI Reference Manual (C Language)	R157_CCN-CREF-CSI-C-EN18.00.pdf	18.00	13/02/2008
[R158]	CSI Error Reason Codes Reference Manual	R158_CCN-CREF-ERR-EN7.00.pdf	7.00	19/05/2008
[R159]	CCN/TC Web Site - User Access Guide	R159_CCN-CUSG-CTCWS-EN7.00.pdf	7.00	08/09/2008
[R160]	CCN Intranet - Local Network Administrator Guide	R160_CCN-CADG-LNA-EN04.00.pdf	4.00	11/09/2008
[R161]	CCN/CSI Source code: Apache module	R161_Apache Module.zip	1.00	25/02/2011
[R162]	CCN/CSI Source code: CSI - Local intelligence	R162- CSI - Local intelligence.zip	1.00	25/02/2011
[R163]	CCN/CSI Source code: LDAP example	R163-LDAP example.zip	1.00	25/02/2011
[R164]	CCN/CSI Source code: Gateway Installation - configuration files example	R164_Gateway Installation - configuration files example.zip	1.00	25/02/2011
[R165]	CCN Audit Files Dispatching System - High Level Design	R165_CCN-CHLD-AUDIT-SYSTEM-EN1.00.pdf	1.00	07/12/2009
[R166]	SPEED Audit Files Dispatching – High Level Design	R166_CCN-CHLD-AUDIT-SPEED-EN1.00.pdf	1.00	23/12/2008
[R167]	Local Intelligence High Level Design	R167_CCN-CHLD-LI-EN8.00.pdf	8.00	27/03/2009
[R168]	CCN Statistics High Level Design	R168_CCN-CHLD-STATS-EN11.00.pdf	11.00	19/08/2009
[R170]	Security Measures Formal Description	R170_CCN-CSEC-SMFD-EN1_00.pdf	1.00	01/12/2006
[R171]	CCN Sites information	R171_CCN-sites-info.pdf	1.00	31/05/2010

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<b>Section:Applicable documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R172]	CCN User Access Management Procedure - Status Report	R172_CCN-CSEC-UAM-STREP-EN1.00.pdf	1.00	17/01/2007
[R173]	CCN/TC Organisation	R173_CCNTC-ORG-v2 20.pdf	1.00	28/02/2011
[R175]	CCN communication means- survey results	R175_CCN communication means-survey results.pdf	1.00	04/03/2011
[R176]	CCN Inventory 10/02/2011	R176_CCNTC_Hardware_Inventory_20110210.pdf	1.00	10/02/2011
[R177]	CCNTC Bespoke Software Inventory 20110210	R177_CCNTC_Bespoke Software_Inventory_20110210.pdf	1.00	10/02/2011
[R178]	CCNTC COTS Inventory	R178_CCNTC_COTS_Inventory_20110210.pdf	1.00	10/02/2011
[R179]	Official ITSM price list	R179_TAXUD-ITSM OPL Products Prices List V12.8 - no prices.pdf	12.8	14/02/2011
[R180]	CCN Application Configuration Tool manual	R180_CC_CSI_ACT.zip	1.00	28/03/2011
[R181]	ITS-IPRC-024-Internal_Audit_v1.01.doc	R182_IWP_Bundle_1.0 0.zip	1.00	18/03/2011
[R182]	Bundle of internal procedures	R182_IWP_Bundle_1.0 0.zip	1.00	18/03/2011
[R183]	MSTEA - User Guide	R183_CCN-CUSG-MSTEA-EN2.00.pdf	2.00	10/11/2010
[R184]	ITSM Service Desk categories	R184_ITSM_SD_categories.pdf	1.00	22/03/2011
[R185]	Inventory of CIs and split between the ITSM2 Lots	R185_ITSM2 - Lot1 - Split of CIs and complexity classification-V.3.0.pdf	3.00	16/08//2011
[R186]	CCN GAS manual	R186_CCN-CUSG-H2CG-EN1.00.pdf	1.00	24/03/2005
[R187]	CCN Gateway Management Procedures - ADM3G	R187_CCN-CMPR-ADM3G-EN18.00.pdf	18.00	09/06/2010
[R188]	Deployment Report example	R188_AR2-IINR-PR-015-1-2-0+v1.00.pdf	1.00	20/01/2011
[R192]	MPR/MSR example	R192_ITS-IMPR-SC08-2010-12-MPR Dec 2010 v1.00.zip	1.00	07/02/2011
[R193]	RUBIK HTML Mailing plug-in Business Case	R193_Rubik HTML mailing Business Case 20101024.pdf	1.00	24/10/2010
[R194]	Installation and Availability Report (Proof of concept of new ITSM SMT/CMDB part A)	R194_ITS-IRPT-SC04-006-PoC Installation and Availability Report-EN-1 00.pdf	1.00	17/09/2009

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<b>Section:Applicable documents</b>	

Ref.	Title	Reference	Version	Date
[R195]	Proof of Concept of new ITSM/CMDB (Part B)	R195_ITS-IRPT-SC04-009-Proof of Concept of new ITSMCMDB(Part B)-RfA#111 v1.00.pdf	1.00	12/02/2010
[R196]	Portal Release 1 03 Identified changes	R196_Newportal037 - Portal Release 1 03 Identified changes (example RfC).pdf	1.00	17/05/2010
[R197]	CMDB Training material	R197_ONE-ITRM-CMDB+-- TrainingMaterial-v1.01.pdf	1.01	February 2011
[R198]	Mass mail templates	R198_Proposed Templates - Mass Mails - 23022011_FINAL.pdf	1.00	23/02/2011
[R199]	AM transformation project	R199_ITSM AM transformationproject_0.20.pdf	0.20	08/09/2010
[R205]	Contingency Gateway - Deployment Procedure	R205_CCN-CDPR-GW-CONTING-EN3.00.pdf	3.00	24/01/2007
[R215]	CCN LDAP Ageing Reporting Tool	R215_CCN-CHLD-LDAP-AGEING-REPT-EN3.00.pdf	3.00	22/10/2009
[R223]	Installation Of The SPEED-ECN (Gateways & UPS)	R223_CCN-CINR-GWS-SPEED-ECN-EN1.00.pdf	1.00	03/12/2008
[R224]	Installation Of The CCNTC Spare Switches	R224_CCN-CINR-SWI-TCSPARE-EN1.00.pdf	1.00	13/03/2009
[R226]	DIGIT product list	R226_DIGIT Product List.pdf	1.00	29/10/2010
[R239]	CCN Business Continuity Plan Roadmap	R239_CCN-CSEC-BCPRM-EN1.00.pdf	1.00	26/12/2008
[R244]	How To Deploy And Integrate A New Site Within The CCN Network	R244_CCN-CNE-085-EN1.00.pdf	1.00	25/03/2011
[R246]	How To Get SPEED Statistics And Integrate Them In The Excel Sheet	R246_CCN-CNE-088-EN1.00.pdf	1.0	25/03/2011
[R247]	Web Portal Statistics Quick Reference	R247_CCN-CNE-089-EN1.00.pdf	1.0	25/03/2011
[R248]	SPEED Infra Access - How To Use KVM	R248_CCN-CNE-090-EN1.00.pdf	1.0	25/03/2011
[R249]	SPEED Bridge Server Operators Guide	R249_CCN-CNE-091-EN1.00.pdf	1.0	25/03/2011
[R250]	SPEED Infrastructure Administration	R250_CCN-CNE-092-EN1.00.pdf	1.0	25/03/2011

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<b>Section:Applicable documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R251]	SAR - Generation Tool	R251_CCN-CNE-093-EN1.00.pdf	1.0	25/03/2011
[R252]	CCN/TC On-Duty Tasks	R252_CCN-CNE-094-EN1.00.pdf	1.0	25/03/2011
[R253]	CCN Unavailability And Notification Rules Network	R253_CCN-CNE-096-EN1.00.pdf	1.0	25/03/2011
[R254]	Operation Manual For Statistics	R254_CCN-CNE-097-EN1.00.pdf	1.0	25/03/2011
[R255]	Portal DB Replication	R255_CCN-CNE-098-EN1.00.pdf	1.0	25/03/2011
[R256]	ACT DB Installation	R256_CCN-CNE-099-EN1.00.pdf	1.0	25/03/2011
[R257]	How To Grant TIVOLI Access To A Member State	R257_CCN-CNE-100-EN1.00.pdf	1.0	25/03/2011
[R258]	TIVOLI Webstart Configuration Using ITM 6.2.1	R258_CCN-CNE-102-EN1.00.pdf	1.0	24/03/2011
[R259]	Remove A Gateway In The ccn.ini	R259_CCN-CNE-103-EN1.00.pdf	1.0	24/03/2011
[R260]	Portal - User Reporting Configuration	R260_CCN-CNE-104-EN1.00.pdf	1.0	25/03/2011
[R261]	Post-Staging Gateway CCN Under Linux Redhat AS4-UP5	R261_CCN-CNE-106-EN1.00.pdf	1.0	25/03/2011
[R262]	Procedure To Move An LCMS	R262_CCN-CNE-108-EN1.00.pdf	1.0	25/03/2011
[R263]	Replacing A Cache Battery On CCNTC SAN	R263_CCN-CNE-109-EN1.00.pdf	1.0	25/03/2011
[R265]	Installation Of LEGATO Client	R265_CCN-CNE-110-EN1.00.pdf	1.0	25/03/2011
[R266]	How To Perform The Basics On The SAN	R266_CCN-CNE-111-EN1.00.pdf	1.0	25/03/2011
[R267]	Procedure To Remove A SSG Cluster From NSM	R267_CCN-CNE-112-EN1.00.pdf	1.0	25/03/2011
[R268]	CCN Training checklist	R268_CCN-CNE-087-EN1.00.pdf	1.0	25/03/2011
[R269]	SPEED - Security Impact Analysis	R269_CCN-CSEC-IAN-SPEED-EN1.00.pdf	1.00	14/11/2008
[R270]	Password Compliance Check Report	R270_CCN-CSEC-PWDRP-EN2.00.pdf	2.00	23/04/2007

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<b>Section:Reference Documents</b>	

Ref.	Title	Reference	Version	Date
[R271]	CCN/CSI Security Risks Assessment	R271_CCN-CSEC-RSKA-EN1.00.pdf	1.00	14/06/2006
[R272]	CCN Mail2 Phase I: Webmail User Guide	R272_CCN-CUSG-MAIL2-EN7.00.pdf	7.00	13/03/2006
[R273]	CCN Configuration & Automation - Vision Document	R273_CCN-CVIS-CONFIG-EN1.00.pdf	1.00	28/10/2009
[R274]	Password Compliance Activity - Status Report	R274_CCN-CSEC-PWD-STREP-EN1.00.pdf	1.00	17/01/2007
[R275]	Supplementary Specifications - CCN Configuration	R275_CCN-CSSP-CONFIG-EN1.00.pdf	1.00	28/10/2009
[R293]	CCN Mail 3 Study - Vision Document	R293_CCN-CVIS-MAIL3-EN1.00.pdf	1.00	22/02/2010
[R297]	DG TAXUD Technical Infrastructure Reference	R297_ITS-IRPT-INF-SC08-006-ICT-Evolutive version of Infrastructure Reference-EN-3.00.zip	3.00	30/03/2011
[R333]	Data Centre consolidation – approach and state of play	RD333_DC consolidation - Approach 120909-EN0.12.doc.pdf	0.12	12/09/2011
[R334]	ITSM New Portal - Installation Guide	R334_ITS-IING-001-Installation Procedure-Release 1 04 _of the new ITSM Portal v1 03.pdf	1.03	14/07/2010
[R335]	CCN Hardware and software products	R335_Hardware and software products.pdf	1.00	17/05/2011

Table 2: Applicable Documents

## 2.2 Reference Documents

Ref.	Title	Reference	Version	Date
[R7]	IT Testing operational planning (ITOP)	R7_ITSM installation and testing operational Plan v0 185_20110318.zip	185	18/03/2011
[R28]	ITSM Internal Procedure - Technical reviews of artefacts from system & application development	R182_IWP_Bundle_1.00.zip	1.00	18/03/2011
[R56]	ITSM CCN Report March 2011	R56_71736_itsm_report_Mar2011.zip	1.00	01/04/2011



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<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R65]	CCN/TC user account management	R65_CCN-CLST-UAM-EN2.00.pdf	2.00	03/07/2007
[R66]	SAT Report TARIC3 2.4.0	R66_TR3-ISTR-015-2-4-0+v1+00.pdf	1.00	22/02/2011
[R70]	SAT Report CS/MIS 9.2.0	R70_CSM-ISTR-007-9-2-0_SAT+Report+CS_MIS-9.2.0+v1.00.pdf	1.00	08/02/2011
[R71]	Mission - EMCS Phase 2 - Poland on 12/08/2010 and 13/08/2010	R71_ITS-IMRP-1208-PL+Phase+2-Mission+Report+v1.00.zip	1.00	26/08/2010
[R84]	Report on delivery and installation of COTS ICT products - COTS deployment (RUBIK HTML Mailing Notify) SAT Report (RfA218)	R84_ITS-IRPT-SC07-SAT+Report+(RUBIK+HTML+Mailing+notify)-EN-1.00.zip	1.00	04/02/2011
[R88]	Evolutionary maintenance of the Capacity plan for the trans-European IT services	R88_ITS-IPLN-SC08-CAP-TES-003-Evolutionary+Maintenance_3_00.pdf	3.00	03/03/2011
[R98]	CCN/TC Inventory For ITSM2 Handover Preparation	R98_CCN-CINV-HANDOVER-ITSM2-EN2.00.pdf	2.00	10/02/2011
[R106]	CIRCA presentation	R106_CIRCA-presentation.pdf	1.00	15/02/2005
[R107]	CIRCA: A Quick Reference Guide	R107_CIRCA_v.3.0_Quick_Guide_en_final.pdf	3.00	22/02/2011
[R109]	CIRCA V. 3.0 USER MANUAL	R109_Circa_User_Manual_v30.pdf	3.00	21/05/2001
[R115]	Information sheet on Activity Reporting Tool 2	R115_isis_ART2.pdf	1.00	17/05/2011
[R116]	Information sheet on CH&NO AEO and Indirect Export	R116_isis_CH-NO_&_Indirect_Export.pdf	1.00	25/10/2010
[R117]	Information sheet on Customs Monitoring Application	R117_isis_CMA.pdf	1.00	08/10/2010
[R118]	Information sheet on Combined Nomenclature	R118_isis_CN.pdf	1.00	17/05/2011
[R119]	Information sheet on anti-Counterfeiting and anti-Piracy Information System	R119_isis_COPIS.pdf	1.00	17/05/2011



<b>TAXUD/R5 – INVITATION TO TENDER TAXUD/2010/AO-13</b>	<b>REF: ITSM2-Lot1-As is</b>
<b>TAXUD - ITSM2 – ANNEX II – SERVICE REQUIREMENTS:</b>	
<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Reference Documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R120]	Information sheet on Community (Customs) Risk Management System	R120_isis_CRMS.pdf	1.00	17/05/2011
[R121]	Information sheet on CSI Bridge	R121_isis_CSI Bridge.pdf	1.00	01/04/2011
[R122]	Information sheet on User Management Module	R122_isis_CSI UM.pdf	1.00	01/04/2011
[R123]	Information sheet on Central System / Management Information System	R123_isis_CS-MIS.pdf	1.00	21/04/2011
[R125]	Information sheet on Data Dissemination System – 2 – Common Module domain	R125_isis_DDS2-CM.pdf	1.00	22/04/2011
[R126]	Information sheet on Data Dissemination System – 2 – Customs Office List domain	R126_isis_DDS2-COL.pdf	1.00	22/04/2011
[R127]	Information sheet on Data Dissemination System – 2 – EBTI domain	R127_isis_DDS2-EBTI.pdf	1.00	22/04/2011
[R128]	Information sheet on Data Dissemination System – 2 – ECICS domain	R128_isis_DDS2-ECICS.pdf	1.00	22/04/2011
[R129]	Information sheet on Data Dissemination System – 2 – EOS domain	R129_isis_DDS2-EOS.pdf	1.00	22/04/2011
[R130]	Information sheet on Data Dissemination System – 2 – EXPORT domain	R130_isis_DDS2-EXPORT.pdf	1.00	22/04/2011
[R131]	Information sheet on Data Dissemination System – 2 – SEED domain	R131_isis_DDS2-SEED.pdf	1.00	22/04/2011
[R132]	Information sheet on Data Dissemination System – 2 – Surveillance domain	R132_isis_DDS2-Surveillance.pdf	1.00	22/04/2011
[R134]	Information sheet on Data Dissemination System – 2 – TARIC domain	R134_isis_DDS2-TARIC.pdf	1.00	22/04/2011
[R135]	Information sheet on Data Dissemination System – 2 – TRANSIT domain	R135_isis_DDS2-Transit.pdf	1.00	22/04/2011
[R136]	Information sheet on European Binding Tariff Information – 3	R136_isis_EBTI-3.pdf	1.00	01/04/2011
[R137]	Information sheet on European Customs Inventory of Chemical Substances – 2	R137_isis_ECICS-2.pdf	1.00	01/04/2011
[R139]	Information sheet on Export Control System – phase 2	R139_isis_ECS phase 2.pdf	1.00	25/10/2010

<b>TAXUD/R5 – INVITATION TO TENDER TAXUD/2010/AO-13</b>	<b>REF: ITSM2-Lot1-As is</b>
<b>TAXUD - ITSM2 – ANNEX II – SERVICE REQUIREMENTS:</b>	
<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Reference Documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R140]	Information sheet on Economic Operators Systems	R140_isis_EOS.pdf	1.00	17/05/2011
[R141]	Information sheet on Generic Web Service	R141_isis_Generic Web Service.pdf	1.00	01/04/2011
[R142]	Information sheet on HTTP Internet Proxy Bridge	R142_isis_HTTP Bridge.pdf	1.00	01/04/2011
[R143]	Information sheet on Import Control System	R143_isis_ICS.pdf	1.00	25/02/2011
[R145]	Information sheet on Information System for Processing Procedures (Inward Processing Relief)	R145_isis_ISPP.pdf	1.00	01/04/2011
[R148]	CCN/CSI Architecture Design	R148_CCN-CAD-GEN-EN9.00.pdf	9.00	29/04/2009
[R149]	CCN2 Evolution Strategy Study	R149_CCN2 Evolution Strategy Study.pdf	1.00	May 2010
[R169]	Framework Quality Plan for CCN WAN	R169_CCN-EFQP-CCXXX-EN1.00.pdf	1.00	31/01/2008
[R174]	CCN/CSI environments	R174_CCNCSI_CCNT C_Environments_20110 210.pdf	1.00	10/02/2010
[R189]	CCN2 study: 10/12/2010 workshop	R189_CCN2 Study - 20101210 Workshop 2.pdf	1.00	10/12/2010
[R190]	CCN2 Vision document	R190_CCN2_Vision document-v0.06.pdf	0.06	21/07/2011
[R191]	CCN2 Interoperability Backbone (a view from the Development Contractor)	R191_Development Contractors view on CCN2 Backbone v 1 01.pdf	1.01	14/06/2011
[R200]	preSAT Report Recovery eForms v1.0.0	R200_REF-IPSR-002-1-0-0 preSAT report Recovery eForms v1.00.zip	1.00	20/05/2010
[R201]	TASMAN – System Process Model and Requirements	R201_TASMAN-SPM-REQ-System Process Model and Requirements-v2 00.pdf	2.00	0708/2009
[R202]	Non Regression Test Specifications for AIX and Windows	R202_aix-w32-NRTS-4.00.pdf	4.00	24/01/2008
[R203]	CCN/CSI Bulletin To National Administrations 2010-Q3	R203_CCN-CBLT-2010-Q3-NA-EN1.00.pdf	1.00	13/12/2010
[R204]	CCN Directory Schema Definition	R204_CCN-CCFS-DIR-EN21.00.pdf	21.00	03/12/2008
[R206]	Monitoring Services Trans-European Applic – Feasibility Study	R206_CCN-CFES-MSTEA-EN2.00.pdf	2.00	11/05/2007

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<b>TAXUD - ITSM2 – ANNEX II – SERVICE REQUIREMENTS:</b>	
<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Reference Documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R207]	CCN/CSI Functional Requirement Specifications	R207_CCN-CFRS-GEN-EN5.00.pdf	5.00	25/03/09
[R208]	CCN/CSI Functional System Specifications	R208_CCN-CFSS-GEN-EN9.00.pdf	9.00	24/04/2009
[R209]	CCN/CSI Access Control Management High Level Design	R209_CCN-CHLD-ACM-EN3.00.pdf	3.00	11/03/2009
[R210]	Vies Audit Files Dispatching – High Level Design	R210_CCN-CHLD-AUDIT-VIES-EN1.00.pdf	1.00	26/02/2009
[R211]	GT Layer High Level Design	R211_CCN-CHLD-GT-EN07.00.pdf	7.00	12/02/2009
[R212]	HL High Level Design	R212_CCN-CHLD-HL-EN06.00.pdf	6.00	27/03/2009
[R213]	CCN Intranet High Level Design	R213_CCN-CHLD-INTRA-EN7.00.pdf	7.00	03/12/2008
[R214]	CCN Monthly Statistics Report For ITSM	R214_CCN-CHLD-ITSM-REPT-EN1.00.pdf	1.00	05/11/2009
[R216]	CCN Mail2 Statistics - Technical Specifications	R216_CCN-CHLD-M2STA-EN05.00.pdf	5.00	21/01/2009
[R217]	RAP High Level Design	R217_CCN-CHLD-RAP-EN3.00.pdf	3.00	25/03/2009
[R218]	Message Routing High Level Design	R218_CCN-CHLD-ROUTING-EN6.00.pdf	6.00	28/04/2009
[R219]	SPI High Level Design	R219_CCN-CHLD-SPI-EN02.00.pdf	2.00	02/02/2009
[R220]	CCN Bi-Annual CCN Users Access Report	R220_CCN-CHLD-USR-REPT-EN3.00.pdf	3.00	22/10/2009
[R221]	Windows 32-Bits Application Platform CSI Stack High Level Design	R221_CCN-CHLD-W32AP-EN4.00.pdf	4.00	28/04/2009
[R222]	User Access Management Procedure - Impact Analysis	R222_CCN-CIAN-UAM-EN2.00.pdf	2.00	24/01/2007
[R225]	Statistics System - Integration Test Specification	R225_CCN-CITS-STATS-EN12.00.pdf	12.00	07/12/2009
[R227]	SPEED Test Tools - Integration Test Specification	R227_CCN-CITS-TOOLS-SPEED-EN1.00.pdf	1.00	10/09/2008
[R228]	Antivirus / Antispam For LCMS Policy	R228_CCN-CPOL-SPVIR-EN1.00.pdf	1.00	23/03/2006

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<b>TAXUD - ITSM2 – ANNEX II – SERVICE REQUIREMENTS:</b>	
<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Reference Documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R229]	CCN Intranet Services – Programmer's Guide	R229_CCN-CPRG-IAS-EN1.00.pdf	1.00	09/02/2006
[R230]	CCN/CSI Evolution Study - Final Report	R230_CCN-CPST-FR-EN1.00.pdf	1.00	30/04/2008
[R231]	CCN Mail2 - Statistics - Reference Manual	R231_CCN-CREF-CMST-EN3.00.pdf	3.00	05/08/2008
[R232]	CT Reference Manual (C Language)	R232_CCN-CREF-CT-C-EN8.00.pdf	8.00	27/01/2009
[R233]	GT Reference Manual (C Language)	R233_CCN-CREF-GT-C-EN04.00.pdf	4.00	27/01/2009
[R234]	HL Reference Manual (C Language)	R234_CCN-CREF-HL-C-EN16.00.pdf	16.00	13/02/2008
[R235]	HL Reference Manual (COBOL Language)	R235_CCN-CREF-HL-COB-EN5.00.pdf	5.00	06/06/2007
[R236]	CCN Statistics - Reference Manual	R236_CCN-CREF-STATS-EN2.00.pdf	2.00	05/08/2008
[R237]	Quarterly Summary Report Deliverables - 2010 - 4th Quarter	R237_CCN-CRPT-2010-Q4-DLV-EN.pdf	0.10	11/02/2011
[R238]	CCN/CSI Ola Monthly Reporting November-2010	R238_CCN-CRPT-OLA-Nov2010-EN1.00.pdf	1.00	28/01/2011
[R240]	CCN Business Impact Analysis	R240_CCN-CSEC-BIA-EN1.00.pdf	1.00	23/03/2009
[R241]	ITSM Managed COTS software	R241_SC08_ITSM_Managed COTS software_201102.pdf	1.00	02/2011
[R242]	Disaster Recovery Tasks And Procedures	R242_CCN-CSEC-DRTP-EN1.00.pdf	1.00	10/09/2008
[R243]	SPEED Websphere MQ SSL Guidelines	R243_CCN-CSEC-GDL-SBSSL-EN1.00_LISO.pdf	1.00	25/02/2009
[R245]	Incident Management Procedure	R245_CCN-CNE-086-EN1.00.pdf	1.00	25/03/2011
[R264]	DG TAXUD Applications Availability Percentages - 2010	R264_ITSM Availability statistics 2010.pdf	1.0	31/03/2011
[R276]	CSI Training Package module 2 (C)	R276_CCN-CTRA-CSI-MODULE2-ENTMOD2_19.00.pdf	19.00	01/04/2011
[R277]	CSI Training Package module 1 (C)	R277_CCN-CTRA-CSI-MODULE1-ENTMOD1-EN15.00.pdf	15.00	01/04/2011

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<b>Section:Reference Documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R278]	CSI Training Package module 3 (C)	R278_CCN-CTRA-CSI-ENTMOD3-EN15.00.pdf	15.00	01/04/2011
[R279]	CCN TAXUD Switching Procedure DIGIT LUX<BRU	R279_CCN-CTN-025-EN1.00.pdf	1.00	31/10/2010
[R280]	CCN/CSI Courses Notes: VIES Exercises (Java)	R280_TRA-CSI-(VIES)-Java-01-d03.pdf	1.01	20/09/2004
[R281]	CCN/CSI Courses Notes: VIES Exercises	R281_CCN-CTRA-CSI-VIESEXE-EN04.00.pdf	4.00	27/05/2008
[R282]	CCN/CSI Courses: VIES Exercises (Solution)	R282_CCN-CTRA-CSI-VIESEXE-SOL-EN04.00.pdf	4.00	27/05/2008
[R283]	CCN/CSI Courses Notes (Solution): NCTS Exercises (C)	R283_CCN-CTRA-CSI-NCTS-SOL-EN3.00.pdf	3.00	27/05/2008
[R284]	CCN/CSI Courses Notes: NCTS Exercises (C)	R284_CCN-CTRA-CSI-C-NCTS-EN3.00.pdf	3.00	27/05/2008
[R285]	CCN/CSI Local Administration Course	R285_CCN-CTRA-ADM-SYST-EN13.00.pdf	13.00	16/06/2010
[R286]	CCN/CSI Local Administration ADM3G Course	R286_CCN-CTRA-ADM-ADM3G-EN13.00.pdf	13.00	09/06/2010
[R287]	CCN/CSI Intranet Services Course Notes	R287_CCN-CTRA-INTRANET-EN3.00.pdf	3.00	01/04/2011
[R288]	JAVA Training Package module 2	R288_CCN-CTRA-JAVA-MOD2-EN2.00.pdf	2.00	01/04/2011
[R289]	JAVA Training Package module 3	R289_CCN-CTRA-JAVA-MOD3-EN2.10.pdf	2.10	01/04/2011
[R290]	CCN/CSI Security Training Program	R290_CCN-CTRA-SECURITY-EN3.00.pdf	3.00	01/04/2011
[R291]	SPEED Bridge Switch Procedure	R291_CCN-CTN-023-EN1.00.pdf	1.00	31/10/2010
[R292]	HTTP to CSI Generic GAS: User Guide	R292_CCN-CUSG-H2CG-EN1.00.pdf	1.00	24/03/2005
[R294]	CCN Working Procedure For Release Management	R294_CCN-CWPR-RLMGT-EN1.00.pdf	1.00	11/11/2008
[R295]	Whitepaper - Web Service Options For Current CCN	R295_CCN-CWEB-OPTIONS-EN1.00.pdf	1.00	29/04/2010
[R296]	CCN Working Procedure For Training Management	R296_CCN-CWPR-TRMGT-EN1.00.pdf	1.00	11/11/2008

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<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Reference Documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R298]	ITSM Tools software inventory	R298_ITSM Tools software inventory.pdf	1.00	23/03/2011
[R299]	Information sheet on Customs Monitoring Application	R299_isis_Monitoring.pdf	1.00	08/10/2010
[R300]	Information sheet on New Computerised Transit System - Phase 4	R300_isis_NCTS phase 4.pdf	1.00	28/02/2011
[R301]	Information sheet on TIR (Transports Internationaux Routiers) module of the NCTS	R301_isis_NCTS-TIR.pdf	1.00	08/10/2010
[R302]	Information sheet on Tariff Quota Management System – 2	R302_isis_QUOTA-2.pdf	1.00	17/05/2011
[R303]	Information sheet on Single Authorisation for Simplified Procedures	R303_isis_SASP.pdf	1.00	08/10/2010
[R304]	Information sheet on Single Electronic Access Point	R304_isis_SEAP.pdf	1.00	08/10/2010
[R305]	Information sheet on Specimen Management System	R305_isis_SMS.pdf	1.00	17/05/2011
[R306]	Information sheet on SPEED (Single Portal for Entry or Exit of Data)	R306_isis_SPEED & EU-RU TIR.pdf	1.00	28/02/2011
[R307]	Information sheet on Standard Transit Test Application	R307_isis_STTA.pdf	1.00	22/04/2011
[R308]	Information sheet on Surveillance Management and Monitoring System – 2	R308_isis_SURV-2.pdf	1.00	01/04/2011
[R309]	Information sheet on Autonomous Tariff Suspension and Quota Measures Management System	R309_isis_SUSP.pdf	1.00	17/05/2011
[R310]	Information sheet on Single Windows	R310_isis_SW.pdf	1.00	08/10/2010
[R311]	Information sheet on Tarif Intégré Communautaire – 3	R311_isis_TARIC-3.pdf	1.00	17/05/2011
[R312]	Information sheet on Tool for Automated Supply Management	R312_isis_TASMAN.pdf	1.00	17/05/2011
[R313]	Information sheet on Transit Test Application	R313_isis_TTA.pdf	1.00	17/05/2011

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<b>Section:Reference Documents</b>	

<b>Ref.</b>	<b>Title</b>	<b>Reference</b>	<b>Version</b>	<b>Date</b>
[R314]	Information sheet on Exchange of Forms	R314_isis_EoF.pdf	1.00	07/10/2010
[R315]	Information sheet on Mini One-Stop-Shop	R315_isis_Mini 1SS.pdf	1.00	07/10/2010
[R316]	Information sheet on Taxes in Europe Database	R316_isis_TEDB.pdf	1.00	06/10/2010
[R317]	Information sheet on Taxes in Europe Database v2	R317_isis_TEDBv2.pdf	1.00	27/10/2010
[R318]	Information sheet on Taxation on Savings Exchange System	R318_isis_ToS.pdf	1.00	07/10/2010
[R319]	Information sheet on TIN-on-the-Web	R319_isis_ToW.pdf	1.00	28/02/2011
[R320]	Information sheet on VAT Refund	R320_isis_VAT Refund.pdf	1.00	07/10/2010
[R321]	Information sheet on VAT Information Exchange System	R321_isis_VIES.pdf	1.00	07/10/2010
[R322]	Information sheet on VAT on e-Services	R322_isis_VoeS.pdf	1.00	07/10/2010
[R323]	Information sheet on VIES-on-the-Web	R323_isis_VoW.pdf	1.00	07/10/2010
[R324]	CCN2 Interoperability Backbone (a view from the CCN/TC Contractor)	R324_CCNTC Contractors view on CCN2 backbone v 1 00.pdf	1.00	04/05/2011
[R325]	Information sheet on System of Exchange of Excise Data	R325_isis_SEED.pdf	1.00	28/02/2011
[R326]	Information sheet on Movement Verification System	R326_isis_MVS.pdf	1.00	19/05/2011
[R327]	Information sheet on Early Warning System for Excise	R327_isis_EWSE.pdf	1.00	19/05/2011
[R328]	Information sheet on Excise Movement Control System	R328_isis_EMCS.pdf	1.00	19/05/2011
[R329]	Information sheet on Central System / Management Information System for Excise	R329_isis_CSMISE.pdf	1.00	17/05/2011
[R330]	Information sheet on Test Application	R330_isis_TA.pdf	1.00	17/05/2011
[R331]	Excise Systems	R331_Excise Systems.pdf	1.00	22/05/2011
[R332]	Application Complexity model	R332_ITSM2-Lot1-complexity-model-v3.00.xls	1.00	16/08/2011

Table 3: Reference Documents

<b>TAXUD/R5 – INVITATION TO TENDER TAXUD/2010/AO-13</b>	<b>REF: ITSM2-Lot1-As is</b>
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<b>Section:Reference Documents</b>	



The ITSM Service Provider maintains a list of internal processes applicable to the incumbent contract. A bundle of all-applicable Internal Working Procedures (IWP) available at the time of writing is referred to in the list of Reference Documents.

Some specific IWP are referred to throughout this document for the ease of reading. All others IWP covered in the bundle are of course as well applicable. The index file associated to this bundle gives an overview of the available IWP at the time of writing. As these IWP are maintained as part of the Continuous Services they will be most probably evolve before the end of the incumbent ITSM Framework Contract.



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<b>Section:References</b>	

## 2.3 References

Throughout this call for tenders package references are made to:

**ITIL:** IT Infrastructure Library (ITIL) for the implementation of the IT Service Management Processes. Information about service management processes can be found in the formal publications of the Office of Government Commerce (OGC), at <http://www.ogc.gov.uk>. References to ITIL are drawn from the publications of the OGC and from a set of complementary publications by itSMF such as the set of "pocket guides" and "IT Service Management based on ITIL: An introduction".

**TEMPO:** The DG TAXUD methodology to ensure the consistent and efficient management, set-up, development, operation and support of projects and service management for more information. The tendering parties are invited to access TEMPO at the following URL:

<http://circa.europa.eu/Members/irc/taxud/tempo/home>

With the following parameters to sign in:

User identifier:       **tempoguest**  
 Password:               **guest700**  
 Domain:                 **circa**

### **ISO standards**

The following ISO standards are referred as applicable in this Scope document:

- ISO 20000-2:2005 (IT Service Management Part 2 - Code of Practice)
- ISO 27001:2005 (IT Security Techniques – Information security management systems)
- ISO 27002:2005 (IT Security Management - Code of Practice for information security management)

**The Baseline:** repository of DG TAXUD documents providing detailed specifications, descriptions and reports on DG TAXUD IT service activities of relevance for the contract.

The baseline is provided on DVD-ROM as Annex XI of the Tendering specifications and available on request to: [Taxud-tenders@ec.europa.eu](mailto:Taxud-tenders@ec.europa.eu). **A non-disclosure declaration (Annex IX) will need to be signed by the potential tenderers.**

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The **ITSM2 Lot1** contractor needs to take into account that the baseline reflects the situation applicable at the time of publication of the call for tenders and that it will evolve.

In case of a conflict between the applicable documents, the following order of decreasing precedence shall prevail, unless otherwise stated:

- The **ITSM2 Lot1** call for tenders (of which this document is part) and the documents referenced in the call for tenders Baseline;
- TEMPO;
- International standard and best practices as ISO 20000-2:2005, ISO 27001:2005, ISO 27002:2005, ITIL;
- The remaining documents included in the call for tenders Baseline.

The latest Release of TEMPO is to be used by the **ITSM2 Lot1** bidder. The list of TEMPO documents referred to in this document is only added in order to make the reading easier. They are neither exhaustive nor legally binding; they are only provided as additional information.

References to DG TAXUD are based on the organisational structure at the time of writing the call for tenders that will evolve.

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Section:IT activities of DG TAXUD	

### 3 Background information

#### 3.1 IT activities of DG TAXUD

##### 3.1.1 IT in support to policy

DG TAXUD coordinates and manages a set of operational activities relying on IT systems in support of the EU policies for customs, taxation and excise duties (cf. the mission statements, [R110], [R111] and [R112]). Actually, this comprises direct and indirect taxation, tariff strategy, eCustoms, the future Modernised Customs Code, risk management, safety and security, the fight against counterfeited goods, as well as international policy objectives.

TAXUD's IT systems are a **unique instrument** to sustain the **continuity of operation of a broad range of customs and taxation procedures** within the EU.

The main objectives are:

- To support the **uniform management of the Customs Union** and to maintain the fluidity of the **flow of goods at the border** of the EU through the availability of customs trans-European systems, such as the New Computerised Transit System, the Export Control System and the Import Control System. Any unavailability of these systems would have an immediate and highly visible adverse impact on the economic activity of the EU, such as lorry queues at the borders and ports, loss of containers, distortion in the application of legislation, increased risk of fraud and loss in revenue collection etc.
- To contribute to the **fight against fraud**:
  - **In the area of customs**: TAXUD's IT systems support the sharing of risks profile amongst Member States and will soon feed the European Anti-fraud Office (OLAF) with information on sensitive consignments;
  - **In the area of taxation**: IT systems also allow for a rapid exchange of secure information and thus for the efficient **fight against different types of tax fraud**. This is the case in the areas of:
    - VAT, through the VAT Information Exchange System;
    - savings through the Taxation on Savings system;
    - administrative co-operation and mutual assistance;
 or to better control movement of excise goods across the EU.
  - To **facilitate** the handling of tax and customs procedures **for citizens and economic operators** by enabling the **refund of VAT** from a Member State (in which an economic operator is not established) and **through the**

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**publication** of the most relevant information (including customs tariff, balances of tariff quotas, VAT number identification), contained in its IT systems, on the Commission’s Europa web site.

Some traders have integrated the availability of the information in their daily processes. Therefore, they rely heavily on this service. The success of these services is constantly increasing with the number of queries made by the traders estimated to be above 100 million requests in 2010.

### 3.1.2 IT systems

Most of the IT systems of DG TAXUD are trans-European systems spanning all Member States of the EU. The users are the national administrations, the traders’ community and the Commission Services. Other IT systems include systems to manage reference data, test and monitoring applications, and dissemination applications to the wide public (e.g. via the Europa web site).

All the IT systems have a legal basis<sup>2</sup> and receive budgetary support from EU programmes, currently Customs 2013 and Fiscalis 2013 for which they represent a significant part of the expenditure.

A trans-European system (TES) performs specific business functions in Customs or Taxation as defined in or in support of Union policies. A trans-European system is a **collection of collaborating systems (orchestrated and choreographed) with responsibilities distributed across the National Administrations and the Commission**. It includes processes, applications, services and infrastructure.

A trans-European system (**TES**) is characterised by:

- Exchanges of information between the National Administrations at EU level (NA<->NA); in this case, the system forms a set of interoperable business systems implemented and operated by the National Administrations, under the overall co-ordination of DG TAXUD; the National Administrations are meant to integrate into their own national systems the business processes agreed at EU level; it is referred to as a distributed **TES**;
- And/or exchanges of information between National Administration and the Commission (NA<->EC); in this case, the system is operated by DG TAXUD; it is referred to as a centralised **TES**.

Exchanges take place on a secured Common Communication Network (CCN), according to agreed protocols and data formats.

<sup>2</sup> For example in 2008 important legal acts for IT systems were the so-called “VAT package”, the Modernised Customs Code and the eCustoms decision on a paperless environment for customs and trade.

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The development of an IT system constitutes a major project to be run over several years, the full description of which is available from TEMPO (Trans-European Systems (**TES**) reference manual). An extract from this documentation is provided here below to introduce the notion of the lifecycle and the respective phases of the trans-European system development project.

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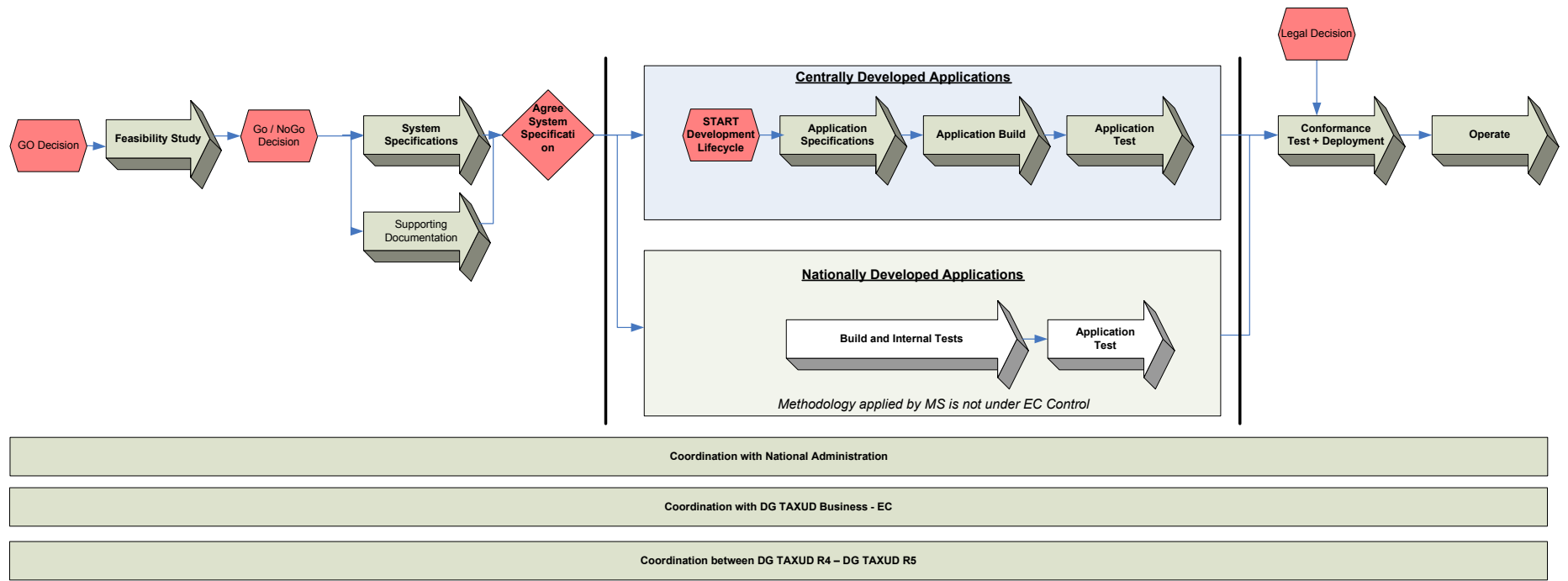


Figure 1: Trans-European System Development Lifecycle

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As examples of some IT systems, we can mention:

- **In the field of taxation:** the *VIES network* enables the tax administrations to verify trader's VAT identification numbers and statements of their intra-EU turnover, the *VAT on e-Services system* provides for the management of the VAT revenues in connection with services provided on the internet by non-EU traders, the *VAT refund system* enables traders to obtain the refund of VAT from a Member State in which they are not established, the *Taxation on savings system* enables Member States to exchange information on interest payments by paying agents established in their territories to individuals resident in other Member States,
- **In the field of customs:** the *Quota system* enables to publish the tariff quotas and tariff ceiling to the trader community, the *Transit system* enables the customs offices to automatically track and control the movements of goods in transit through the EU, the *Export Control System* provides full control on the conclusion of export operations in particular when different Member States are involved, the *Import Control system* is devoted to the import operations, the *Surveillance system* complements the other customs systems and contributes to the fight against fraud by enabling the surveillance of the movement of goods inside and outside the EU,
- **In the field of excise:** *Excise Movement and Control system* allows for the control of movements of products falling under suspension arrangement of excise duties.

Overall in 2010, the IT activities generated around 1.022 Mio of exchanges of information between the Member States and the Commission amounting for more 2,6 terabytes of information. This information exchanges grew 10 times over the last 5 years and has an annual growth factor of approximately 50% (2010 compared to 2009).

DG TAXUD also makes available, through the Commission's Europa website, a wide range of information and services to the citizens and to the traders in order to enable them to consult measures relating to tariff, commercial and agricultural legislation, tariff quotas, to query authorised economic operators, to consult the list of transit customs offices, validate VAT numbers, to consult the main taxes in force in the EU Member States or to query excise numbers.

On 01/01/2009, and innovating in the context of customs international activities, an electronic connection was launched with Russia to allow for secure data exchange of TIR movement data, in order to address lorry congestion at the EU-Russia border (currently 3,500 movements supported daily).

All these activities rely on a secure and reliable communication between the Member States and with the Commission. This is realised thanks to a common private communication network (CCN) that TAXUD has developed and operated for more than 10 years across the EU and which transports and exchanges a massive amount of messages and information.

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In particular, in the context of EU enlargement, connecting the candidate country to the network is one of the first IT activities to be started well before the target enlargement date.

The common communication network (CCN), given its central role, is an important component of the whole IT architecture to ensure the security, availability and continuity of the service. It is managed by the Commission and has evolved over the years in the biggest network linking the Commission and Member States, in terms of number of application data exchanges and probably among the largest administrative networks worldwide.

Experience suggests that the **time to develop and deliver a trans-European IT system ranges from 2 to 8 years** according to the complexity and the level of implication of the Member States. This demands to manage each trans-European IT project under strict governance, using a proven project management methodology.

### 3.1.3 Governance

The management of Trans-European IT projects involves different levels of governance, involving the Commission and the National Administrations.

- DG TAXUD is **assisted by Comitology committees**, such as the Customs 2013, Fiscalis 2013 committees, and the Standing Committee on Administrative Cooperation. These groups are each supported by a sub-committee dedicated to IT matters. Each IT sub-committee meets several times a year under TAXUD's chairmanship with the participation of heads of IT from National Administrations.
- **Technical Experts' groups** with the National Administrations to deal with technical related project matters which meet with a frequency from monthly to quarterly according to the pace of development. Each TES and IT Services from the Commission are overseen by such a working group (ex: Electronic Customs Group, Modernised Customs Code Group, etc...).
- DG TAXUD also needs to ensure that any decision on IT matters is taken in full understanding of the context, challenges, impact and associated risks. This is why DG TAXUD applies internally strong IT governance. All the IT systems are managed under the supervision of an **IT Steering Committee**, chaired by the Director General and composed of the board of Directors and the head of the financial and human resource unit. The IT Steering Committee meets regularly (quarterly on average) and takes decisions on IT working plans, priorities and resource allocation upon proposal from the IT units.

The **audit on the large IT systems** performed in 2006 by the **Internal Audit Service** of the Commission delivered reasonable assurance to DG TAXUD for its project management processes. Following further recommendations from the audit, DG TAXUD has put special attention and continues its efforts to better formalise with the Member States the agreement on quality of service and the security aspects.



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### 3.2 Recent achievements and future developments

The capacity demonstrated over the last two decades in the creation of successful IT systems supporting the integration of customs and fiscal administrations in the EU has positioned IT at the heart of the European construction in the areas of customs and taxation.

In particular, for *Customs*, the e-Customs Decision underlined the central role of DG TAXUD in the creation of systems supporting the customs union and generated the need for a number of new trans-European systems successfully deployed over 2009 and 2010. The Modernised Customs Code and its implementing provisions added a new challenge for IT since it requires reassessing the whole of the customs procedures and underlying IT systems in order to meet the diversity of expectations from the different stakeholders. Specification work with the Member States has started with the definition of the business process models and the development of an IT mast plan is ongoing.

The perspectives for developing new IT systems under *Taxation* spanned over 2009 for VAT refund systems and over 2010 for the systems related to Recovery and Direct Taxation. In the longer term (2015), the one-stop-shop IT system will greatly simplify the tax declarations for e-commerce, telecommunication and broadcasting activities throughout the EU.

The years 2009-2010 were unique in terms of the high number of IT systems deployed into operations. A strong commitment and collaboration between the Member States and the Commission was required to respect deadlines:

- The *Customs* systems were deployed by 01/07/2009 (the system for economic operators, the upgrade of the transit system for security, anti-fraud information, enquiry and recovery procedure, and the upgrade of the export control system).
- The *Taxation* systems were deployed by 01/01/2010 (several improvements of the quality of data under the VAT network, the VAT package, and the upgrade of the Europa services on VAT).
- The new import control system, the upgrade of the integrated Community tariff management system followed in 2010, together with the entry into operation of the *Excise Movement Control System* (EMCS), which improves the functioning of the Internal Market and helps fighting fraud. The exchange of electronic forms for the recovery of claims, for mutual assistance in the field of direct taxation, and for Council Regulation (EC) No 1798/2003<sup>3</sup> and Commission Regulation (EC) No 1925/2004<sup>4</sup> in VAT was deployed as well.

DG TAXUD anticipates a **significant increase of the volume of IT activities and IT operations for the years to come**. This is due to the future deployment of additional customs IT systems, as a result of the eCustoms Decision and the Modernised Customs Code, the

<sup>3</sup> OJ L 264/1, 15.10.2003

<sup>4</sup> OJ L 331/13, 05.11.2004

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operation of the EMCS and its further expansion in 2011 and 2012, of the VAT package, and possible additional systems for exchange of data between the EU and third countries such as Japan, China and US, and Eastern neighbourhood.

The developments described below are only a projection of potential IT systems development in the coming years, on the basis of the current EU policy and legislative framework, but may be amended during the life of the ITSM2 contract. It should be underlined that this list does not reflect current formal requirements or priorities of the Commission or Member States in the field of Excise, Taxation, and Customs, nor is it exhaustive. It remains to be established if MSAs would be favourable to some of these initiatives. It is merely indicative of the type of future evolutions possible.

In the *Customs* area, the implementation of the Modernised Customs Code constitutes a comprehensive exercise, going beyond the adoption of implementing provisions, and includes in particular the development of the necessary IT applications within the framework of the e-Customs Decision. Their implementation will involve the test, deployment and monitoring of evolutions of existing systems or of development of new systems such as:

- Single Window, Single Electronic Access Point (SEAP), Registered Exporters (REX);
- Centralised Clearance at Import and Export;
- The adaptation of safety & security for small consignments;
- The evolution of ECS, ICS and NCTS;
- Customs Decisions (standard procedure and specific decisions as required);
- Possible evolutions on AEO and EORI;
- Adaptation of BTI system to include new functions including trader access;
- Possible evolutions of risk management;
- Guarantee management;
- Evolutions of Export and Transit (simplified procedures);
- Additional systems may be developed for exchange of data between the EU and third countries, and existing systems may be extended to third countries.

In *Taxation*, several activities are envisaged in the foreseeable future:

- In Indirect Taxation, the main changes envisaged are the introduction of the Mini-One-Stop-Shop system (mini1SS) and the VAT on e-Services system (VoeS), both of which are to start operations in 2015.
- In the field of VAT, the main changes in the next few years will be the implementation of the Recast in Directive 904/2010. After this the current public consultation about the Green Paper on the Future of VAT may result in a very significant change to the VIES system. These changes, if any, are not expected to become operational before 2015.

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- In the field of Direct Taxation, a Feasibility Study is to be launched on the implementation of the FISCO Recommendation. This could lead to the launch of a new Trans-European FISCO system, with possible interactions with OECD members across the world. If the project continues, it is expected that a FISCO system would not become operational before 2015

Possible smaller systems in the 2015-2020 timeframe could include an IT system to support taxation on road transport means, on financial transactions or to support own resource taxation of the EU, for instance on CO<sup>2</sup> emissions.

- Regarding administrative cooperation among the Member States, new IT systems may be requested to support the EUROFISC information exchanges. It is possible that an extensive overhaul would take place of the e-Forms and other administrative cooperation tools currently in place.

Frequent requests are received to extend administrative cooperation with members of the OECD. The most notable of these requests were to extend CCN/Mail and the exchanges of e-Forms, as well as to extend the possible future FISCO system. At the moment, international agreements are not in place to enable such an extension but, if the political decision is taken within the next few years, the EU/OECD exchange over CCN/Mail could then be expected to start operations in the period 2015-2020.

Beyond 2013, there are at this stage no formal requirements yet for evolution of EMCS and/or future Excise applications.

By analogy to similar evolutions in the taxation and customs areas, a number of initiatives could be taken, either extension of the existing systems of harmonisation with other sectors.

- The extension of EMCS to duty paid and distance selling;
- The globalisation in EMCS; follow-up of movements/quantities under simplified procedures;
- In the direction of harmonisation across sectors and simplification: the computerisation of Excise Simplified procedure authorisations, and the potential merge of SEED into AEO/EORI with a view of consolidating Economic Operators' registers; the harmonisation of guarantee management across customs/tax/excise;
- The development of new functionalities, such as common risk assessment;
- Further possible developments of EMCS: the creation of a Single window, allowing multinationals to make declarations from any MSA for all their movements; the set-up of 1-stop-shop, so that payments as well can be made in any MSA; this could cover both duty paid and duty suspension movements (or actually abolish the difference);

The Customs 2013 and Fiscalis 2013 programmes provide for **an increased annual budget** to support much of this growth (from **55,5** Mio Euro initially foreseen for IT systems in 2009 up to **73,6** Mio Euro in 2013).

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In order to cope with the new IT systems and the expected growth of the traffic, the **common private communication network (CCN) will need to be upgraded** as well. This concerns not only its capacity but also its security and its overall architecture.

### 3.3 IT organisation in DG TAXUD

The **Information Technology Steering Committee (ITSC)** of DG TAXUD acts to ensure high-level authorisation for IT projects in line with the principles of good management and financial governance, under the overall supervision of the IT governance bodies of the Commission.

The **Stakeholders** for DG TAXUD information systems are the Commission, National Administrations, traders or the public in general.

The Information Technology Units (**R4** and **R5**) are responsible for administering the computerisation activities of DG TAXUD in line with the policies of the DG. This includes the provision of business-critical operational services and central information systems necessary for the support of the National Administrations and Commission services.

The **mission** of the Information Technology Units is to:

- Develop and operate secure Information Systems (IS) and transmission services appropriate to beneficiaries in DG TAXUD, Commission services and Member States' administrations.
- Maintain and develop a coherent Information Systems Architecture consistent with the Commission standards policy, allowing interoperability of administrations in the EU and partner countries for the benefit of the Customs and Tax policies.
- Provide and support efficient office automation facilities for approximately 550 staff of the DG TAXUD.

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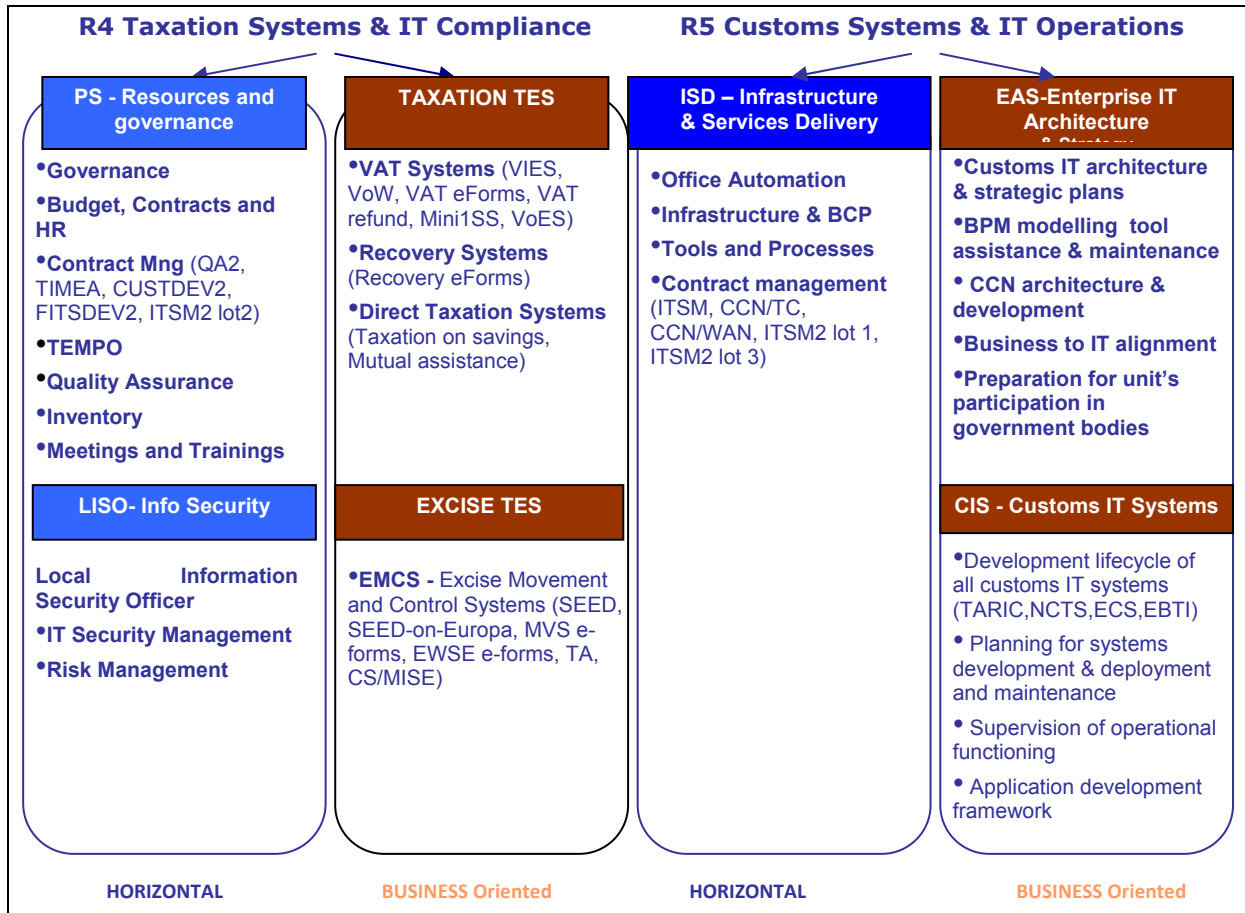


Figure 2: IT organisation in DG TAXUD

The Unit R4 is divided in four sectors:

- Resources and governance sector (R4/PS):** is a “horizontal” sector involved with governance, budget, contracts and project management, human resources and support to other sectors of DG TAXUD IT Units from Quality Assurance and Quality Control point of view; R4/PS will be in charge of the management of the relationship between TAXUD and the ITSM2 Lot 2 contractor.
- Excise Trans-European Systems sector (R4/EMCS):** defines, maintains and evolves, in close cooperation with the Member States and on the basis of the EU legislation in place, the IT systems related to the monitoring of movements of excise goods under suspension of excise duty within the EU. These systems are designed to simplify the administrative procedures for the traders involved in intra-EU movements of excise goods, while securing the fiscal revenue of the Member States. The sector also coordinates with the Member States to ensure the constant level of quality and correct functioning of these trans-European systems while in their operational phase.
- Taxation Trans-European Systems sector (R4/TAX):** defines and creates EU-wide IT systems aiming at supporting the fight against fraud or simplifying the VAT compliance obligations, in close cooperation with the Member States. In the field of

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VAT, the two main systems are VIES and VAT Refund. Part of the functionality of VIES is also used by the general public via the VIES-on-the-Web application. The sector has also developed standardised e-forms to smoothen and fasten the administrative cooperation in the field of VAT, Recovery of Claims and mutual assistance for Direct Taxation. The sector has developed and maintains the Taxation on Savings system and the Taxes in Europe database.

- **Local Informatics Security Officer (LISO):** defines the DG TAXUD-specific Information Security Policy, oversees the development of security plans approved by DG TAXUD and monitors its implementation, develops information security awareness and training programmes, maintains an inventory of information systems, with a description of security needs, advises and reports on information systems security matters.

The **Unit R5** is divided in three sectors:

- **Infrastructure & Service Delivery (R5/ISD):** The sector is responsible for:
  - Providing office automation services (supply the office automation equipment, user support, helpdesk, management of IT logistics including acquisition, move and decommissioning).
  - Managing the infrastructure used by the Information Systems in support of the Customs and Tax policies, the DG TAXUD specific administrative processes.
  - Assuring continuity of operation of the IT function in case of disaster.
  - Operating the infrastructure allowing interoperability of administrations in the EU and partner countries for the benefit of the Customs and Tax policies (CCN contracts).
  - Managing the IT Operations (ITSM contract).
  - Designing and implementing the IT operation processes in DG TAXUD and all its suppliers.
- **Customs IT systems (R5/CIS):** The sector is responsible for:
  - The system development lifecycle of all Customs IT systems.
  - The maintenance of the operational planning for systems development and deployment.
  - The co-ordination of the implementation and maintenance of all Customs IT systems in EU in collaboration with internal and external stakeholders.
  - The supervision of their operational functioning and the production of related statistics, dashboards, etc.
  - The system development lifecycle methodology for all Customs IT systems.
  - The application development framework of all Customs applications.
  - The maintenance of a repository of all artefacts of Customs IT systems.
- **Enterprise IT architecture and Strategy (R5/EAS):** The sector is responsible for:

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- The overall Customs IT architecture and IT strategic plan.
- Providing assistance to Customs business units for the correct use of the modelling tool ARIS.
- Maintaining in ARIS, in close cooperation with the Customs units and CIS, a coherent view of the enterprise architecture, including its business data, business processes, business rules and technical IT plan.
- Providing advice to Customs policy units for the optimal use of IT in reaching their policy objectives; to assure this duty, the section shall represent the unit in coordination groups created either internally or with the participation with MS in view of policy coordination and development.
- The technical studies, architecture and development of the CCN platform.
- The overall coherence of IT architecture of DG TAXUD, which is operationally implemented by the sections ISD and CIS.
- Assuring the secretariat of DG TAXUD's architecture board and through this body promoting business to IT alignment.
- Preparing the unit's participation in governance bodies, such as the ECG IT and legal, the IT steering committee, the High-level group for the MCC, etc.

In addition to the above, DG TAXUD **Unit A3** is in charge of **MCC and BPM functional structure** to define, in close cooperation with the Member States, the requirements and business process models of the customs IT systems related to the Modernised Customs Code and its implementing provisions.

Some changes in this organisation may occur during the course of the ITSM2 contract.

### 3.4 Contractual aspects

#### 3.4.1 External contractors

DG TAXUD relies on the Commission's DG for Informatics (DIGIT) for hosting part of the IT systems. In parallel, DG TAXUD **outsources the bulk of its IT activities to external service providers**, which are contracted through public procurement procedures in compliance with the Financial Regulation. The products and services supplied are all subject to a systematic quality control and testing as part of the acceptance procedures.

Units **R4** and **R5** rely on several **external contractors** to perform their duties (refer to figure 4 below for a graphical representation of the current contracts):

- Two development contractors (CUSTDEV2 for Customs, FITSDEV2 for Taxation)
- One IT service management contractor (ITSM)
- One common network provider (CCN/WAN2)
- One network technical centre (CCN/TC)

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- One quality assurance/control contractor (QA2)
- Several consulting contractors to perform strategic studies and analyses

### 3.4.2 Interaction rules between the ITSM2 contractors and DG TAXUD

Concerning the **ITSM2** activities (i.e. the subject of this call for tenders), it is foreseen that:

- **ITSM2-Lot1** will be managed by **R5**, and will provide services to units **R4** and **R5**;
- **ITSM2-Lot2** will be managed by **R4** and will provide services to **R5/Customs Information Systems**, **R4/EMCS**, **R4/TAX**, **A3/Modernised Customs Code** and on a need basis to other sectors from unit **R5**;
- **ITSM2-Lot3** will be managed by **R5**, will provide services to unit **R5** and may provide services to unit **R4** as well upon request.

In terms of demand management, DG TAXUD will be solely responsible to order services from the **ITSM2** contractors. It means that:

- TAXUD orders services from **Lot1**, **Lot2** and **Lot3**, relying on Specific Contracts and Request for Actions;
- **Lot2** will use the tools/test application/etc. made available by **Lot1** in order to run its services. **Lot2** will report to TAXUD and indicate what needs to be ordered from **Lot1** to support the **Lot2 TES** activities.

DG TAXUD-Unit R3 will also be a stakeholder under the three lots as the unit is responsible for the management and implementation of the Customs 2013 and Fiscalis 2013 co-operation programmes.

### 3.4.3 Role of QA2 contractor

DG TAXUD is supported by the QA2 contractor, which performs quality control over the activities of the other IT contractors of DG TAXUD.

The QA2 contractor:

- Performs (on-site) audit of the **ITSM2** contractors (quality/security/ad hoc);
- Coordinates the review by DG TAXUD of the **ITSM2** deliverables, and performs technical reviews of these deliverables;
- Monitors the service levels provided by the **ITSM2** contractors;
- Performs (on-site) quality control of the testing activities (application testing, conformance testing).



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- Attends meetings, workshops, training sessions organised by the **ITSM2** contractors.

The QA2 contractor is also responsible for quality assurance. It maintains the TEMPO methodology, provides technical expertise and assists DG TAXUD for the continuous improvement of its IT maturity and of its contractors.

In this context, the **ITSM2** contractors must be ready to collaborate with the QA contractor.

### 3.4.4 Demand management

Services are ordered in accordance with the following:

- The Framework Contract (FC) identifies the services available and offers a price catalogue: services with a unit price, services to be quoted in man / days together with the unit price of the profiles available, hardware and software licenses unit prices, rules for reimbursement of travel expenses;
- Following the FC, Specific Contracts (SC) can then be signed. They specify the list of services concerned and the way these will be ordered:
  - The "**Fixed Price**" services: are the services (of any type) which may start with the signature of the SC;
  - The "**On-Demand**" services: are the services with a unit price, which may be ordered by means of a "**Request for Actions – RfA**". Once a RfA has been issued by DG TAXUD, quantity of the corresponding services becomes available for consumption; these services are then "triggered" by DG TAXUD according to the needs. Once completed, the service is accepted normally via the acceptance of the monthly progress report where the related deliverables are listed. Accepted quantities may then be invoiced. This mechanism enables DG TAXUD to better align the services (and budget) with the needs; it implies a proper "demand management" process is put in place to closely follow the quantities available, services consumption and related ordering, and quantities formally accepted ready for invoicing;
  - The "**Quoted-Time-and-Means**" services: are the services to be quoted in man / days which may be ordered by means of a "**Request for Action - RfA**" following an acceptable offer received from the contractor. The offer is meant to answer to a "**Request for Estimate - RfE**" to be issued by DG TAXUD;
  - The "**Infrastructure**" services: the hardware and software licenses, which may be ordered by means of RfEs and RfAs.

The SC may as well foresee a budget provision for travels, based on the travels needed for the estimated services. **Travels** are ordered by means of RfAs either individually or in a pool. A

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careful monitoring of the travel budget consumption is required by both the contractor and DG TAXUD in order to keep overall travel costs within the budget provision.

If, during the course of the SC, a budget provision becomes insufficient to cover the real needs, the SC may be amended either by revising the distribution of the overall budget between the different budget provisions (On-Demand, Quoted Times and Means, Infrastructure, Travels) or by adding additional budget where needed (the pre-condition for this alternative is that external budget still remains available from the operational budget lines of DG TAXUD).

The tenderers should refer to the **Price List Table** annexed to the call for tenders to get the pricing strategy to be used in each of the **ITSM2** lots.

DG TAXUD is developing a tool, TASMAN (Tool for Automated Supply management), to manage the ordering and acceptance of the deliverables and services related to the development and operation of the trans-European IT systems. The **ITSM2** contractors will use this tool when available (expected in the course of 2012).

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### 3.5 TEMPO documentation

DG TAXUD wants to ensure that the different projects are well managed with deliverables on time and within budget and high-level Quality Assurance and Quality Control, and that cooperation between DG TAXUD and its service providers is optimal. To do so, DG TAXUD has created, develops and maintains the **TAXUD Electronic Management of Project Online (TEMPO)** quality management system. This methodology is fully part of the technical specifications.

The **TEMPO** documentation is hosted on Europa web site (CIRCA pages) and is available for members of the [TEMPO Interest Group](#). Account registration can be requested via the Project Support Office [TEMPO mailbox](#). A specific account has been set-up for the tenderers to access the documentation. See section "References" for the details of this account.

The tenderers are invited in particular to read the following TEMPO documentation:

- **General documentation:**

- Introduction to TEMPO
- Project Management reference manual
- Quality Management reference manual and Quality Policy
- Information Security reference manual and Information Security Policy
- Specific Contract management reference manual and Deliverables acceptance reference manual, and procedures

- **Trans-European systems:**

- Trans-European Systems (TES) reference manual
- TES high-level security policy, and TES Security Plan reference manual
- Application Management reference manual
- Application Development reference manual
- Business Perspective reference manual
- IT Strategic and Tactical Planning reference manual
- Planning to Implement Service Management reference manual
- Testing reference manual
- Conformance Test procedure

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- Service Delivery reference manuals (Service Level, Availability, Continuity, Financial and Capacity management)
- Service Support reference manuals (Service Desk, Incident, Release, Change, Configuration, and Problem management), and related procedures
- Risk management reference manual
- ICT Infrastructure reference manual

Additionally, TEMPO provides for supporting documentation such as fact sheets, procedures, guides and templates.

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## 4 Overview

The IT Services to be provided by the ITSM2 contractors for **Lot1**, **Lot2** and **Lot3** are depicted in the following diagram:

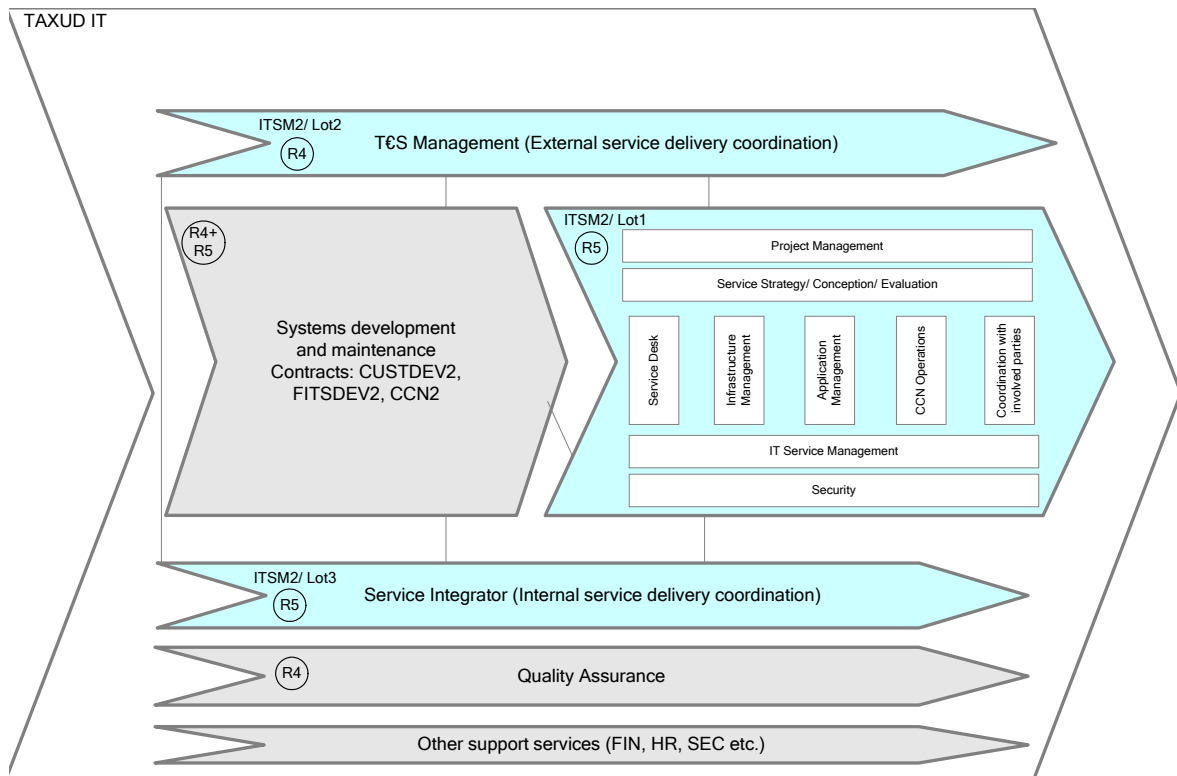


Figure 3: ITSM2 Contract's Structure with the three Lots: **Lot1**, **Lot2** and **Lot3**.

The different lots are:

- Lot1:** IT Service Management 2, covering applications management, operations, infrastructure and building infrastructure for both CCN and central applications. These activities are currently sourced from the ITSM and CCN/TC contracts. In addition to the services depicted in the figure above, transition services such as Take-Over and Hand-Over and other supporting services, such as Service Management Tools development and maintenance, translations, organisation and provision of training and missions are foreseen. **ITSM2 Lot1** is under the responsibility of unit **TAXUD/R5**.
- Lot2:** Trans-European Systems management (**TES**): this lot will provide support services for the coordination of implementation of trans-European systems in members States. **ITSM2 Lot2** is under the responsibility of unit **TAXUD/R4**.
- Lot3:** Operations integration and control, including application architecture board, architecture choice, product choice, overall change management across different Lots and benchmarking. **ITSM2 Lot3** is under the responsibility of unit **TAXUD/R5**.

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Compared to the current ITSM contract, for **ITSM2** the sourcing of the future **TES** management service is separated from operations into two lots: **ITSM2 Lot2** and **ITSM2 Lot1** respectively, while **ITSM2 Lot3** is an addition.

Another major difference between the ITSM contract and the future **ITSM2** contract is the addition or merge of CCN applications management, operations, infrastructure and Data Center into **ITSM2**.

The IT value chain of DG TAXUD is depicted below:

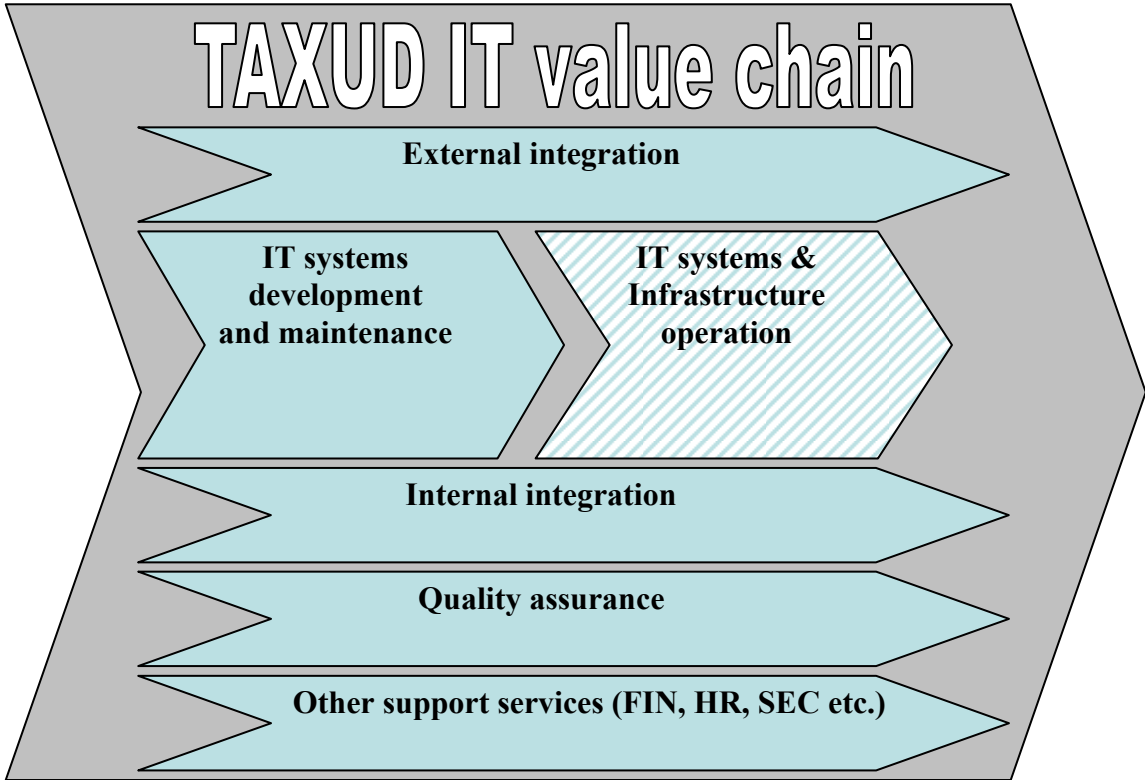
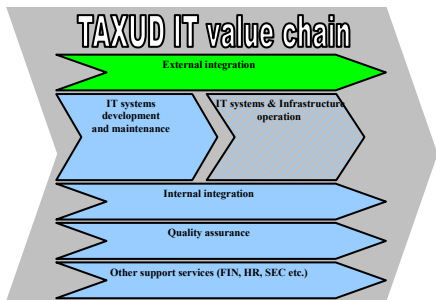


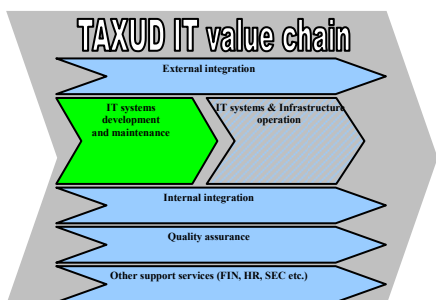
Figure 4: DG TAXUD IT Value Chain

Hence, essentially the **ITSM2 Lot1** contractor will have to deal with the shaded part of the above value chain. **ITSM2 Lot2** with "External integration" and **ITSM2 Lot3** with "Internal integration".

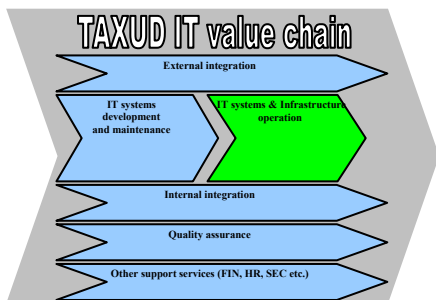
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**External Integration** is defined as the set of activities that are needed to integrate DG TAXUD's IT systems with those of the NAs to deliver the expected business solutions. These comprise planning, scope definition, systems definition, and specification; follow up of NA activities, synchronisation, enterprise architecture town plan, and others.

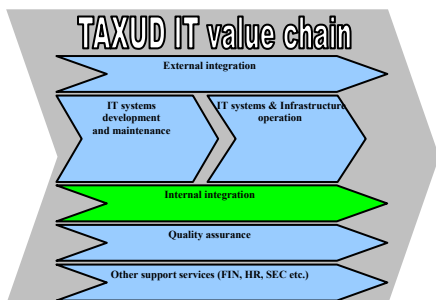


**IT systems development and maintenance** is one of the two main production activities of the IT units of DG TAXUD, it includes the multitude of development and maintenance activities for all Customs, Taxation, Excise systems as well as for CCN.

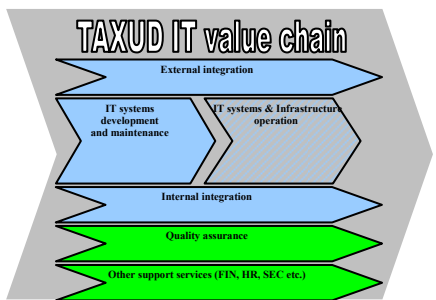


**IT systems & Infrastructure operation** is the second main production activity of the IT units of DG TAXUD, providing:

- The operations of all applications;
- A stable, documented, managed and secure ICT infrastructure.
- The setup and maintenance of harmonised processes and service management tools.



**Internal integration** is the set of activities that TAXUD/R5 has to do internally to streamline and harmonise its architecture and services delivery. Much of this process is supported by TEMPO, internal governance arrangements, planning, reporting etc. However, the operational interactions between DG TAXUD and its suppliers and among its suppliers themselves are insufficiently streamlined whilst this is a key requirement to increase the maturity, efficiency, and effectiveness of the organisation. This is the object of the ITSM2 Lot3 call for tenders.



**Quality Assurance and other support services (FIN, HR, SEC, etc.)** are activities and processes that are shared activities between TAXUD/R4 and TAXUD/R5 and performed by the sector TAXUD/R4/PS and TAXUD/R4/LISO. QA is quality assurance and quality control of the IT services and deliverables supplied to DG TAXUD by all its suppliers including conducting regular security and quality audits of them.

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The existing structure of DG TAXUD contracts<sup>5</sup> is depicted in the diagram below. Development services are delivered by the CCN/TC, CUSTDEV2, FITSDEV2 and ITSM contracts, the later being restricted to support "Service Management related tools" and facilities necessary for the IT service management and related activities.

Operations rely on ITSM, CCN/TC, CCN/WAN2 contracts and the data centre service of DIGIT.

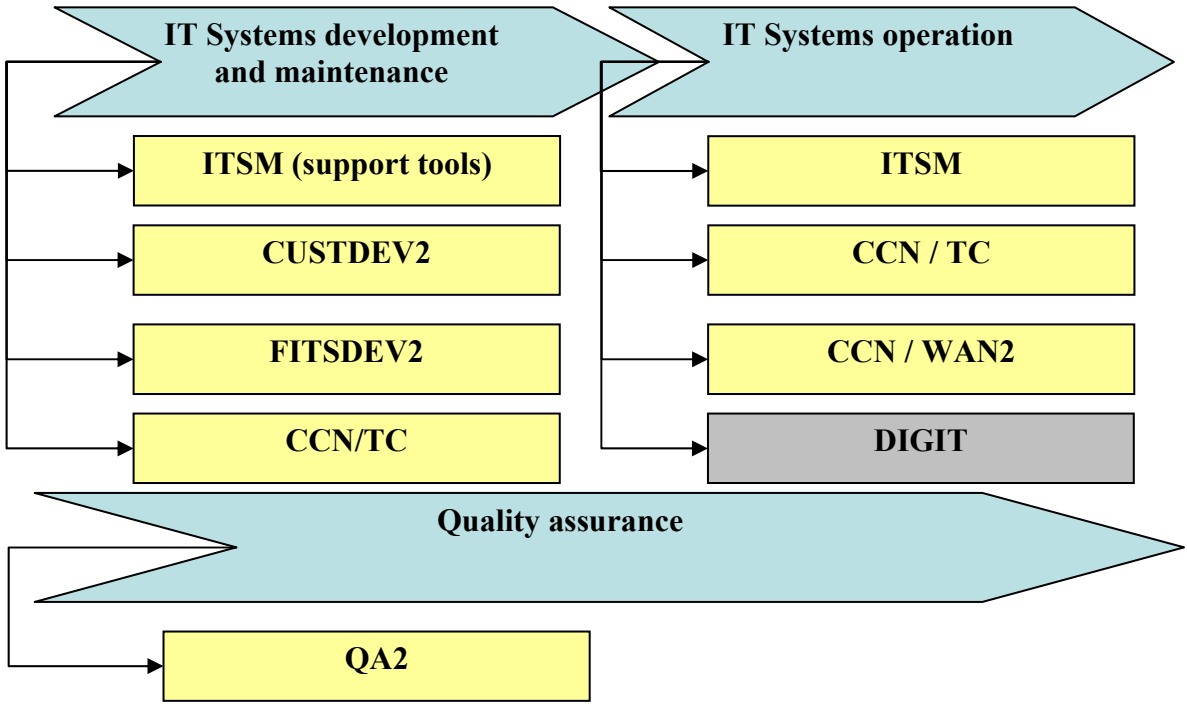
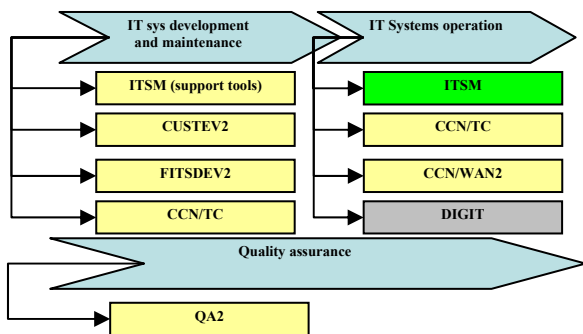


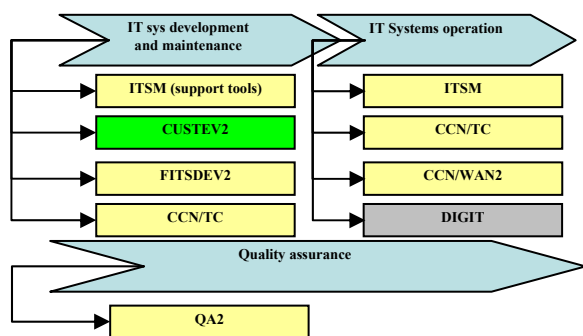
Figure 5: DG TAXUD's Current Contracts

<sup>5</sup> With the exception of DIGIT as there is no contract between DG TAXUD and DIGIT.

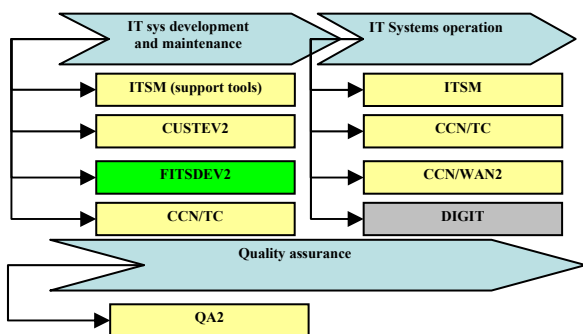




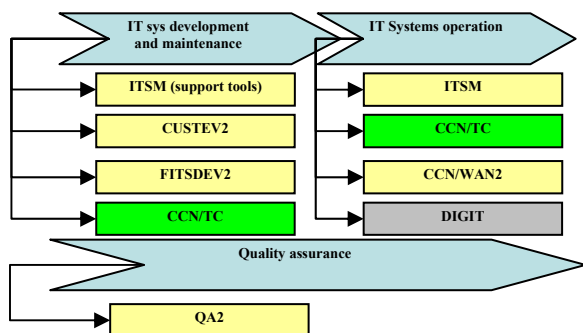
The **ITSM contractor** is the current provider of IT Service Management on behalf of DG TAXUD for excise, taxation, and customs business threads, except for the CCN/CSI service. The contract includes development and maintenance of its own "Service Management related tools" used.



**CUSTDEV2** is a development and maintenance contract, which consolidates all customs-related development. The CUSTDEV2 contractor provides specification, development, maintenance and support services for all customs IT systems.

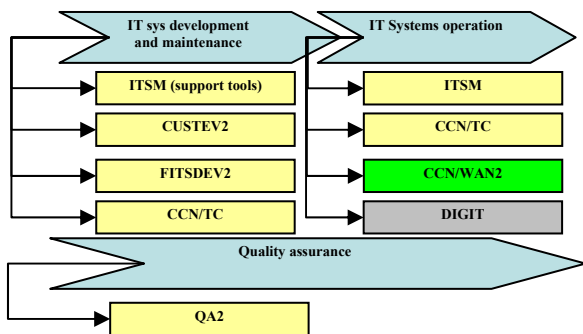


The **FITSDEV2** contractor provides specification, development and maintenance services for the taxation and excise systems and applications as it is currently in operation.

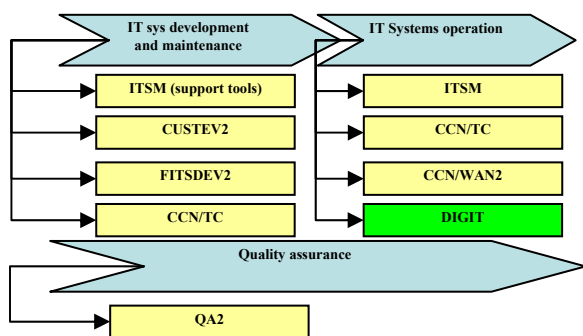


The **CCN/TC** contractor provides CCN/CSI service management including its service desk for the NAs and various contractors of DG TAXUD, service delivery and support, ICT Infrastructure management, operations management, security management as well as its application development.

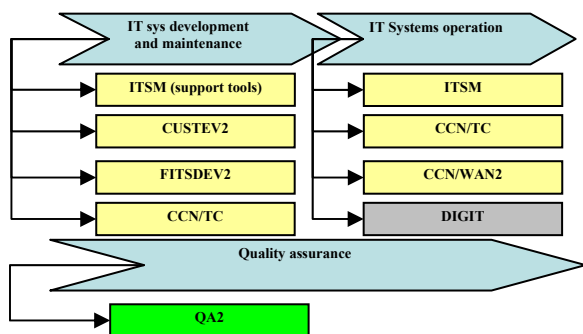
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The **CCN/WAN2** contractor provides the private secured IP network services of CCN including their maintenance.



**DIGIT** is the IT General Directorate of the Commission. DIGIT has responsibility for the Commissions Data Centre (DIGIT/DC) which hosts part of the DG TAXUD information systems.



**QA2 contractor** is responsible for TEMPO maintenance quality assurance and quality control of the IT services and deliverables provided by the others IT contractors of DG TAXUD. This includes services supplied by the current ITSM and the new **ITSM2** contractors.

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The target organisation represents the current vision of DG TAXUD, without prejudice to further evolution as the need may arise.

The tenderer shall note that through this call for tenders DG TAXUD will undertake a transformation of the support contracts, (not shaded in the following figure), aiming at the following target situation:

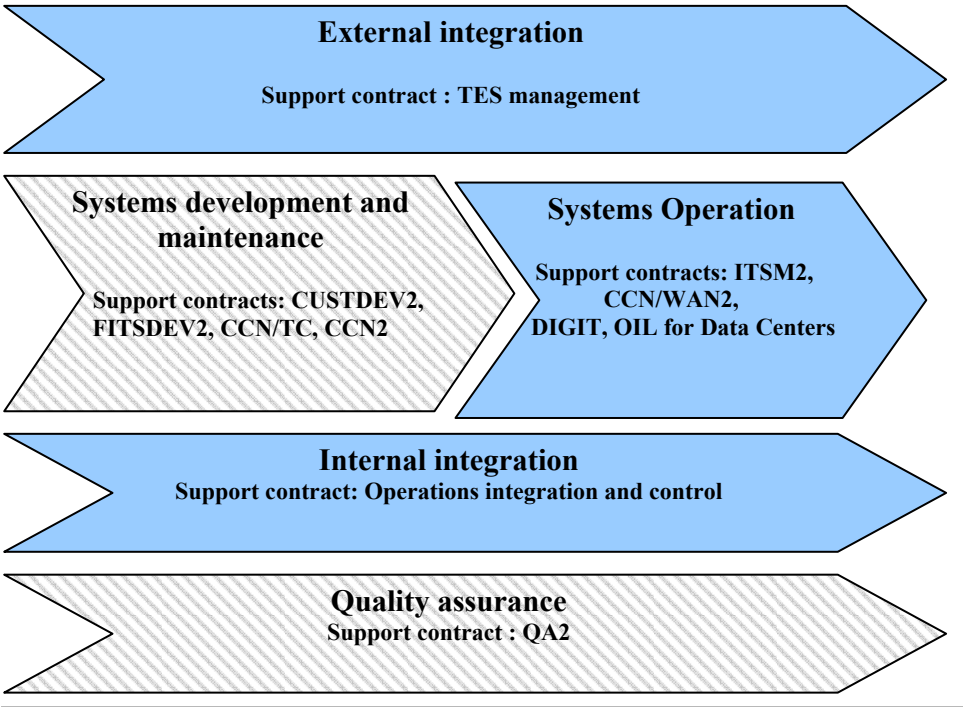
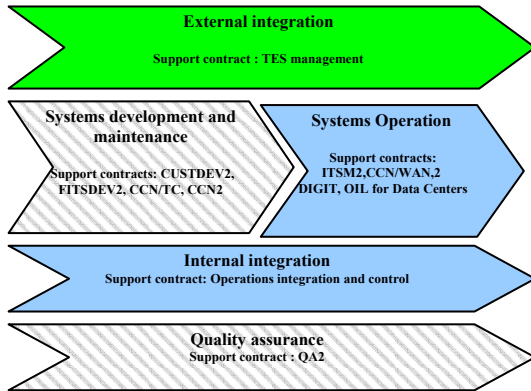


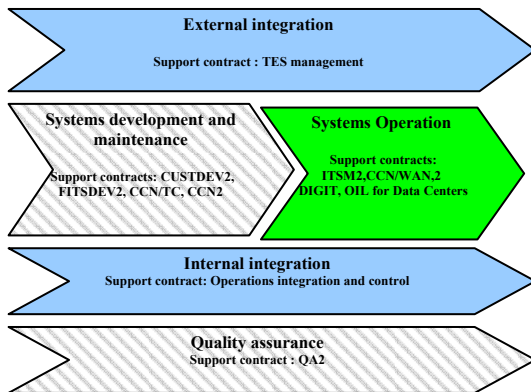
Figure 6: Support Contracts' Target Situation at DG TAXUD

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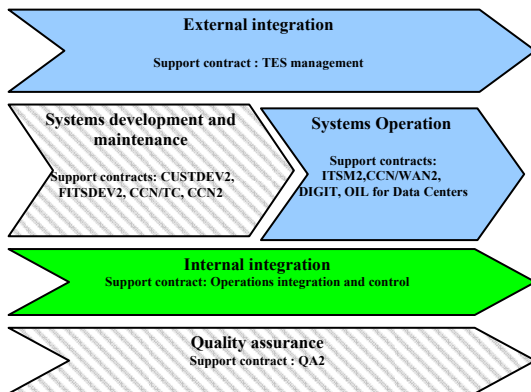
This transformation entails the following:



**External integration** is defined as the services, which are necessary to manage the relations with IT deployment in the NAs. This will be the target of **ITSM2 Lot2** of this call for tenders. Related duties will have to be taken over from the existing ITSM contractor.



**Systems Operations** - CCN/TC and ITSM operations will be integrated in **ITSM2 Lot1** of this call for tenders. Related duties will have to be taken over from the existing CCN/TC and ITSM suppliers.



**Internal Integration** – **ITSM2 Lot3** of this call for tenders concerns the provision of services necessary to the control and integration of the service offered by all DG TAXUD contractors and DG TAXUD itself.

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## 5 Scope of ITSM2 Lot1 of the call for tenders



The call for tenders for **ITSM2 Lot1** is split into two core documents:

- An "As is" document – This Document - describing the current services that need to be taken over from the incumbent two contractors (ITSM and CCN/TC). It also provides volumetric information;
- A "To be" document, describing the future services. Only deviations to the current services described in the "As is" document are listed, it also contains the information on the Quality indicators and the Staff profiles.

The services are currently provided by two contractors and are split between ITSM and CCN. In consequence, this document reflects that split. The following section provides an overview of the provided services.

### 5.1 Overview of the existing operations of ITSM

ITSM provides IT services and deliverables in the area of IT Service Management, articulated around a Service Desk, applied to Customs, Taxation and Excise IT Applications and trans-European Systems under the management of the Directorate-General for Taxation and Customs Union (DG TAXUD) which are exchanging information mainly via CCN network.

The ITSM contractor works in close cooperation with a number of external parties and stakeholders. Coordination with other lots is a key factor to ensure that all stakeholders are aligned with the same operational and the overall DG TAXUD objectives. Operational processes involve interaction with all X-DEVs, DIGIT, National Administrations, QAC contractor, CCN contractor etc., as well as governance processes as quality assurance, audits, benchmarking.

For the operational lifecycle, ITSM services are based on ITIL V2. In addition to that, ITSM provides other services such as testing services, monitoring services, training, conferences, etc. With regards to development activities, ITSM develops the Service Management related tools required to provide the ITSM services. ITSM as well operates and maintains the ICT Infrastructure, which is hosted at the ITSM DC and at the DIGIT DC.

#### 5.1.1 ITSM Services

- Service Desk (Helpdesk)
- Service Support for all BTs
- Service Delivery for the ITSM DC and the DIGIT DC
- Testing & deployment of central applications

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- Conformance test campaigns<sup>6</sup>
- Business Perspective
- Business Monitoring & statistics<sup>7</sup>
- Infrastructure provision and maintenance for the ITSM DC
- On-site assistance, training/workshop organisations, ...

ITSM provides integrated IT services that are composed of a set of systems and applications. This portfolio of IT services is currently organised in four (4) business threads:

- ITSM;
- Customs;
- Taxation;
- Excise.

ITSM operates and maintains a DC where the majority of the central systems are deployed. A second DC at DIGIT hosts the remaining systems and applications for which ITSM provides services. The access on technical and infrastructure level is strongly regulated on the DIGIT DC.

### 5.1.2 Interaction model

The ITSM SD registers all interactions with the IT users. Interactions can be registered during the whole application and system lifecycle.

For national systems and applications, the interaction model relies on national help desks. Those provide a first filter for requests related to national systems and applications. The National help desks use the ITSM Service desk should an incident need to be assigned to another NA, DG TAXUD, or one of the development contractors.

## 5.2 Overview of the existing operations of CCN/CSI

CCN/CSI (the Common Communications Network/Common System Interface) is the critical infrastructure and organisation, which maintains a paperless environment for EU customs and trade, and helps Member States to implement eGovernment services and applications for business users. In line with the European Interoperability Strategy, CCN provides the IT platform for self-assessment by operators, Single-Window interfaces and one-stop services— for effective delivery of cross-border electronic public services.

<sup>6</sup> Service which will be part of **ITSM2 Lot2**.

<sup>7</sup> Service which will be part of **ITSM2 Lot2**.

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CCN/CSI is built as an open platform, allowing heterogeneous computer systems and national business applications to access the network and exchange information. It enables confidential and secure data exchanges, and is highly reliable (both in terms of service levels and data delivery guarantees). Member States benefit from end-to-end security, end-to-end Service Level Agreements (SLAs) and tailored supervision services.

Please refer to [\[R64\]](#) for a high-level overview of CCN/CSI.

## 5.2.1 Linking administrations across the EU

CCN is made up of more than a hundred interconnected physical computers, or "gateways", located at national-administration computing centres and at the European Commission. The CCN/CSI is a combination of two parts:

- **CCN (Common Communication Network)**, the trans-European network, is made up of a series of physical computers, the so-called "gateways", located either in the National Administrations or on the Commission premises. These gateways are interconnected in a secure way through a wide-area network (WAN);
- **CSI (Common System Interface)**, which facilitates the CCN communication and data exchange, is a set of protocols and application programming interfaces allowing applications to exchange information through the CCN. It ensures the interoperability between the relevant computers belonging to a National Administration and the gateway. The CSI connection itself is secured using well-proven authentication and cryptographic algorithms.

CCN is the largest e-communications platform among customs and taxation administrations worldwide, and delivers a variety of specific services to support various policies<sup>8</sup>. CCN and CSI are managed and developed by the Directorate General for Taxation and Customs Union (DG TAXUD) in conjunction with the Member-State administrations concerned.

CCN/CSI serves all of the EU Members and the EFTA members Norway and Switzerland. It also extends to third countries, including Russia for example, via a separate network named SPEED – cf. [\[R150\]](#), [\[R151\]](#), [\[R152\]](#), [\[R153\]](#) & [\[R166\]](#). The provision of services may extend to Candidate countries such as Turkey, and the former Yugoslav Republic of Macedonia (fYROM), and to other countries according to the evolution of the taxation and customs policies. Such countries may also include Moldova, Ukraine, Belarus, China, United States, Japan and India. OLAF relies on the CCN infrastructure to carry out anti-fraud campaigns in collaboration with the EU Member States.

<sup>8</sup> Customs, Excise, Taxation, Anti-fraud, Fisheries, and Agriculture related.



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## 5.2.2 Architecture of CCN/CSI

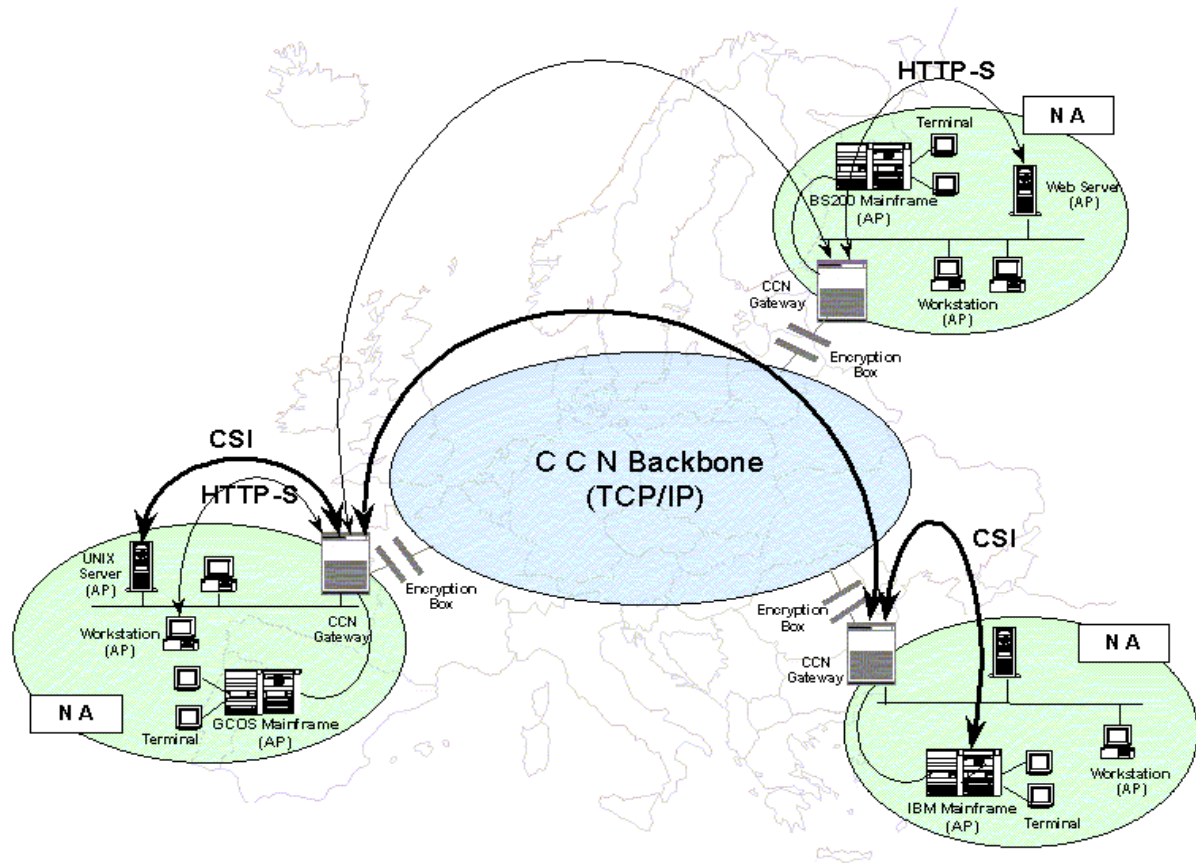


Figure 7: CCN/CSI Architecture

This architecture is built on the following main modules:

- The CSI Stack running on the national computer. It provides access to the CSI services to any applications running on this platform. CSI is an Application Programming Interface supported by more than 10 different operating systems;
- The CCN software components (including standard products like Tuxedo, MQSeries, Apache and Sun One Directory Server) running on the gateways. They are responsible for authenticating users, managing applications, as well as the remote execution of the CSI service requests issued by the application.

Of over **50** applications relying on CCN/CSI, the most critical are VIES (VAT Information Exchange System – cf. [\[R138\]](#)), NCTS (New Computerised Transit System cf. [\[R113\]](#)), EMCS (Excise Movement and Control System cf. [\[R124\]](#)), ICS (Import Control System) and AFIS (Anti-Fraud Information System). These applications range over the collection of taxes and duties, the security of trade, the control of fraud and illicit trade, VAT information and more.

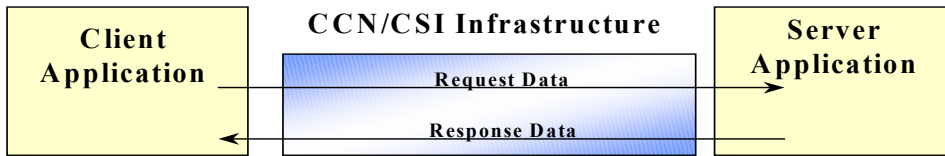


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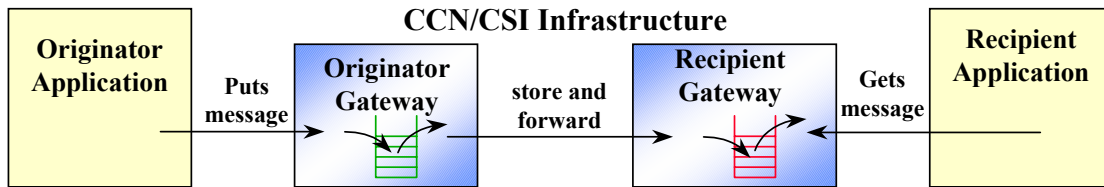
### 5.2.3 Data exchange services

CCN/CSI is based on standard products and is compatible with key programming languages. It offers the following data exchange services:

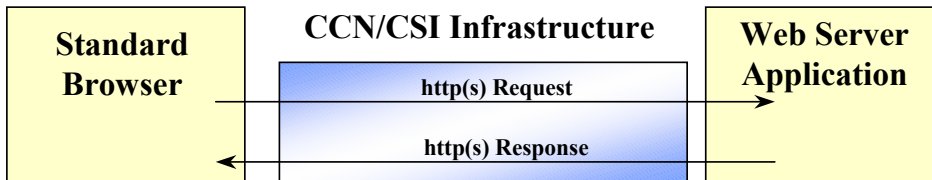
#### 1 Synchronous services (client/server interactions)



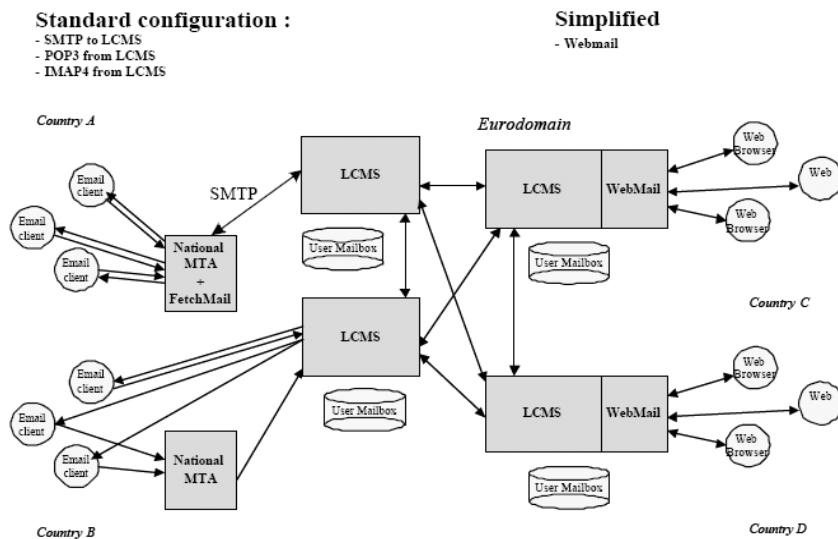
#### 2 Asynchronous services (message queuing)



#### 3 Web services (intranet, http(s) interactions)



#### 4 Mail services: (SMTP interactions, IMAP and POP3, webmail)



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#### 5.2.4 Current interaction model with the CCN users

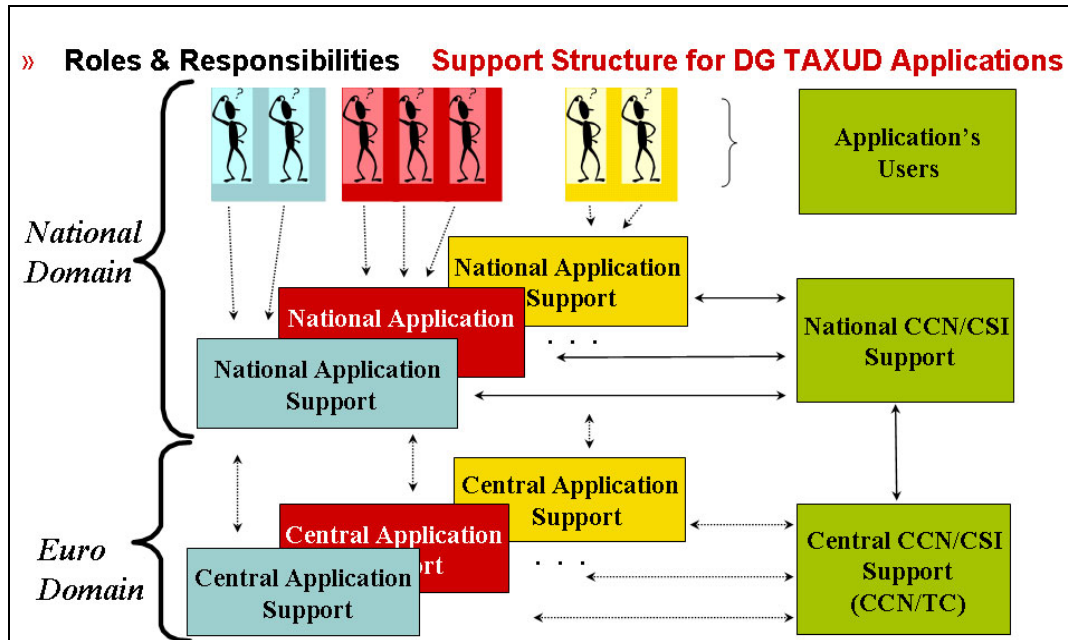


Figure 8: Current interaction model with the CCN users

The "Euro Domain" refers to the applications and their support centre (ITSM) under the responsibility of DG TAXUD. The "National Domain" refers to the applications and their support centre(s) under the responsibility of the National Administrations.

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## 6 Services provided by the suppliers

This chapter provides an inventory of services provided by the current ITSM and CCN/TC contractors and that are the subject of this **ITSM2 Lot1** call for tenders. The description of these services is the baseline of services that need to be provided, deviations to the services currently provided are listed in the "To be" definition (cf. [\[R105\]](#)).

Provision of the services that are the subject of the **ITSM2 Lot1** call for tenders:

These services are split up into 12 services blocks. The service blocks themselves are split into the description of the ITSM services and the CCN services:

- [6.1](#) - Project Management – (Service Block 1)
- [6.2](#) - IT Strategy/Conception/Evaluation – (Service Block 2)
- [6.3](#) - Tools supporting the Service Management – (Service Block 3)
- [6.4](#) - Service Desk – (Service Block 4)
- [6.5](#) - ICT Infrastructure Management – (Service Block 5)
- [6.6](#) - Application Management – (Service Block 6)
- [6.7](#) - CCN Operations – (Service Block 7)
- [6.8](#) - Coordination with involved parties– (Service Block 8)
- [6.9](#) - IT Service Management – (Service Block 9)
- [6.10](#) - Security Management – (Service Block 10)
- [6.11](#) - Transition – (Service Block 11)<sup>9</sup>
- [6.12](#) - Other Deliverables & Services – (Service Block 12)

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<sup>9</sup> Hand-Over to DG TAXUD services or to another supplier as decided by DG TAXUD

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The services provided are grouped in **12** logical blocks as depicted in the table below. The description of the blocks give an overview and indication of the services performed. For a more detailed view, please consult the relevant chapter.

<b>Service Blocks</b>		
<b>Service Block</b>	<b>Service</b>	<b>Details</b>
<b>Project Management (# 1)</b>	<ul style="list-style-type: none"> <li>• Governance &amp; Relationship Management e.g. <a href="#">STEERCO</a> (quarterly), <a href="#">BMM</a> (Monthly), 2-Weekly Contract Operational Committees (<a href="#">RfE/RfA</a> meeting), Monthly Operational meeting, ...</li> <li>• Contract Management i.e. Production of proposals ...</li> <li>• Demand Management</li> <li>• Procurement &amp; Maintenance of <a href="#">HW</a> &amp; <a href="#">SW</a> and related maintenance</li> <li>• Contractual reporting i.e. <a href="#">MPR/MSR</a> and related annexes</li> <li>• Pricing update mechanism following benchmarks</li> <li>• Internal Quality Assurance;</li> <li>• Quality Control;</li> <li>• Risk Management,</li> <li>• Internal Audit &amp; Self-assessment</li> <li>• Cooperation during audits and Organisational/Pricing benchmarks</li> </ul>	<a href="#">6.1</a>
<b>IT Strategy/Conception / Evaluation (# 2)</b>	<ul style="list-style-type: none"> <li>• The Framework Quality Plan (<a href="#">FQP</a>)</li> <li>• The Contract Quality Plan (<a href="#">CQP</a>)</li> <li>• IT Service Management - Processes (Service Support &amp; Service Delivery)</li> <li>• <a href="#">CSIP</a>: plan, design, assess &amp; optimise</li> <li>• Production &amp; Maintenance of External processes</li> <li>• Service Catalogue Maintenance</li> <li>• <a href="#">SLA</a> &amp; <a href="#">ToC</a> &amp; <a href="#">OLA</a> definition &amp; Maintenance per user community</li> </ul>	<a href="#">6.2</a>

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Service Blocks		
Service Block	Service	Details
<b>Tools supporting the Service Management</b> (# 3)	<ul style="list-style-type: none"> <li>• Service Management related tools – Prerequisites</li> <li>• Service Management related tools – Transition</li> <li>• Service Management related tools – Project &amp; Programme management</li> <li>• Service Management related tools – Design</li> <li>• Service Management related tools – Development</li> <li>• Service Management related tools – Operations</li> <li>• Service Management related tools – Corrective maintenance</li> <li>• Service Management related tools – Evolutive maintenance</li> <li>• Service Management related tools – Training</li> <li>• Service Management related tools – Portfolio</li> </ul>	<a href="#">6.3</a>
<b>Service Desk</b> (# 4)	<ul style="list-style-type: none"> <li>• Service Desk function</li> <li>• Incident Management</li> <li>• Other services provided by the Service Desk</li> <li>• Web Mastering</li> <li>• User Management</li> </ul>	<a href="#">6.4</a>
<b>ICT Infrastructure Management</b> (DIGIT (for part of the services) & ITSM & CCN/TC) (# 5)	<ul style="list-style-type: none"> <li>• Data Centre &amp; Continuity (Fail-over) Site</li> <li>• Design, Planning, deployment, operations, technical support &amp; retirement</li> <li>• Network Services</li> <li>• HW &amp; OS &amp; COTS Services</li> <li>• Backup &amp; Restore</li> <li>• Job Management Service</li> <li>• Availability &amp; Capacity &amp; Continuity Management</li> <li>• Production &amp; Maintenance of ICT Infrastructure Management Related Plans i.e. ICT Infrastructure Plan, Availability Plan, Capacity Plan, Continuity Plan</li> <li>• Feasibility Studies linked to Infrastructure</li> </ul>	<a href="#">6.5</a>

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Section:	

Service Blocks		
Service Block	Service	Details
<p><b>Application Management</b> (# 6)</p>	<ul style="list-style-type: none"> <li>• Application Portfolio</li> <li>• Planning</li> <li>• Knowledge Management</li> <li>• Application Deployment</li> <li>• Conformance Testing</li> <li>• Operations and Business Monitoring</li> <li>• Resolve Incidents</li> <li>• Hot-Fixes</li> <li>• Application Management Meetings</li> </ul>	<p><a href="#">6.6</a></p>
<p><b>CCN Operations</b> (# 7)</p>	<ul style="list-style-type: none"> <li>• Coordination with other contractors and third parties</li> <li>• Testing (PSAT / SAT) of Applications &amp; Service Management related applications and tools</li> <li>• Operations of Applications &amp; Service Management related tools &amp; CCN Sites</li> <li>• Deployment &amp; Maintenance of CCN sites</li> <li>• Technical Support of Applications &amp; Service Management related tools &amp; CCN sites</li> <li>• Availability &amp; Capacity &amp; Continuity Management for Applications &amp; Service Management related tools &amp; CCN Sites</li> <li>• Optimise Applications and Service Management related tools &amp; CCN sites</li> </ul>	<p><a href="#">6.7</a></p>
<p><b>Coordination With Involved Parties</b> (# 8)</p>	<ul style="list-style-type: none"> <li>• Coordination with other parties</li> <li>• Relationship Management (Yearly USS, NA Survey)</li> <li>• Missions</li> </ul>	<p><a href="#">6.8</a></p>

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<b>Section:</b>	

<b>Service Blocks</b>		
<b>Service Block</b>	<b>Service</b>	<b>Details</b>
<b>IT Service Management (# 9)</b>	<ul style="list-style-type: none"> <li>• IT Service Management - Operations (Service Support &amp; Service Delivery, ...)</li> <li>• <a href="#">SLM</a> (<a href="#">SQI</a>, <a href="#">KPI</a>, <a href="#">SLAs</a>, ...) reporting</li> <li>• SLM <a href="#">ToC</a> reporting for Applications per BT &amp; application community</li> <li>• Application &amp; Business Monitoring (e.g. TARIC files), Statistics &amp; Reporting</li> </ul>	<a href="#">6.9</a>
<b>Security Management (# 10)</b>	<ul style="list-style-type: none"> <li>• Security Management</li> <li>• Production &amp; Maintenance of "Security Plan"</li> <li>• Production &amp; Maintenance of <a href="#">BCP</a> and <a href="#">DRP</a> Plans + Test of BCP and DRP Plans</li> <li>• Crisis Management</li> </ul>	<a href="#">6.10</a>
<b>Transition (# 11)</b>	<ul style="list-style-type: none"> <li>• Take-Over</li> <li>• Hand-Over</li> </ul>	<a href="#">6.11</a>
<b>Other Deliverables &amp; Services (# 12)</b>	<ul style="list-style-type: none"> <li>• Translations</li> <li>• Trainings &amp; Workshops &amp; Demonstrations</li> <li>• Building/Hosting of trainings &amp; e-learning facilities</li> <li>• Other Deliverables &amp; Services</li> </ul>	<a href="#">6.12</a>

Table 4: Service Blocks

<b>TAXUD/R5 – INVITATION TO TENDER TAXUD/2010/AO-13</b>	<b>REF: ITSM2-Lot1-As is</b>
<b>TAXUD - ITSM2 – <u>ANNEX II</u> – SERVICE REQUIREMENTS:</b>	
<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Project Management – (Service Block 1)</b>	

## **6.1 Project Management – (Service Block 1)**

### **6.1.1 Definition**

This Service Group covers the following services:

- Governance & Relationship Management
- Contract Management
- Demand Management
- Procurement & Maintenance of HW & SW and related maintenance
- Contractual reporting i.e. MPR/MSR and related annexes
- Pricing update mechanism following benchmarks
- Internal Quality Assurance
- Quality Control
- Risk Management
- Internal Audit & Self Assessment
- Cooperation during audits and Organisational/Pricing benchmarks



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Section:Project Management – (Service Block 1)	

## 6.1.1.1 AS IS SITUATION ITSM

### 6.1.1.1.1 Governance & Relationship Management [\[As is ITSM\]](#)

The **organisational model** of the ITSM contractor is tailored and aligned towards the various functions that need to exist in order to manage and drive all processes and deliverables in respective "Work Packages". Indicatively, an overview of the organisational setup is outlined below.

- The ITSM board including the ITSM Programme Manager
- The ITSM Business Monitoring dealing with:
  - CT Campaigns
  - Business Perspective
  - Business Monitoring & Reporting
- ITSM Application Management consisting of:
  - Competence Centre
  - Deployment & Testing Centre
  - Service Support - Process management
- ITSM Service Desk dealing with:
  - Call handling
  - Web mastering
  - User support
- ITSM Infrastructure (including Tools) dealing with:
  - Service Delivery
  - ICT management
  - ITSM Tools development

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- ITSM Contractual Management dealing with:
  - Demand Management
  - Contractual Management
  - Service Level Management
  
- ITSM Internal QA dealing with:
  - Quality assurance
  - Audits, Self assessment
  - Compliance
  - CSIP
  - Deliverables review
  
- ITSM Security

In order to reflect the specific business threads in the governance model, Business Thread managers and the Application Management SPOCs have been nominated - cf. [6.8](#) - "Coordination with involved parties– (Service Block 8)".

For more detailed information, please refer to the references outlined below and the chapters related to the relevant services.

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The **groups** composing the organisational model are defined in the FQP, [\[R1\]](#) Section 4.2.1.

The definition of roles and responsibilities within ITSM is defined in the FQP, [\[R1\]](#) in Section 4.6.2.

The detailed organisation chart, as well as the interaction model, can be found in Annex 29 of the FQP, [\[R1\]](#).

The **communication with TAXUD** is described in Section 4.6.3 of the FQP, [\[R1\]](#).

The **coordination and management** is further described in the FQP, [\[R1\]](#) Section 9.1 of the FQP covers internal coordination and management activities; Section 9.2 covers coordination with TAXUD and Section 9.3 covers the escalation process. For the escalation process, please refer to: [\[R20\]](#).

**ITSM Application Management** was restructured during the "AM" transformation project launched in 2010; please refer to [\[R199\]](#).

The ITSM contractor organises, prepares, sends out the agenda, and supporting PowerPoint® presentation<sup>10</sup>; attends and provides minutes for the following recurring meetings:

- Steering Committee meeting - [STEERCO](#) (quarterly) + other Steering Committee meetings for specific topics (e.g. [Synergia/SMT](#) project);
- Bilateral Monthly Meeting - [BMM](#) (Monthly) and BMM follow-up Meeting;
- Operational Monthly Meeting - (Monthly).

The Bilateral Monthly Meeting is the main instrument for the service reviews. Escalations – if any – are dealt with during the monthly BMM follow-up meeting, which takes place at Head of Unit level. Issues can as well be escalated to DG TAXUD via the [MPR](#) and during [BMM](#), Steering Committee and other management meetings.

It must be noted that the abovementioned list of meetings is mainly linked to the overall governance of the contract but that also more operational oriented meetings

<sup>10</sup> PowerPoint presentations are mandatory for some meetings. For the other meetings, the presentations are prepared if needed to support the topic(s) addressed during the meeting.

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and Ad hoc Meetings take place, which steer as well the provision of services. Please refer to [6.8](#) – "Coordination with involved parties– (Service Block 8)" for additional governance and relationship management.



This is described in the current:

- ITSM Framework Quality Plan, [\[R1\]](#)
- ITSM-IP003 - Escalation Procedure, [\[R20\]](#)
- ITSM external processes & procedures definition and description, [\[R17\]](#)

Governance and relationship management is described in the current ITSM Framework Quality Plan, [\[R1\]](#) and Annex 29-ITSM Organisation Chart

The organisational structure of the ITSM contractor at the time of writing can be found in the annex 9 of the CQP, [\[R39\]](#). At the time of writing, the ITSM contractor is composed of a team of +/- **110** team members cf. [Table 6](#) – "Staff distribution of the ITSM team".

#### 6.1.1.1.2 **Contract Management** [\[As is ITSM\]](#)

A Framework Contract is executed via Specific Contracts (SC) for two types of services:

- Continuous services (Management, Operation & Support services, Maintenance services);
- On-demand services linked to specific activities.


The ITSM contractor produces proposals on request from DG TAXUD in order to provide services and deliverables in the context of the Framework Contract. Requests for Proposals are triggered by the following processes:

- Requests for Offer ([RfO](#)) for Specific Contracts ([SC](#));
- Requests for Estimate ([RfE](#)); Once the offers are accepted, Requests for Action ([RfA](#)) are launched by DG TAXUD.

Signature of the RfA or SC constitutes the start of the activities, unless otherwise agreed. Smaller units of work or optional components within RfAs can start via an

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"e-trigger". Here, DG TAXUD authorises the ITSM contractor in electronic form to proceed with the specific action in question.



Production of proposals for specific contracts ([SCs](#)) and for Requests for Actions ([RfAs](#)) and answering Request for Estimates ([RfEs](#)) are described in the current ITSM Framework Quality Plan ([FQP](#)), [\[R1\]](#)


Please also see the ITSM Service Catalogue, [\[R3\]](#)

### 6.1.1.1.3 Demand Management [\[As is ITSM\]](#)

The following types of demand can be identified:

- Strategic Demand: Requests for new projects that have major strategic impact, such as the implementation of a new process or ITSM tool;
- Operational Demand: Request for deployment, request for testing, request for training, etc...
- Routine, day-to-day request such as user management or web mastering.

Demand intake can happen through the ITSM Portal – cf. [\[R60\]](#) – New Service Request web form, through the Service Desk or through the Business Thread Managers (BTMs) directly.

 The ITSM Portal New Service Request form is practically not used and will be removed with the **Synergia** Programme and until a better tool is available (**Synergia** Phase II)

Demands for the requests linked to an operational demand need approval by DG TAXUD and therefore are to be registered as service requests under the Demand management process.<sup>11</sup> The process ensures that requests for services are properly recorded, communicated, analysed, executed, reported and followed up. Moreover, it matches requests to available quantities through the service catalogue.

Service Requests must map to one or several quantities foreseen in the service catalogue in order to satisfy the request. At the same time, the execution of the service is planned. Quantities and planning constitute the Bill of Service (BoS) and the Bill of Quantities (BOQ) that are provided to DG TAXUD for approval.

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<sup>11</sup> Strategic Demands are handled through RfAs, whereas routine demands are reported as quantities at the end of the reporting period.

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The process is based on an ITSM internal tool (which itself is based on JIRA), and towards DG TAXUD via e-mails for approval.

After the demand intake, the service request is allocated to assignee, broken down to further activities if needed and execution can start or can be planned for later start.

All Service Requests are as well registered in the Service Management Tool (SMT) and therefore visible for follow up via the ITSM Portal Call Centre by the concerned service recipients.

In parallel with the monitoring of the Requests, the ITSM [DM](#) also monitors the consumption of the quantities. When the DM detects a shortage of quantities, the Demand Manager requests DG TAXUD's appointed contract manager to release additional quantities.

The demand management is part of the Continuous Services and each Specific Contract (SC) for Continuous Services includes the required quantities to cover the various requests. The contractor reports on a monthly basis – via the Monthly Progress Report – the consumption of these quantities. Additional quantities are (can) be raised by means of the Request for Estimate (RfE)/Request for Action (RfA) mechanism allowing an uninterrupted handling of the service requests.



Please refer to the ITSM Framework Quality Plan, [\[R1\]](#) Annex 26: Demand Management for all details on the DM process.

Please refer to the related Internal Working Procedures:

- IPRC-041-Demand\_Management, [\[R182\]](#)
- ITS-IPR-174-QUA, [\[R182\]](#) and to the quantities definition file, [\[R22\]](#)
- ITS-IPRC-007-Manage\_Bills\_Of\_Quantities, [\[R182\]](#)
- ITS-IPRC-022-Document\_life\_cycle\_in\_JIRA, [\[R182\]](#)
- ITSM Service Catalogue, [\[R3\]](#)

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#### 6.1.1.1.4 Procurement & Maintenance of HW & SW and related maintenance [As is ITSM]

The ITSM contractor "contracting and procurement" process manages the selection of the suppliers, purchasing and maintenance, for the execution of the contract, of the required ICT products and licences. DG TAXUD can decide to order via other Commission contracts instead.

In this context, the ITSM contractor maintains the Official Price List ([OPL](#)) and a detailed asset inventory. The OPL is aligned to the DG DIGIT product catalogue, in order to allow any asset to be moved easily to DIGIT premises.

The OPL is kept up to date and follows the normal market evolutions. The price list is reviewed once or twice a year.

The ITSM contractor is also in charge of shipping the necessary equipment/software to the ITSM DC.

The ITSM contractor ensures the maintenance of all hardware and all software licenses.

The OPL and the asset inventory is maintained (minimum monthly) and on-line available on the ITSM Portal with access restricted to TAXUD/R5 and ITSM.



Procurement & Maintenance of [HW](#) & [SW](#) are described in the current ITSM Framework Quality Plan, [\[R1\]](#) and in the ITSM Service Catalogue, [\[R3\]](#)

The current ITSM official price list items can be found in [\[R179\]](#)

#### 6.1.1.1.5 Contractual reporting i.e. MPR/MSR and related annexes [As is ITSM]

On a monthly basis, the ITSM contractor provides DG TAXUD with a report on the contractual situation of **month “m-1”**. This document, the Monthly Progress Report ([MPR](#)), covers:

- Status of [RfAs](#);
- Consumption of quantities status;
- Progress realised for each Work Package ([WP](#));


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- Any possible issue, problem and/or risk;
- A summary of plans for the next month.

A series of annexes with detailed information are also delivered with the MPR (e.g. [SQI](#) related data, Delivery Tracking Matrix ([DTM](#)), Risk Register, list of authorised people working on the project, action list, quantities justifications, ...).

In addition, a Monthly Service Report ([MSR](#)) is provided in annex of the MPR. The MSR provides an overall view of all services provided and detailed views per business thread during the reporting period.

The Minutes of the [BMM](#) meeting are also bundled with the MPR delivery.



The applicable content and format of the MPR/MSR/BMM is described in the current:


- ITSM Framework Quality Plan, [\[R1\]](#) plus annex 1 to annex 4 for the templates of the Monthly Project Plan, the DTM – cf. [\[R100\]](#), structure of the MPR and structure of the MSR
- ITSM Contract Quality Plan, [\[R39\]](#)
- ITSM - Mode of calculation quantities, [\[R22\]](#)

See also the ITSM Service Catalogue, [\[R3\]](#) and a sample ITSM MPR, [\[R192\]](#)

Please refer to the related Internal Working Procedures:

- ITS-IPRC-101-Service\_Level\_Management, [\[R182\]](#)
- ITS-IPRC-006-MPR-life-cycle, [\[R182\]](#)
- ITS-IPRC-005-\_Management\_of\_the\_DTM, [\[R182\]](#)

#### 6.1.1.1.6 Pricing update mechanism following benchmarks [\[As is ITSM\]](#)

 *NA (this heading is only used to maintain an identical document structure between the "as-is" and 'to-be" part).*



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#### 6.1.1.1.7 Internal Quality Assurance [\[As is ITSM\]](#)

Internal (within ITSM contractor) [QA](#) provides Quality Assurance on all ITSM activities by ensuring:

- Compliance with the Technical Annex and Terms of Reference of the Framework Contract, ISO 20.000:2005, ISO 27.002:2005, ITIL and [TEMPO](#);
- That [FQP](#), [CQP](#) and Contractual [OLA](#) are adhered to;
- That quality issues are detected and that the necessary corrective measure is taken;
- Integrity via Internal Quality Audit and Self-assessment, as well as their related follow-up;
- Monitoring & improvement of existing processes and procedures through:
  - The organisation and coordination of Self-assessment by process owners (together with the ITSM [CSIP](#) Manager);
  - The organisation and performance of Internal Quality Audits, as well as reporting to the ITSM contractor's management and follow-up of audit findings;
  - The performance of systematic reviews of all deliverables that are sent to DG TAXUD.

Supervision and guidance of the ITSM contractor's team in the implementation of the quality throughout the project via:

- Ensuring full awareness of the ITSM contractor's team members concerning all quality plans and TEMPO;
- Ensuring identification and coordination of necessary training sessions for quality related matters;
- Providing support to the ITSM contractor's team members in delivering quality documentation via internal reviews;
- Providing support to the ITSM contractor's team members in documenting internal procedures.

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This is described in the current ITSM Framework Quality Plan, [\[R1\]](#)  
See also the ITSM Service Catalogue, [\[R3\]](#) and the related Internal Working Procedure ITS-IPRC-021-Internal\_Quality\_Control\_Procedure, [\[R181\]](#)

#### 6.1.1.1.8 Quality Control [\[As is ITSM\]](#)

The ITSM contractor internal Quality Control ([QC](#)) performs internal reviews of all deliverables before they are sent to DG TAXUD and/or services delivered to DG TAXUD, or its representatives (the QA contractor), for review and final acceptance.

Internal Quality Control ensures:

- ITIL and [TEMPO](#) quality expectations are met;
- Compliance with standard procedure in case of audit;
- Internal quality review of ALL deliverables, including translations, prior to delivery to the Commission, ensuring that all quality criteria are complied with consistently across all of them;

The ITSM contractor is requested to keep all the internal quality assurance and control reports available on site in case of audit or to deliver them to the Commission upon request.



This is described in the current ITSM Framework Quality Plan, [\[R1\]](#)  
See also the ITSM Service Catalogue, [\[R3\]](#)

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#### 6.1.1.1.9 Risk Management [\[As is ITSM\]](#)


The ITSM contractor performs full and traceable Risk Management. The risk management activities adhere to the [TEMPO](#) Risk Management Technique.

The ITSM contractor reports on them to the Commission, via the Monthly Progress Report (MPR), including risk analysis & risk mitigation. Risk Management is integrated into all main project management related meetings.

Main project risks are followed up during each BMM, STEERCO and related project follow up meetings. The ITSM contractor continuously maintains the risk register, which is provided at a minimum of monthly intervals to TAXUD as an annex of the MPR.

Main risks that require urgent attention are escalated immediately to DG TAXUD.

The ITSM contractor keeps its internal risk analysis records available on request by the Commission.



This is described in the current ITSM Framework Quality Plan, [\[R1\]](#)  
See also the ITSM Service Catalogue, [\[R3\]](#)

#### 6.1.1.1.10 Internal Audit & Self Assessment [\[As is ITSM\]](#)

The ITSM internal QA performs two (2) Internal Audits per year over service processes, unless otherwise agreed with DG TAXUD.

The ITSM Self Assessment is addressed to all ITSM contractor's staff, usually once per year. Results, findings and proposed corrective actions are communicated to DG TAXUD

The planning of those actions is agreed with DG TAXUD.

To address the findings of both Internal Audit and Self Assessment, corrective actions for implementation are proposed by the ITSM contractor. Actions are subject to DG TAXUD's approval for implementation.

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This is described in the current ITSM Framework Quality Plan, [\[R1\]](#)

See also the ITSM Service Catalogue, [\[R3\]](#) and related Internal Working Procedures: ITS-IPRC-024-Internal\_Audit\_v1.01.doc, [\[R181\]](#)

#### 6.1.1.1.11 Cooperation during audits and Organisational/Pricing benchmarks [\[As is ITSM\]](#)

DG TAXUD conducts Quality and Security Audits (generally once a year) in order to audit the adherence of ITSM processes and procedures towards the Scope document of the Framework Contract, ISO 20000-2:2005, ISO 27001:2005, 27002:2005, ITIL, [TEMPO](#) and security best practices.

The number and timing of these audits are at the discretion of the DG TAXUD, but generally, the audit period is 5 w-days. In 2010, the audit scope was broadened and the audit period was subsequently extended to 10 w-days.

The ITSM contractor facilitates this exercise by providing the auditor with all necessary elements (interview with ITSM personnel, documents, logs, and reply on the audit findings...).



The co-operation with DG TAXUD during Quality, Process, and Security Audits is described in the current ITSM Framework Quality Plan, [\[R1\]](#) and the ITSM Service Catalogue, [\[R3\]](#)

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Section:Project Management – (Service Block 1)	

### 6.1.1.2 VOLUMETRIC [As is ITSM]

The following volumetric data are applicable for 2010:

ID	Work Item	Volume Estimates
<b>Project Management</b>		
V.1.1	# Steering committees/year	4 STEERCOs / year 4 Data Center STEERCOs (during 2010)
V.1.2	<u>Synergia</u> STEERCOs	10
V.1.3	After BMM Meetings	12
V.1.4	BMMs Meetings	12
V.1.5	Operational meetings	12
V.1.6	RfE/RfA meetings	20
V.1.7	Ad hoc / year	50
V.1.8	Quarterly activity reports	3
V.1.9	Yearly activity reports	1
V.1.10	# <u>SC</u> /year	2 – 3 / year
V.1.11	# <u>RfAs</u> /year	50 – 70 / year
V.1.12	# External Audits/year	1 external
V.1.13	# Benchmarks/year	1 during 2010
V.1.14	# Internal Audits/year	2-3 / year
V.1.15	#Internal Assessment/year	2 / year

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<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
<b>Deliverable management</b>		
<b>V.1.16</b>	Uploads of documents into CIRCA	4000
<b>V.1.17</b>	Deliverable review cycles	2100
<b>V.1.18</b>	Updates of the DTM	40
<b>V.1.19</b>	Action Lists maintained	5
<b>Service Management</b>		
<b>V.1.20</b>	MPRs / MSRs	12
<b>V.1.21</b>	MPR / MSR review meetings	12
<b>V.1.22</b>	Self Assessments	2 per year
<b>V.1.23</b>	Yearly Satisfaction Survey	1
<b>V.1.24</b>	Operational management meetings	12
<b>Customer relation management</b>		
<b>V.1.25</b>	Service Monthly Meetings	36
<b>V.1.26</b>	Business Thread Managers (FTE)	3
<b>Contract Management</b>		
<b>V.1.27</b>	RfE-Offer -RfA cycles (on demand)	50
<b>V.1.28</b>	BoS / BoQ	400
<b>V.1.29</b>	Demand Manager	1

Table 5: Volumetric Data ITSM - Project Management – (Service Block 1)

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The number of resources in the incumbent contractor's teams at the end of 2010 was:

<b>ITSM Contractor</b>		
<b>Team</b>	<b>Members</b>	<b>Notes</b>
Project executive	5	
Project mgt.	14	
Service Desk	16	Covering 1 <sup>st</sup> & 2 <sup>nd</sup> line support
Service Support process owners	8	
Service Delivery process owners	5	
ICT (Infrastructure Management)	12	
SMT Tools	3	During major developments additional resources are added
Application Management (AM) & Testing	32	About 5 TAXUD FTEs are still providing services which should be delivered by the contractor
Business perspective	13	
Security	2	
<b>Total</b>	<b>110</b>	

Table 6: Staff distribution of the ITSM team

The above table lists the number of staff for the totality of incumbent ITSM activities. Their split between future **ITSM2 Lot1**, **ITSM2 Lot2** cannot be provided.

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### 6.1.1.3 AS IS SITUATION CCN

#### 6.1.1.3.1 Governance & Relationship Management [\[As is CCN\]](#)

The **organisational model** of the CCN/TC contractor is tailored around three distinct competence centres:

- The “run” competence centre in charge of the CCN operations, including service management, service desk, CCN application management and support, network and systems support;
- The “projects” competence centre dealing with the implementation of short-term and medium term CCN improvement projects;
- The “inception” competence centre dedicated to perform the inception phases of the aforementioned short-term and medium-term CCN improvement projects.



The **CCN/TC** organisational model/chart is defined in [\[R173\]](#)

The definition of **roles and responsibilities** within the CCN/TC is defined in the current [CCN/CSI](#) Framework Quality Plan, [\[R2\]](#)

The **communication with TAXUD** is described in the CCN/CSI Framework Quality Plan, [\[R2\]](#)

The **Coordination and Management** is further described in the working procedures annexed to the CCN/CSI Framework Quality Plan, [\[R2\]](#)

The CCN/TC contractor organises, prepares, sends out the agenda, and supporting PowerPoint® presentation<sup>12</sup>; attends and provides minutes for the following recurring meetings:

- **Bilateral Monthly Meeting - [BMM](#)** (monthly) - The Bilateral Monthly Meeting is the main instrument for the service reviews. Escalations – if any –

<sup>12</sup> PowerPoint presentations are mandatory for some meetings. For the other meetings, the presentations are prepared if needed to support the topic(s) addressed during the meeting.



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are dealt with during the monthly BMM follow-up meeting, which takes place at Head of Unit level;

- **BMM follow-up meeting** (monthly);
- **Steering Committee meeting** - [STEERCO](#) (quarterly + monthly for specific topics);
- The **CCN Working Party meeting** (yearly) involving the CCN contractors and delegates from all Member States, candidate countries and third countries;
- Ad hoc technical and/or operational meetings;
- **Multilateral Monthly meeting** - CCN/CSI being the foundation of DG TAXUD's information system architecture, a monthly progress meeting involving all CCN/CSI stakeholders (the internal TAXUD CCN management team, OLAF, the CCN/TC, CCN-WAN, ITSM and QA contractors) is organised to synchronise planning and to address any crosscutting activities.

Meetings steered by DG TAXUD with the participation of the contractor allows to:

- Align TAXUD requirements with contractor's deliverables and explore IT solutions that meet TAXUD business needs;
- Identify business risks and provide mitigation plans;
- Plan strategic activity plans;
- Collaborate to foster new ideas and innovations;
- Escalate contractual and/or operational issues;
- Review Monthly reports/dashboards and communication plans;
- Review and clarify the service delivery agreements related to SLAs, OLAs;
- Setup a trust relationship with the contractor...



The governance and relationship management is described in the CCN/CSI Framework Quality Plan, [\[R2\]](#)

The organisational structure of the CCN/TC contractor can be found in [\[R173\]](#)

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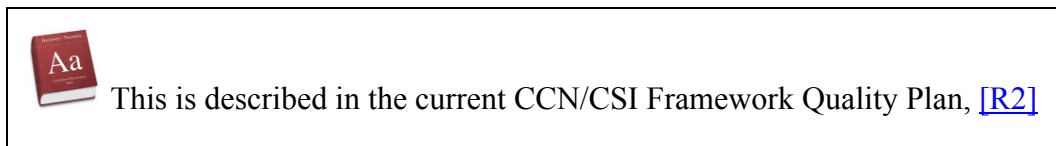
### 6.1.1.3.2 Contract Management [\[As is CCN\]](#)

A Framework Contract (FC) is executed via Specific Contracts (SC) for two types of services:

- Continuous services (Management, Operation & Support services, Maintenance services);
- On-demand activities for development, testing, upgrades, installations and material acquisition ([P&I](#) budget). These are also described as Actions on the actual Framework Contract (FC).

The CCN/TC contractor produces proposals on request from DG TAXUD in order to provide services and deliverables in the context of the Framework Contract. Requests for Proposals are triggered by the following processes:

- Requests for Offer ([RfO](#)) for Specific Contracts ([SC](#));
- Requests for Estimate ([RfE](#)); Once the offers are accepted, Requests for Action ([RfA](#)) are launched by DG TAXUD.



### 6.1.1.3.3 Demand Management [\[As is CCN\]](#)

The CCN demand management requests fall into the following categories:

- Strategic Demand: Requests for new projects that have a major strategic impact, such as the implementation of a new application or the migration to a new hardware platform;
- Operational Demand: Management of IT assets that affect TAXUD's ability to conduct its core operations: improving network security, adding storage capacity;
- Application enhancements and routine, day-to-day request such as upgrading users to a new software version.

Demands of the latter two categories are registered (as service requests) in the CCN/TC service management tool (JIRA).

The demand management is part of the continuous services and each specific contract for continuous services includes the necessary quantities to cover the

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various requests. The contractor reports on a monthly basis – via the Monthly Progress Report – the consumption of these quantities. Additional quantities are (can) be released by means of the Request for Estimate (RfE)/Request for Action (RfA) mechanism allowing an uninterrupted handling of the service requests.

For demand management in the context of Capacity Management and CCN Monitoring activities, please relate to the relevant sections.

#### **6.1.1.3.4 Procurement & Maintenance of HW & SW and related maintenance [\[As is CCN\]](#)**

This service covers the following activities:

- Managing the administrative and contractual processes of procurement and maintenance of the necessary CCN products and services;
- Maintaining a detailed asset inventory of all hardware, software and services under contract, with contractual maintenance and insurance delivered to DG TAXUD upon request. This includes all COTS ICT CI's including those taken over and/or delivered by the Commission, and the ones decommissioned by DG TAXUD. At least, item identification, location, price, date of delivery, start & end date of maintenance & support is being maintained;
- Defining a schedule with planned needs and procurement progress in terms of hardware, software and services;
- The contractor keeps the asset inventory available to the Commission.


The CCN/TC contractor purchases, for the execution of the contract, all required CCN/CSI hardware and software. To that respect, the CCN/TC contractor maintains an Official Price List with all CCN/CSI hardware/software components together with their acquisition/maintenance cost.

This price list is kept up to date and follows the normal market evolutions. The price list is reviewed once or twice a year and is annexed to the Framework Contract.

The CCN/TC contractor is also in charge of shipping the necessary equipment/software to the various CCN sites which are located in the Member States and third countries (refer to [\[R171\]](#) for the list of CCN sites), the Commission's premises (Brussels/Luxembourg) or TAXUD's contractors premises.

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The CCN/TC contractor ensures the maintenance of the hardware and all third party software licenses.



These processes are described in the current CCN/CSI Framework Quality Plan, [\[R2\]](#).

The current CCN/TC official price list items can be found in [\[R50\]](#).

The current CCN inventory can be found in [\[R172\]](#).


#### **6.1.1.3.5 Contractual reporting i.e. MPR/MSR and related annexes [\[As is CCN\]](#)**

The progress is reported in the CCN [MPR](#) document and discussed during the bilateral monthly progress meeting (the CCN/TC records these discussion in the BMM meeting minutes). This document includes a MSR annex with detailed information regarding the service level achieved the previous month, [SQI](#) related data, deviation, etc. The monthly report includes also a Monthly Master Project Planning ([MPP](#)), a Delivery Tracking Matrix ([DTM](#)), Risk Register, action list, quantities justifications ...

The MPR covers amongst others:

- Status of [RfAs](#) and ongoing improvement projects;
- Consumption of unit quantities status;
- Progress realised for each Work Package ([WP](#)) covering the continuous services;
- Any possible issue, problem and/or risk, including a risk management section;
- Updates to the inventory (if any);
- The follow-up of the audit findings/actions;
- A summary of plans for the next month.


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This is described in the current CCN/CSI Framework Quality Plan, [\[R2\]](#)

Please also refer to a sample CCN MPR, [\[R154\]](#)

**6.1.1.3.6 Pricing update mechanism following benchmarks [\[As is CCN\]](#)**


 *NA (this heading is only used to maintain an identical document structure between the "as-is" and 'to-be" part).*

**6.1.1.3.7 Internal Quality Assurance [\[As is CCN\]](#)**

This service covers CCN/TC contractor Quality Assurance ([QA](#)) of the activities ensuring that the [ToR](#), [FQP](#) and [CQP](#) are adhered to and consistently applied across all activities (including technical management of these activities). It is also used to enforce the respect of the SLAs and OLAs, and take any corrective measures in case of deviation.

The CCN/TC contractor nominates a quality assurance officer who is responsible for the internal quality reviews of the various deliverables of the project prior to their delivery to the Commission. These include, among other things, document reviews, planning, test plan execution reviews, code reviews, etc. The Commission may request reports of these review meetings.

The CCN/TC contractor maintains a list of internal quality assurance meetings and minutes of those internal meetings to be kept available on site in case of audit or on request from the Commission.



This is described in the current CCN/CSI Framework Quality Plan, [\[R2\]](#)

**6.1.1.3.8 Quality Control [\[As is CCN\]](#)**

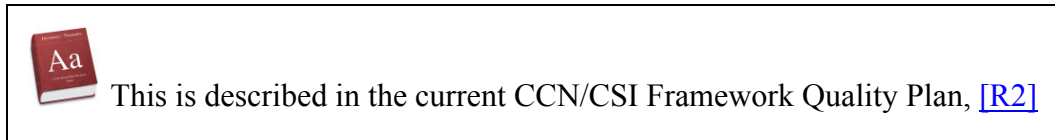
This service covers the Quality Control ([QC](#)) of all deliverables (including translations) prior to delivery to DG TAXUD ensuring that all quality criteria are complied with consistently across all of them.

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The Quality control also ensures that:

- ITIL and [TEMPO](#) quality expectations are met;
- Compliance with standard procedure in case of audit;
- To ensure internal quality review of ALL deliverables, including translations, prior to delivery to the Commission, ensuring that all quality criteria are complied with consistently across all of them;
- Risks if any are properly managed.

The CCN/TC contractor is requested to keep all the internal quality assurance and control reports available on site in case of audit or to deliver them to the Commission upon request.



#### 6.1.1.3.9 **Risk Management** [\[As is CCN\]](#)


The CCN/TC contractor performs the Risk Management for the activities carried out under his responsibility as the well as for the contractual OLA. The CCN/TC contractor reports on them, via the Monthly Progress Report (MPR). The risk management activities adhere to the [TEMPO](#) Risk Management Technique.

Each risk is identified, analysed & assessed. Avoidance and/or mitigation actions are proposed and follow-up during the monthly bilateral meetings and STEERCO meetings.

The CCN/TC contractor keeps its internal risk analysis records available on request by the Commission.

The risk management process is also invoked at CCN programme coordination level to ensure that there are no major deviation or operational risks on the overall system's continuity. As a result, the CCN/TC contractor is responsible for identifying adequate security controls, including those needed by other third parties, and manage and co-ordinate the implementation of the appropriate means to reduce these risks.

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 This is described in the current CCN/CSI Framework Quality Plan, [\[R2\]](#)

#### 6.1.1.3.10 Internal Audit & Self Assessment [\[As is CCN\]](#)

The CCN/TC contractor performs self-assessment and internal audits periodically, once per year, for all the service processes of the CCN contract, reports outcome/findings to the Commission, and introduces the necessary improvements when required in order to implement corrective actions.

The CCN/TC contractor must follow-up the implementation of the actions agreed with the Commission and/or those resulting from the quality audit process.

Self-assessments are conducted by the CCN/TC staff responsible for delivering the services. The internal quality audits are performed by the CCN/TC contractor internal quality auditor, which provides reasonable assurance of reporting segregation with the internal organisation in charge of the contract delivery.


 This is described in the current CCN/CSI Framework Quality Plan, [\[R2\]](#)

#### 6.1.1.3.11 Cooperation during audits and Organisational/Pricing benchmarks [\[As is CCN\]](#)

DG TAXUD carries out periodic – typically once per year - quality and security audits in the CCN/TC contractor's premises. The number and timing of these audits are at the discretion of the DG TAXUD, but most of the time, the audit period is less than 1 week. The CCN/TC contractor facilitates this process and fully supports the auditor by providing all necessary elements to conduct the audit (interviews with staff, documents, procedures, logs, access to systems, etc.).

After the audit report is released, the CCN/TC contractor issues its position regarding the points raised in the audit report. These are discussed between DG TAXUD and the CCN/TC contractor. The decisions taken during that meeting are documented in the minutes and delivered by the CCN/TC contractor two working days after the meeting. Follow-up of the decisions are implemented via the MPRs, or, if necessary, by conducting another verification audit in the CCN/TC contractor's premises.

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This is described in the current CCN/CSI Framework Quality Plan, [\[R2\]](#)

**6.1.1.4 VOLUMETRIC [As is CCN]**

The following volumetric data are applicable for 2010:

ID	Work Item	Volume Estimates
V.1.30	# co-ordination meetings	12 BMMs + 12 follow-up BMMs 12 Operational meetings + 50 Ad hoc / year
V.1.31	# <a href="#">SC</a> /year	2 – 3 / year
V.1.32	# <a href="#">RfAs</a> /year	20 - 25 / year
V.1.33	# Steering committees/year	4 STEERCOs / year
V.1.34	# External Audits/year	1 external
V.1.35	# Benchmarks/year	NA
V.1.36	# Internal Audits/year	2-3 / year
V.1.37	#Internal Assessment/year	2 / year

Table 7: Volumetric Data CCN - Project Management – (Service Block 1)



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The number of resources in the incumbent contractor's teams at end 2010 is:

<b>CCNTC Contractor</b>		
<b>Team</b>	<b>Members</b>	<b>Notes</b>
Project management	<b>12,5 FTE</b>	Including quality management and security management
“Run” competence centre	<b>30 FTE</b>	Includes operations, service desk, etc.
“Projects” and “Inception” competence centres	<b>7,5 FTE</b>	Projects targeting short term improvements and inception phases thereof

Table 8: Staff distribution of the CCN/TC team.

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Section:IT Strategy/Conception/Evaluation – (Service Block 2)	

## 6.2 IT Strategy/Conception/Evaluation – (Service Block 2)

### 6.2.1 Definition

Activities under this Service Block constitute the agreement on what services, how to provide and to measure them. They are laid down in a set of documents that describe:

- The communication and collaboration framework between the ITSM contractor and the third parties involved;
- The overall planning, the key services and deliverables;
- The specific plans to be produced, implemented and revised;
- The procedures and business processes to apply;
- The quality framework, the implementation of quality requirements, and the instruments to specify and monitor them (SLA, OLA, and ToC).

The relevant documents are:

- Framework Quality Plan (FQP);
- Contract Quality Plan (CQP);
- IT Service management processes & policies documents;
- External processes document;
- Service Catalogue;
- SLA & ToC & OLA per business thread and user community.

CSIP induces changes into the organisation, through planning, designing, assessing & optimising services. Changes are later reflected in an update to one of the documents outlined above.

Operational documents that are derived from the documents outlined above are Working Procedures and Internal Working Procedures. They are updated continuously to reflect the current way of working of the contractor.

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### 6.2.1.1 AS IS SITUATION ITSM

The Commission produces Programme Quality Plans (PQP) for Customs systems, Excise Systems and Fiscal systems, which apply to all contractors, involved in that area of work.

Each PQP defines among other procedures the details of the working relationships between all the stakeholders.

At the time of writing PQPs exist for Customs, [\[R29\]](#) and Excise, [\[R30\]](#) but not for Taxation.

#### 6.2.1.1.1 The Framework Quality Plan (FQP) [As is ITSM]

The ITSM contractor produces, delivers, and maintains the Framework Quality Plan ([FQP](#)), ensuring that all activities in this Framework Contract ([FC](#)) comply with all Programme Quality Plans (PQP) in place at that time. The FQP is applicable throughout the Framework Contract.

The FQP consists of a core document and a set of related annexes and contains among other topics:

- The contact details of all internal and external parties involved, along with the corresponding communication and governance model;
- ITSM process model, the internal processes of the ITSM contractor in application for the contract, including team organisation and composition, Quality Assurance and Control procedures, the escalation process and rules;
- ITSM Planning of the activities in Gantt presentation;
- ITSM Deliverable Tracking Matrix ([DTM](#));
- The meta description of :
  - All ITSM deliverables requested by ITIL, which fall within the scope of the contract;
  - The Monthly Progress Report (MPR) and Monthly Service report (MSR);
  - The ITSM tools;
  - The internal procedures.
- List of internal procedures including the team organisation and composition;

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- Contractual [OLA](#) which defines service quality requirements, quality of services, quality targets, objective metrics to measure performance achieved and monitoring means for all services to be provided during the course of the Framework Contract. It includes the generic definition of the SQI, which is commonly re-used across all Specific Contracts. It refers to the SLAs of DG TAXUD towards its customers, OLAs between the Commission and its partners, and ToC with the NAs. The generic SQI can be instantiated in every CQP;
- Hosted Infrastructure OLA (referred to later as the “hosted infrastructure” OLA), with evidence of alignment with the agreement between DG TAXUD and DIGIT/DC regarding the hosted infrastructure in DIGIT/DC;
- The approach to the Continuous Specific Improvement Programme ([CSIP](#)) as well for Service Management related tools as processes;
- [ITSM](#) Glossary.

DG TAXUD can request during the execution of the Framework Contract an update of the FQP to reflect changes to the project, internal procedures, contractual OLA, OLAs, SLAs and TOCs, etc.... For this, the scope, the frequency, and the exact delivery planning have to be agreed with TAXUD.

FQP updates are requested at the beginning of each Specific Contract for continuous services. One (1) update of the FQP during the duration of the FC was performed in 2010. Annexes of the FQP are updated on a continuous basis when changes occur.

The FQP is based on the respective TEMPO template.

The ITSM contractor plans, conducts and documents a **FAT** to verify the alignment of the FQP with the actual set up. The FAT report together with the FQP are submitted for acceptance by the Commission. The Commission reviews and validates the FAT report onsite.



This is described in the current ITSM Framework Quality Plan [\[R1\]](#)

Please also refer to the R4/R5 ITSM Service Catalogue, [\[R3\]](#), to the bundle of IWP, [\[R182\]](#) and to the Delivery and Review procedure, [\[R9\]](#)

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#### 6.2.1.1.2 The Contract Quality Plan (CQP) [As is ITSM]

The ITSM contractor produces, delivers and maintains a Contract Quality Plan (CQP) for each Specific Contract (SC) issued under the Framework Contract, [R1]. The CQP is derived from the FQP but highlights differences in the way activities are performed, in processes and procedures that are specific to a SC. The CQP is applicable throughout the SC and consists of a core document and a set of related annexes:

- The Planning of the activities in PERT and Gantt presentations;
- The Work Breakdown Structure (WBS) of the activities;
- ITSM Delivery Tracking Matrix (DTM);
- The structure of the Monthly Progress Reports (MPR's) and Monthly Service Reports (MSR's);
- List of internal procedures;
- Contractual OLA, hosted Infrastructure OLA and other applicable SLAs/OLAs an TOCs;
- Any deviations to the FQP.

DG TAXUD can request during the execution of a Specific contract an update of the CQP to reflect changes to the project, internal procedures, contractual OLA, OLAs, SLAs and TOCs etc. For this, the scope, the frequency, and the exact delivery planning have to be agreed with TAXUD.

The CQP is based on the respective TEMPO template.



The CQP is described in the current ITSM Framework Quality Plan, [R1]

Please also refer to the R4/R5 ITSM Service Catalogue, [R3] and the SC08 CQP, [R39]

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### 6.2.1.1.3 **IT Service Management - Processes (Service Support & Service Delivery) [As is ITSM]**

The processes of the ITSM contractor are ITIL based. Processes, policies and procedures are part of Service Block 2, but are referenced for the ease of reading, in their relevant Service Blocks.

Process, policy and procedure changes are subject to DG TAXUD's approval via an RfC.

Changes to related documentation are performed continuously when changes occur. All documentation (processes, policies, IWP, etc...) are updated by the teams that own the process. Document updates are quality controlled by the ITSM Internal QA.

Except IWP, all document changes are subject to a document review cycle involving DG TAXUD and stakeholders nominated by DG TAXUD. IWP are updated regularly and uploaded to CIRCA. DG TAXUD triggers then explicitly a review cycle for IWP on a regular basis.

At the time of writing, the Service Support processes are more extensively documented than the Service Delivery ones.

The Service Support processes covered are documented in the following documents:

- Policies
  - Incident Management, [\[R10\]](#)
  - Problem Management, [\[R11\]](#)
  - Change Management, [\[R12\]](#) & [\[R15\]](#)
  - Release Management, [\[R14\]](#)
  - Configuration Management, [\[R13\]](#)
- Procedures, [\[R1\]](#)
  - Service Desk – FQP Annex 11
  - Incident Management – FQP Annex 12
  - Problem Management – FQP Annex 13

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- Change Management – FQP Annex 15
- Release Management – FQP Annex 16
- Configuration Management – FQP Annex 14
  
- IWP, [\[R182\]](#)
  - ITS-IPRC-080-Incident\_Management\_Working\_Procedure
  - ITS-IPRC-082-Internal\_Procedure\_Problem\_Management\_Working\_Procedures
  - ITSM-Internal\_Procedure\_Change\_Management\_Working\_Procedures
  - ITSM-Internal\_Procedure\_Release\_Management\_Working\_Procedures
  - ITSM-Internal\_Procedure\_Configuration\_Management\_Working\_Procedures

The documents related to Service Support need updating taking into account the **Synergia** programme in [6.3](#) – "Tools supporting the Service Management – (Service Block 3)". An indication of the update necessary can be obtained by the first version of the New SMT: Design Document [\[R83\]](#).


The Service Delivery processes covered are documented in the following documents:

- Procedures, [\[R1\]](#)
  - Service level Management– FQP Annex 17
  - Capacity Management – FQP Annex 18
  - IT Service Continuity Management – FQP Annex 19
  - Availability Management – FQP Annex 20
  
- IWP, [\[R182\]](#)
  - ITS-IPRC-101-Service\_Level\_Management\_
  - ITS-IPRC-274 → ITS\_IPRC-279 (Capacity related)
  - ITS-IPRC-292 → ITS\_IPRC-296 (recovery related)
  - Different monitoring related IWP;

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Covered as well are:

- Business Perspective - FQP Annex 25, [\[R1\]](#)
- Application Management - FQP Annex 22, [\[R2\]](#) & - FQP Annex 23, [\[R1\]](#)
- ICT Infrastructure Management and Software asset management- FQP Annex 24, [\[R1\]](#)
- Security Management - FQP Annex 21, [\[R1\]](#)
- Continuous Service Improvement related to Service Management - FQP Annex 27, [\[R1\]](#)



This is described in the current ITSM Framework Quality Plan, [\[R1\]](#) + all applicable annexes + related IWP.

Please also refer to the R4/R5 ITSM Service Catalogue, [\[R3\]](#)

#### 6.2.1.1.4 **CSIP: plan, design, assess & optimise** [\[As is ITSM\]](#)

The Continuous Service Improvement Programme ([CSIP](#)) is an ongoing formal programme undertaken to identify and introduce measurable improvements within a specified service. Reporting to DG TAXUD is provided at regular intervals and on different granularity levels.

One part of the programme covers **seven (7) major dimensions** of transformation as described in the Technical Annex of the current FC [\[R6\]](#).

The second part of the programme is to provide harmonised services to the 3 business threads (Customs, Taxation and Excise) supported by the ITSM Business thread providing a common IT services and tools.

On an operational level, [CSIP](#) as well centralises and drives all improvements initiatives on procedures, processes, and Service Management tools on the ITSM Programme through the Change management process.

Changes to services are multi-dimensional, and involve therefore several stakeholders outside of the ITSM contractor, which poses a challenge in the current FC to conduct transformation but also operational changes.




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The ITSM CSIP process covers:

- The overall CSIP process follow-up;
- Improvement identification and selection;
- The management of the major transformation Projects;
- Change management through Service Improvement Projects.

By 2010 of 1½ major transformation projects have been performed and about 20 Service Improvement Projects have been completed.

Improvement actions come from a variety of **sources**: Stakeholders, management process owners, operational activities, internal quality audits, internal assessments, yearly user satisfaction surveys (USS), external audits etc.



This is described in the current ITSM Framework Quality Plan, [\[R1\]](#)

The seven Major Transformations projects are described in the Technical Annex of the current Framework Contract, [\[R6\]](#)

Please also refer to the ITSM Framework Quality Plan, [\[R1\]](#) for the Planning to implement SM-CSIP, the ITSM Framework Quality Plan, [\[R1\]](#) - Annex 27 and the ITSM Internal Procedure – CSIP Process – ITS-IPRC-040, [\[R43\]](#)

#### 6.2.1.1.5 **Production & Maintenance of External processes** [\[As is ITSM\]](#)

The ITSM contractor is working co-operatively with a number of external parties (also referred to as contractors or service providers) to deliver the end-to-end service to the DG Taxation and Customs Union (DG TAXUD).

The external processes document describes the way of working towards each other external party and per specific interface. Interfaces can be classified into several categories and at several organisational levels. By early 2011, the number of the identified interfaces and related external procedures are not fully formalised and not in all cases worked out in detail.

DG TAXUD can request during the execution of a specific contract an update of the External Processes document to reflect changes that occurred. For this, the scope, the frequency, and the exact delivery planning have to be agreed.

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Evolutionary maintenance of the external processes and procedures definition and description is performed once per SC for continuous services.

An overview of the involved external parties is presented in the following figure:

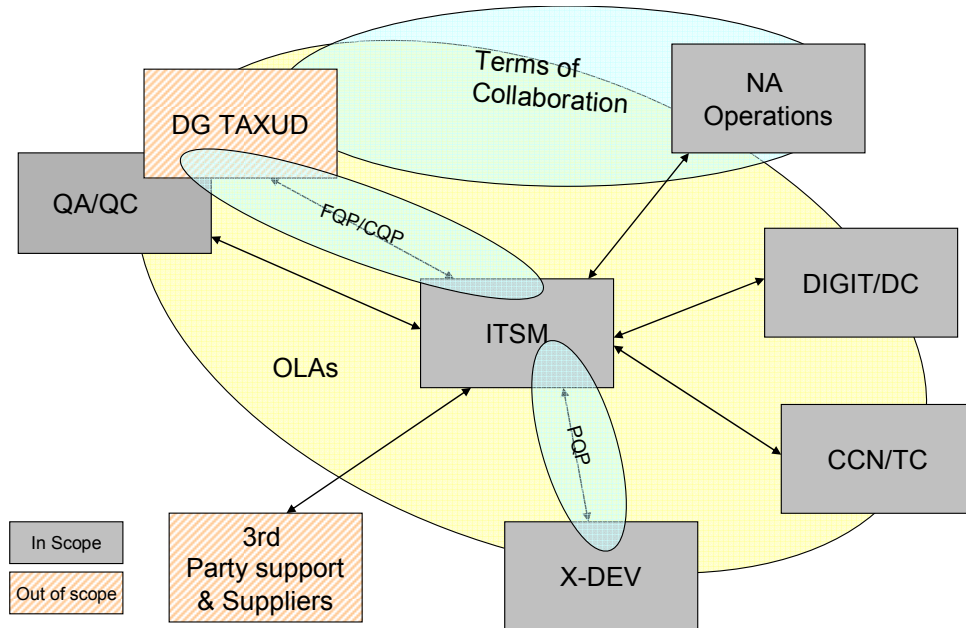



Figure 9: Collaboration of ITSM contractor with external parties (As is situation)



This is described in the current ITSM Framework Quality Plan, [\[R1\]](#)

The description of the different interactions/collaboration is in the document "External processes and procedures and its evolutive maintenance", [\[R17\]](#)

Please also refer to the R4/R5 ITSM Service Catalogue, [\[R3\]](#)

An overview of the involved external parties is presented in the document "External processes and procedures and its evolutive maintenance", [\[R17\]](#)

The involved parties and their role are described in Section 5 of this document and in the document "External processes and procedures and its evolutive maintenance", [\[R17\]](#) Section 4.1

The interfaces are shortly described below – more details can be found in the document "External processes and procedures and its evolutive maintenance", [\[R17\]](#) Section 4.3.

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#### 6.2.1.1.6 Service Catalogue Maintenance [\[As is ITSM\]](#)

The purpose of these documents is to provide an exhaustive list of the various services offered by ITSM contractor to the DG TAXUD IT and to the NAs.

The Service Catalogues (one for DG TAXUD, one for the NAs,) form the basis for other agreements: e.g. Service Level Agreements ([SLA](#)) and Terms of Collaboration ([ToC](#)).

The Service Catalogue was build on the Technical Annex of the actual ITSM Framework Contract and on the output of meetings held between the ITSM contractor and TAXUD.

As indicated in the ITSM Service Catalogue, [\[R3\]](#), there are **three** ordering mechanisms:


- **Fixed Price (FP) for Continuous Services (CS);**
- **Request for Estimate(RfE)/ Request for Action (RfA);**
- **Request for Service (RfS).**

Smaller units of work or optional components within RfAs can be issued via "trigger". Here, DG TAXUD authorises the ITSM contractor in electronic form to proceed with the specific action in question.

The Service Catalogue contains a complete list of services and deliverables at the time of writing, which goes beyond in the initial Technical Annex, [\[R6\]](#) and Terms of Reference, [\[R5\]](#).

Evolutive maintenance of the Service Catalogue is performed once per SC for continuous services.

DG TAXUD can request during the execution of a SC an update of the Service Catalogue to reflect changes that occurred. For this, the scope, the frequency, and the exact delivery planning have to be agreed.



Please refer to the ITSM Service Catalogue, [\[R3\]](#) and the initial Technical Annex, [\[R6\]](#)

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#### 6.2.1.1.7 SLA & ToC & OLA definition & Maintenance per user community [As is ITSM]

The ITSM contractor is responsible for creating, monitoring<sup>13</sup> and maintaining the following deliverables (maintenance means evolution of the content, under the management of the CSIP) linked to this activity:

- SLAs with the NAs (per business thread/user community) for trans-European systems;
- Terms of Collaboration for **TES** (in close collaboration with Business Perspective);
- Provide advice on the content of the OLAs that DG TAXUD IT creates/maintains with other service providers e.g. DIGIT, CCN.

The ITSM contractor produces SLAs and TOCs per customer/user community within each business thread and one for the ITSM thread.

The Commission reserves its right to submit the SLAs for review and acceptance by the NAs.

The ToC outlines the way of collaborating between Central and National services e.g. Project teams, Service Desk etc.

The content of an OLA and SLA is the same; however, the OLA regulates the agreement between DG TAXUD and its Service Providers while a SLA regulates the relation between DG TAXUD and its Customers.

On a regular basis (defined in respective SLA/OLA), Service Reviews are foreseen to take place to ensure services are delivered as expected.

<sup>13</sup> This monitoring aspect is covered by Service Block 9.

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This is described in the current ITSM Framework Quality Plan, [\[R1\]](#) and in:

- Service Catalogue – TAXUD, [\[R3\]](#)
- Service Catalogue – MSA/NA, [\[R4\]](#)
- ITSM SLA Harmonisation guidelines, [\[R31\]](#)
- Excise SLA, [\[R32\]](#)
- Excise TOC, [\[R33\]](#)
- ECustoms SLA, [\[R34\]](#)
- ECustoms TOC, [\[R35\]](#)
- Taxation SLA, [\[R36\]](#)
- AGRI SLA, [\[R37\]](#)
- DIGIT hosting proposal, [\[R38\]](#)
- DIGIT hosting proposal, [\[R38\]](#)
- ITSM Framework Quality Plan, [\[R1\]](#) Annex 17: Service Level Management.
- Framework Quality Plan, [\[R1\]](#) Annex 25: Business Perspective

### 6.2.1.2 VOLUMETRIC [\[As is ITSM\]](#)

The following volumetric data are applicable for 2010:

ID	Work Item	Volume Estimates
V.2.1	FQP update Framework Contract	1
V.2.2	CQP update per year	1
V.2.3	Document updates per year	30 - 40
V.2.4	CSIP RfCs	13
V.2.5	CSIP Detailed actions	350

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<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
<b>V.2.6</b>	CSIP operational meetings	20
<b>V.2.7</b>	CSIP Change Advisory Boards	6

Table 9: Volumetric Data ITSM - IT Strategy/Conception/Evaluation – (Service Block 2)

### **6.2.1.3 AS IS SITUATION CCN**

#### **6.2.1.3.1 The Framework Quality Plan (FQP) [As is CCN]**

The purpose of this Framework Quality Plan (FQP) is to document the working relationship between the CCN/TC contractor and the Commission as well as the quality expectations for the scope of the contract.

The FQP describes only those procedures, methods and Service Management related tools, which are specific to the Framework Contract. Common procedures, methods and Service Management related tools shared within the Program or with other Programs are described in TEMPO.

The Framework Quality Plan ([FQP](#)) is produced, delivered and maintained by the CCN/TC contractor and is composed of:

- A project plan with a description of the activities ([WBS](#)), their relations and planning (PERT and GANTT presentations);
- The external reporting measures (reporting deliverables, meetings with their frequency, participants and practical arrangements);
- The list of deliverables governed by the FC (Deliverable Tracking Matrix) and its delivery for review planning dates;
- A quality plan with a description of the overall quality policy (quality assurance, control and improvement) and the related procedures;
- A security plan describing the security policy, its operational procedures and the risk management policy.

The FQP is based on the respective TEMPO template.

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This is described in the current CCN/CSI Framework Quality Plan, [\[R2\]](#)

#### 6.2.1.3.2 The Contract Quality Plan (CQP) [As is CCN]

The CCN/TC contractor produces, delivers and maintains a Contract Quality Plan ([CQP](#)) for each Specific Contract ([SC](#)) issued under the Framework Contract (FC). The CQP is derived from the FQP but highlights differences in the way activities are performed, in processes and procedures that are specific to a SC. The CQP consists of a core document and a set of related annexes. The CQP is applicable throughout the SC.

The purpose of the CCN/TC Contract Quality Plan is to document the measures taken to satisfy the quality expectations and the technical requirements to be performed by the CCN/TC contractor in the scope of the contract.

The CCN/TC contractor is required to produce and maintain the CQP (reflects the specific scope and characteristics of the SC in question) which is composed of:

- A **project plan** with a description of:
  - The activities, their relations and planning (PERT and GANTT presentations);
  - The organisation (resources, roles, communication and reporting lines) that performs these activities.
  - The external reporting measures (reporting deliverables, meetings with their frequency, participants and practical arrangements);
  - The **list of deliverables** governed by the FC (Deliverable Tracking Matrix) and its delivery for review planning dates adapted for the scope and characteristics of the SC and reflected in a new “Deliverable Tracking Matrix” included in the CQP;
  - A security plan describing the security policy, the operational procedures to ensure it and the risk management policy (if specific for the SC);
  - The work procedures. These work procedures depend on the activities covered by the scope of the SC. They also include the associated points of control and measurement as well as describe how to handle exceptions, escalation, and reporting mechanisms. In particular, they detail the following activities according to ITIL principles and terminology:


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- The Service Desk;
- The monitoring and pro-active tasks;
- The testing mechanisms;
- The training rules;
- The change and release management;
- The configuration management;
- The handling of administrative requests;
- The handling of security incidents;
- The pro-active and reactive actions planned as contingency actions.

In case some modification need arises during the course of the project, both parties can submit a request for modification during the following monthly progress meeting where the DG TAXUD and the CCN/TC Program Manager decides to have it applied or not following the RFC Working Procedure. The CCN/TC contractor delivers a new version within 10 EC w-days. The CCN/TC contractor, upon DG TAXUD approval, extends that delay. The document is then subject to the Review and Acceptance Cycles as described in the FQP.

All those activities are reported via the Monthly Progress Report (MPR)

The CQP is based on the respective TEMPO template.



Please refer to the CCN Contract Quality Plan, [\[R74\]](#)

### 6.2.1.3.3 IT Service Management - Processes (Service Support & Service Delivery) [As is CCN]

The processes of the CCN/TC contractor are ITIL based. Processes, policies and procedures are part of Service Block 2, but are referenced for the ease of reading, in their relevant Service Blocks. Related documents are updated continuously when changes occur. From the processes result policies, procedures and IWP.



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Processes are documented in the following documents:

- Configuration management (CCN-CWPR-CFMGT), [\[R2\]](#)
- Change Management (CCN-CWPR-CHMGT), [\[R2\]](#)
- Gateway management system part (CCN-CMPR-GW), [\[R51\]](#)
- CCN Production Gateway Switching Procedure to Central Backup Site (CCN-CTN-022), [\[R2\]](#)
- Contingency gateway management procedures, [\[R205\]](#)

The activities are described in [6.7](#) - CCN Operations – (Service Block 7) of this document.

For activities related to the CCN Service Desk and Incident Management, please refer to [6.4.1.3](#) – Service Desk [\[As is CCN\]](#) – (Service Block 4).



These processes are described in the current CCN/CSI Framework Quality Plan, [\[R2\]](#)

#### 6.2.1.3.4 **CSIP: plan, design, assess & optimise** [\[As is CCN\]](#)



At the time of writing, there is no formal CSIP process in the incumbent contract. Improvements to CCN are based upon feedback from the Member States (e.g. during the yearly CCN Working Party meeting) and/or from the recurring STEERCO meetings.

#### 6.2.1.3.5 **Production & Maintenance of External processes** [\[As is CCN\]](#)

All Quality procedures (and pointers to related checklists, templates, and forms) are gathered and referenced in the “CCN/CSI Quality Handbook”.



The CCN/CSI Quality Handbook is part of the CCN/CSI Framework Quality Plan, [\[R2\]](#)

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The following entities interact with the CCN/TC, which requires setting up and optimising a number of reporting and interaction tools and processes in order to offer efficient and high quality services.

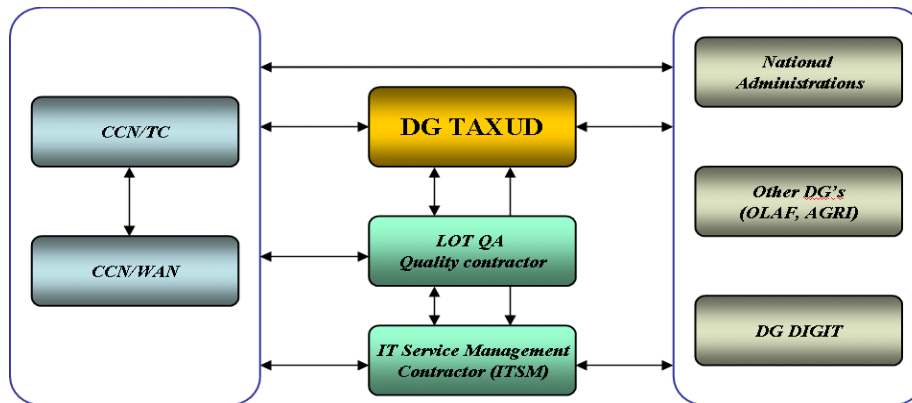


Figure 10: CCN/TC interactions

The CCN/TC contractor reports to DG TAXUD on a regular basis, during ad-hoc meetings or by other communication means, on the activities (service desk, service delivery, monitoring, operation of the system, security management, installation, deployment, operation, trainings, etc.) which require close co-ordination. This is necessary to minimise the impact on the system availability and prevent conflicting situations affecting the entities involved in the project.

The CCN/TC contractor supports and co-ordinates with:

- The **Commission/ DG TAXUD** as the owner of the project;
- The **National Administrations** (NAs) responsible for the development and operations of the national applications as well as for the deployment of CCN/CSI infrastructure deployed in each site; including testing, validation and acceptance of the new infrastructure components;
- **Other third countries**, depending on the evolution of the TAXUD international agreements (Currently DG TAXUD provides access to CCN services for Russia in the context of the SPEED project in the area of transit of goods);
- The **other entities** involved in the project and entitled by DG TAXUD to contact the CCN/TC contractor (WAN provider, CUSTDEV2 contractor, ITSM contractor, etc.);
- The **Quality Assurance (QA) contractor** is responsible for the provision of services in the area of quality assurance and quality control of the IT services and deliverables supplied to DG TAXUD. The QA contractor is also in charge of conducting regular security and quality audits of the other IT contractors on behalf of DG TAXUD. The QA contractor is not a unique


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entity, but a set of Commission suppliers capable for quality assurance, control, audit or benchmarking duties;

- **Other Directorates General** from the Commission receive IT services from DG TAXUD, namely DG AGRI, DG OLAF, DIGIT/TC and are therefore both users and customers of the DG TAXUD IT services.

#### 6.2.1.3.6 Service Catalogue Maintenance [As is CCN]

The CCN/TC Service Catalogue is not available as such in the scope of the incumbent contract. However, the CCN/TC contractor is requested during the renewal of the specific contracts, to provide information about the standard services and the new services triggered by the Commission and instantiated by the CCN/TC contractor in his offer.



Further details are described in the current CCN/CSI Framework Quality Plan, [\[R2\]](#)

#### 6.2.1.3.7 SLA & ToC & OLA definition & Maintenance per user community [As is CCN]

There is no explicit [ToC](#) active within the current relation of the CCN/TC and other third parties. There is an active [SLA](#) between the CCN/TC and DG TAXUD. The CCN/TC contractor supports the Commission in meeting its SLA obligations. The contractual SLA defines the Operational Level Agreement between the Commission and the CCN/TC contractor.

The SLA defines the minimum level of agreed service acceptable to the Service Requester, and provides a mutual understanding of service level expectation, their measurement methods and the possible associated penalties. This level of service addresses the activities provided by the CCN/TC contractor to users of the CCN/CSI infrastructure.

The users are, amongst others:

- The **Application Development Teams**, working both for the National Administrations and for the DG TAXUD, in charge of the development of applications over the CCN/CSI infrastructure;

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- The **National Support Centres** in charge of the support and management of the nationally localised CCN/CSI components and of the national infrastructure supporting the applications running over the CCN/CSI infrastructure;
- The **Application Support Centres**, in charge of the central support and management of one or several of the DG TAXUD applications running over the CCN/CSI infrastructure;
- The **DG TAXUD** as owner of the system.

The CCN/TC contractor commits himself to provide services to the Service Requester, as defined in the FC together with the concerned Specific Contracts (SC), and commits himself to deliver those services according to the service quality level as defined in this SLA.

The SLA covers the continuous, fixed price and on-demand services.

Any changes to the SLA during the duration of the SC require an amendment to the SC. The CCN/TC contractor assists the Commission in improving these SLAs and in monitoring the services provided by third parties according to them.

The current CCN OLA's provide the Service Level Agreement between the Commission and the customers of its services. It defines the minimum level of service expected from the Commission. It provides a mutual understanding of service level expectation and their measurement methods

There are currently three OLAs in place:

- OLA between DG TAXUD and the National Administrations;
- OLA between DG TAXUD and [OLAF](#);
- OLA between DG TAXUD and the Russian Federation in the scope of SPEED.

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Please refer to:

- The "CCN - Service Level Agreement", [\[R40\]](#)
- The "CCN - OLA between DG TAXUD and National Administrations", [\[R41\]](#)
- The "CCN - OLA between DG TAXUD and OLAF", [\[R42\]](#)
- The “CCN-SPEED OLA with the Russian Federation”, [\[R153\]](#)

#### 6.2.1.4 VOLUMETRIC [\[As is CCN\]](#)

The following volumetric data are applicable for 2010:

<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
<b>V.2.8</b>	Number of working group meetings/year	2-4
<b>V.2.9</b>	Number of service monthly meetings/year	25

Table 10: Volumetric Data CCN - IT Strategy/Conception/Evaluation – (Service Block 2)

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## 6.3 Tools supporting the Service Management – (Service Block 3)

This Service Block covers the following services:

- Service Management related tools - Prerequisites
- Service Management related tools – Transition
- Service Management related tools – Project & Programme management
- Service Management related tools - Design
- Service Management related tools - Development
- Service Management related tools - Operations
- Service Management related tools - Corrective maintenance
- Service Management related tools - Evolutive maintenance
- Service Management related tools - Training
- Service Management related tools - Portfolio

### 6.3.1 Definition

Service Management related tools (applications and/or configured software products) are tools essential for the provision of the automated part of the ITSM and CCN services to its customers and users. They include also tools to support the management of and reporting on the provision of those services.

Services in this Service Block are directed to Service Management related tools only and are delivered throughout the Application Development lifecycle, including delivery of the related artefacts.

#### 6.3.1.1 AS IS SITUATION ITSM

##### 6.3.1.1.1 Service Management related tools – Prerequisites [\[As is ITSM\]](#)

ITSM tools are Service Management-related tools that are developed by the ITSM contractor under this Service Block.

ITSM tools are supported by the ITSM FC as is any other application delivered by an X-DEV. However, here ITSM is considered X-DEV and Application

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Development is performed within the ITSM contractor. Those ITSM tools are categorised under the ITSM BT.

The Design & Specification of ITSM Service Management related tools are compliant with the DG TAXUD TEMPO methodology and DIGIT hosting guidelines and product list, [\[R226\]](#).



Tools that are developed, delivered, maintained, operated, etc... internally at the ITSM contractor are transparent for DG TAXUD and are not considered ITSM Tools. During the duration of the ITSM FC, DG TAXUD launched projects to replace internal tools with ITSM tools.



Please note that the following tools are currently being replaced and will be phased-out before the start of the **ITSM2** activities: owITSM, OneCMDB and Sun Directory Server 5.1.

#### 6.3.1.1.2 Service Management related tools – Transition [\[As is ITSM\]](#)

The ITSM contractor took over in 2007 the ITSM Service Management related tools and their data (alias legacy ITSM Service Management related tools) from the previous contractor(s) and consolidated them.

The tools concerned were:

- **Service Management Tool:** A new SMT was deployed at the time of take over and populated with all "open" calls of the previous contractors, "Closed" calls from the previous contractors were published on the ITSM Portal under the "historical calls" section;
- **ITSM Portal:** During takeover, the ITSM contractor made an ITSM Portal available, which primarily provided facilities for the follow up of all calls handled by the ITSM contractor;
- **Existing Portals:** The ITSM contractor took over existing portals from the previous contractors like the CUSTOMS Web2000 portal and Excise PSP portal;
- **Other Service Management related tools** (e.g. monitoring tools, testing tools ...) were taken over as is;
- **Document Reference Center (CIRCA).**

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The tools were improved and/or migrated and consolidated to newer ITSM tools by the ITSM contractor. ITSM Tools currently in place can be found under Service Management related tools in [6.3.1.1.10](#).

### 6.3.1.1.3 Service Management-related tools – Project & Programme management [As is ITSM]

This service is provided to design, plan and maintain the ITSM Service Management-related tools **vision, roadmap and programme**. Those are based on the DG TAXUD IT strategy, vision and related business requirements.

Major inputs for those are management meetings, most notably the **Synergia** STEERCO for the **Synergia** programme and the BMM, in which the ten most important projects are discussed.

The **Synergia** programme is a major transformation project to improve efficiency and achieve operational excellence.

This programme was launched by DG TAXUD in 2010 to further build on ever better working relationships between DG TAXUD IT, the Stakeholders, the Suppliers and Users. The programme strives towards a shared coherent set of processes supported by automated workflows and excellent Service Management Tools.

Decisions needed for the development of the ITSM tools vision and roadmap are being supported by business cases which are submitted to the **Synergia** STEERCO, allowing DG TAXUD to identify benefits, dependencies and impacts (financial and operational).

Phase I of the **Synergia** programme is a project to deploy HP Service Manager 7.1, which replaces the existing IT Service Management Tool (owITSM), and the Configuration Management Database (OneCMDB). HP SM 7 is foreseen to become the common tool for IT operations and to be used by all support groups that are involved in operations. In Phase I, it is planned to allow the 3<sup>rd</sup> level support (X-DEV) to use the tool directly.

In the next phases, ClearQuest and ClearCase are planned to become the main tool for the development lifecycle. The setup and integration with a planning tool, uCMDB, and a monitoring tool are also being considered.

End 2010, the indicative roadmap for the **Synergia** Programme was as follows:



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<b>Scope / Phases</b>	<b>Phase I (launched)</b>	<b>Phase II (in preparation)</b>	<b>Phase III</b>	<b>Phase IV</b>
<b>Incident Management</b>	Fully in scope	-	-	Extensions for other stakeholders
<b>Problem Management</b>	Fully in scope	Improvements	Integration with developers tools	Extensions for other stakeholders
<b>Change / Release Management</b>	Change management linked to systems, application, etc. in production and operational changes	Change management linked to systems, applications, etc. not yet in production	Integration with planning tools	-
<b>Configuration Management</b>	Take-over As is	Extensions for other stakeholders	Integration with monitoring tools	As required to enable this phase
<b>Service Request Management</b>	Take over As Is	Request planning Request fulfilment	Integration with financial tools	As required to enable this phase
<b>Service Level Management</b>	Take over As Is	Extensions for other stakeholders	-	As required to enable this phase
<b>Knowledge Management</b>	OOTB only	Fully in scope	Extensions for other stakeholders	-
<b>Testing</b>	CT campaigns	TIR	Integration with developers tools	Extensions for other stakeholders

Table 11: Indicative **Synergia** Programme roadmap

End September 2011, the Synergia state-of-play is as follows:

Synergia Phase I has been finalized. Pilots have been launched for:

- Knowledge management,

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- TIR in Clear Quest and Clear Case,
- One development supplier using the Synergia Service Manager for Incident Management.


Synergia Phase II is foreseen to be launched in Q4/2011. As an indication, Phase II scope is planned to be comprised of:

- Improvements to Phase I functionality,
- HP SM release upgrade from 7.11 to HP SM 9.3,
- Requirements gathering and functional analysis for HP uCMDB,
- Requirements gathering and functional analysis for reporting needs,
- Study on the extension of Synergia Service Manager for Member States, development suppliers and CCN/TC.

Examples for deliverables are:

- Programme charter;
- Business cases.

**Deliverables**, their frequency, reporting and applicable review cycles, including applicable SQIs are agreed via the corresponding RfA or are provided as part of the services agreed under other service blocks. Business cases are provided under [6.1](#) - "Project Management – (Service Block 1)", continuous services.



This is described in the current ITSM Framework Quality Plan, [\[R1\]](#) and annex 28 - Application Development (1.04) of the FQP.

For the programme charter, please refer to the SMT Programme, [\[R85\]](#)

Please refer to the business cases of the Rubik Notifier Plug-in, [\[R193\]](#)

#### 6.3.1.1.4 Service Management related tools - Design [\[As is ITSM\]](#)

The purpose of Application Design & Specification is to (further) analyse, detail and specify the vision and scope for the new application or the new release and to outline the proposed solution. This includes the gathering of business requirements, the analysis of different alternatives through proof-of-concepts and

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feasibility studies and the specification and documentation of the solution through functional, technical and acceptance test specifications.

Application Design & Specification provides input for Application Development and Application Maintenance. It ensures that the solution complies with the approved DG TAXUD requirements and specifications and serves the needs of the ITSM Processes.

Application Design is typically performed and finalised before the Application Development starts - according to TEMPO. At the time of the call for tenders writing, for some projects, DG TAXUD is changing towards an iterative development methodology including prototyping. In accordance with TEMPO, this should allow for a more interactive design and build phase between the different stakeholders, allowing more flexibility in gathering requirements and specifications.

Examples for deliverables are:

- Business requirements collection & analysis;
- Requirements definition, system requirements collection & analysis;
- Feasibility studies & proof of concepts;
- Functional, technical & and acceptance test specifications.
- Detailed design & interface specifications.

**Deliverables**, their frequency, reporting and applicable review cycles, including applicable SQIs are agreed via the corresponding RfA or are provided as part of the services agreed under other Service Blocks.



This is described in the current ITSM Framework Quality Plan, [\[R1\]](#) and annex 28 - Application Development (1.04) of the FQP.

Please refer to the ITSM Service Catalogue, [\[R3\]](#) – Word document Section 4.7.6 & XLS sheet (Sheet "Specs – Studies – Analysis") and:

- **LDAP Study**, [\[R87\]](#)
- **Design documents linked to the ITSM New Portal (including the SMT call centre page and the availability dashboard application):**
  - Requirements document ITSM Portal Phase 1, [\[R44\]](#)
  - Requirements ITSM Portal Phase 2, [\[R45\]](#)
  - Functional Specifications, [\[R46\]](#)
  - Technical Specifications, [\[R47\]](#)

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- Acceptance Test Specifications, [\[R48\]](#)
- AvDB, [\[R52\]](#)
- **Design documents linked to the new SMT:**
  - New SMT: Feasibility Study, [\[R49\]](#)
  - New SMT: PoC, [\[R194\]](#) & [\[R195\]](#)
  - New SMT: Design Document, [\[R83\]](#)
  - New SMT: Installation report, [\[R72\]](#)
  - New SMT: Rubik notifier, [\[R193\]](#)
  - SMT – Knowledge Management Study, [\[R82\]](#)
- **Design documents linked to the new Planning Tool:**
  - Feasibility report for the Planning tool, [\[R99\]](#)
- Design documents linked to the Availability Dashboard, [\[R52\]](#)

**6.3.1.1.5 Service Management related tools - Development [\[As is ITSM\]](#)**

The purpose of Application Development is to **develop, maintain, support and document** an ITSM Service Management related tools suite.

This service covers the build, configuration, and customisation including test of new and existing applications under corrective and evolutive maintenance.

At the time of the call for tenders writing, SMT applications are a mix of "own"-developed tools and configured and customised off-the-shelf tools. For the new SMT project (see [6.3.1.1.10](#)), specific knowledge for the HP off-the-shelf application is provided by a subcontractor.


Examples for deliverables are:

- Design documentation, including the System Requirement Overview;
- Detailed design, including the interface specification with other applications;
- Infrastructure requirements;
- Software builds (releases, patches, hot fixes, scripts) with documented source code and including associated documentation;

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- Support documentation and training material addressing infrastructure requirements, installation procedures, user and service provision manual;
- Testing deliverables (Test plan, test cases, test data, test specifications);
- The FAT report and the tested version, submitted for preSAT;
- Training material related to the deployment, operation and technical support on the application to be deployed;
- Deployment deliverables (installation plan, deployment plan, cut-over plan, decommissioning plan);
- Operations deliverables (service operation manual, user provision manual, support documentation, operations training material);
- Workarounds and solutions for Known Errors.

**Deliverables**, their frequency, reporting and applicable review cycles, including applicable SQIs are agreed via the corresponding RfA or are provided as part of the services agreed under other Service Blocks.



This is described in the current ITSM Framework Quality Plan, [\[R1\]](#) and annex 28 - Application Development (1.04) of the FQP.

Please also refer to the ITSM Service Catalogue, [\[R3\]](#) – Word document Section 4.7.6 & XLS sheet (Sheet "Specs – Studies – Analysis").

Build documents linked to the ITSM New Portal:

- FAT Report, [\[R54\]](#)
- Release Note, [\[R55\]](#)
- Operations Guide, [\[R57\]](#)
- Content maintenance procedure, [\[R58\]](#)


#### 6.3.1.1.6 **Service Management related tools - Operations [\[As is ITSM\]](#)**

The Application Development within the ITSM contractor provides second and third level support.

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#### 6.3.1.1.7 **Service Management related tools - Corrective maintenance** [\[As is ITSM\]](#)

Corrective maintenance covers any maintenance activity that is required to correct a failure that has occurred or is in the process of occurring. This activity may consist of repair, restoration or replacement of components. The service is provided by Application Development as part of continuous services.



This is described in the current ITSM Framework Quality Plan, [\[R1\]](#) and annex 28 - Application Development (1.04) of the FQP.

Please also refer to the ITSM Service Catalogue, [\[R3\]](#) – Word document Section 4.7.6 & XLS sheet (Sheet "Specs – Studies – Analysis") and a RFC example, [\[R196\]](#)

#### 6.3.1.1.8 **Service Management related tools - Evolutive maintenance** [\[As is ITSM\]](#)

Evolutive maintenance covers evolutive changes that are derived from the ITSM SMT tools vision and roadmap, and as well from the ITSM change management process. The service is provided by Application Development. The activity is covered by and RfE/RfA and paid via On-Demand budget.

#### 6.3.1.1.9 **Service Management related tools - Training** [\[As is ITSM\]](#)

Training covers any training and related material that is produced and/or provided to external end-users of the tool. The need for classroom training and production of related material, as well as the production of e-learning material is identified in the context of individual projects and specifically requested for those. Training material is at that point in time tailor-made to address business knowledge and technical knowledge and as well the DG TAXUD specific IT terminology.

In 2010, based on Camtasia Studio, e-learning modules were developed for the ITSM Portal and the SMT<sup>14</sup>. Together with a new release of the ITSM Portal, some of the e-learnings were updated.

Please see also [6.12](#) – "Other Deliverables & Services – (Service Block 12)" for the provision of training sessions & infrastructure for hosting training sessions.

<sup>14</sup> for the SMT in place (owITSM)

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This is described in the current ITSM Framework Quality Plan, [\[R1\]](#) and annex 28 - Application Development (1.04) of the FQP.

Please also refer to the ITSM Service Catalogue, [\[R3\]](#)

See also the Training material linked to the new portal, the user guide, [\[R59\]](#) and the SAT report linked to e-learning material, [\[R61\]](#) and [\[R196\]](#)

#### 6.3.1.1.10 Service Management related tools - Portfolio [\[As is ITSM\]](#)

As the Service Management related tools portfolio is under constant evolution, this section gives an overview of the portfolio for information purposes and at the time of writing. Not all of the tools listed below fall under the category ITSM Tool. Service Management related tools are:

- The **Service Management Tool (SMT)**, based on Bull existing IT Service Management Tool (owITSM), containing requests for information, requests for services, incidents, problems, changes and known errors. The **Synergia** project is ongoing to replace this tool by HP Service Manager 7.11 including an HTML email plug-in, in scope being incident, problem, change, release, knowledge, known error and request fulfilment. The new tool should be fully in production by End-2011;
- **The Configuration Management Databases**; based on the Open Source Software OneCMDB, an MS Access database and various MS Excel sheets, containing configuration items for hardware, software and documentation. The **Synergia** is ongoing to replace this tool by HP Service Manager CMDB – cf. [\[R53\]](#) & [\[R197\]](#). HP CMDB should be fully in production by Mid-2011;
- **The Application Portfolio, based on an MS Access database**, published automatically and weekly to the ITSM Portal, containing information about the business applications and ITSM Service Management tools supported by ITSM; The **Synergia** is ongoing to generate the Application Portfolio by HP Service Manager CMDB;
- **The Definitive Software Library**, based on a file server, containing the software releases provided to the ITSM contractor for deployment;
- **The Operational Document Library**, based on a file server, containing the documentation deliverables provided to the ITSM contractor for deployment;

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- **The ITSM Portal**, based on Jahia Enterprise Edition 6.1 - providing access to some of the above tools to DG TAXUD, its suppliers, [DIGIT/DC](#), other third parties authorised by DG TAXUD and the [NAs](#).

The main function of the ITSM Portal is the Call Centre, which provides a view on the calls of the SMT (owITSM)<sup>15</sup>. Through the **Synergia** programme, changes will occur. For the ITSM Portal Phase II, a requirements analysis has been performed to extend the ITSM Portal functionalities towards collaborative working tools and an availability dashboard<sup>16</sup>;

- **The Availability Management Dashboard**, based on a Perl/HTML custom application, aggregating automatically generated and as well manually logged availability information and displaying it via a dashboard. Part of the ITSM Portal Phase II requirements gathering has analysed business requirements to streamline and migrate the Availability Management Dashboard into a custom Availability Management Database;
- **The Capacity Management Plan**, based on a MS Word document, containing capacity forecasts;
- **The ITSM LDAP**, based on SUN iPlanet Directory Server 5.1, containing user and access information for some Service Management related tools and centrally hosted applications. In 2010, a study has been conducted to evaluate migration options. Besides the LDAP, the ITSM contractor maintains as well an MS Access DB. The MS Access database acts as Front-End to the LDAP to some business applications. At the time of writing, a project has been launched under the **Synergia** programme to migrate the LDAP to Oracle DSEE 11G and to prepare for the user management of HP SM 7;
- **Known Error Lists**; based on incidents logged into the SMT, and of Known Error lists maintained separately by different development contractors, containing known errors related to software releases. The **Synergia** project has been launched to incorporate those Known Errors into HP SM 7;
- **System Management (Monitoring) Tools**, based on SCOM, BMC Patrol, HostMonitor, Nagios and Applications Manager, including monitoring, event and alarm management;
- **Planning Tools**, based on MS Project files, containing a monthly rolling plan on project, deployment and release activities organised per business thread. A feasibility study has been performed in 2010 to investigate options to use a Planning Tool instead;

<sup>15</sup> For a description of the functions of the ITSM Portal in place, please refer to R44 and R46– R48.

<sup>16</sup> For more information, please refer to R45 and R52.



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- **A business process modelling, documentation and reference tool**, based on ARIS. A project has been launched to implement the tool. At the time of writing, a discovery phase is being performed. At the time of writing, ARIS is not considered a tool to support ITSM services, but as application under the Customs BT;
- An ITSM contractor **internal workflow tool**, based on Atlassian JIRA containing resource allocation and planning of all deliverables and services provided to DG TAXUD. The information in the tool is used as well to produce quantity sheets and the deliverable tracking matrix;
- The **Document Review Database**, which is based on MS Access, allowing to follow the TEMPO review cycles;
- The **TIR Database**, which is based on MS Access, allowing ITSM to provide test results and reports for PSAT and SAT to the X-DEVs – cf. [6.6](#) – "Application Management – (Service Block 6)". At the time of the writing of the call for tenders, the **Synergia** programme works towards replacing the tool with Clear Case / Clear Quest<sup>17</sup>. As a result HP, SM7 **will not** incorporate TIRs, despite the design document outlining this as design;
- **The Technical Infrastructure Plan**, based on a MS Visio document, containing the Enterprise Architecture Framework. A study is foreseen to analyse possibilities to generate the Technical Infrastructure Plan automatically from the CMDB, ARIS and/or other tools;
- **The Projects & Services document repository**; based on CIRCA, containing all contractual deliverables.

The following table categorises the tools available or under development in 2010 to support ITSM services:

ITSM Tool  vs.  ITSM Usage	SM Tool	Non-integrated Tool	External tool  (end-user only)
SMT - owITSM	√	-	-
SMT – HP SM 7	√	-	-

<sup>17</sup> Which will induce a change to the SMT Design Document, which is not yet done at the time of writing of the ITT.

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<b>ITSM Tool vs. ITSM Usage</b>	<b>SM Tool</b>	<b>Non-integrated Tool</b>	<b>External tool (end-user only)</b>
HP CMDB	√	-	-
ITSM Portal	√	-	-
Application Portfolio	-	√	-
Definitive Software Library	-	√	-
Operational Document Library	-	√	-
Availability Management Dashboard	√	-	-
Capacity Management Plan	-	√	-
ITSM LDAP including MS Access frontend <sup>18</sup>	-	√	-
Known Error Lists	-	√	-
System Management (Monitoring) Tools	-	√	-
Planning Tools	-	√	-
ARIS <sup>19</sup>	-	-	-

<sup>18</sup> A project has been launched which changes the categorisation to become an ITSM tool in 2011.

<sup>19</sup> Currently, ARIS is not yet a tool for ITSM services, no application development services are provided for it.

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ITSM Tool  vs.  ITSM Usage	SM Tool	Non-integrated Tool	External tool  (end-user only)
JIRA	-	√	-
Document Review Database	-	-	√
TIR Database	-	-	√
Technical Infrastructure Plan	-	-	√  (for information only)
CIRCA	-	-	√
Monitoring tool	-	√	-
MS-Exchange server supporting the @itsmtaxud.europa.eu mail domain	-	√	-

Table 12: Tools supporting the ITSM services

Some of the above tools interface with each other; consistency is maintained through scripts and manual data entry. Central Systems and **TES**, ITSM tools are currently mainly non-integrated. For example, the SMT currently does not have a direct bridge to any Central System application or **TES** neither to a monitoring system (e.g. no integration of events triggered by central systems into an SMT exists). Benefits in evolving towards integrated Service Management related tools have not yet been addressed in the **Synergia** programme.

Development and Test environments for ITSM Service Management related tools are available for the ITSM Portal and the new ITSM SMT. DG TAXUD and other third parties identified by DG TAXUD have user access to conformance, training

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and production environments for the ITSM Portal and to HP SM 7. For other ITSM tools and as well internal tools, DG TAXUD has either access to the PROD environment or is provided information in form of extracts.

### 6.3.1.2 VOLUMETRIC [As is ITSM]

The following volumetric data are applicable for 2010:

ID	Work Item	Volume Estimates
V.3.1	Change Requests	50
V.3.2	Calls & Service Requests	500
V.3.3	Qualifications	2
V.3.4	Deployments	2
V.3.5	Installation	1
V.3.6	Projects on functional analysis (WP 7.1)	4
V.3.7	Project on infrastructure setup (WP 8)	1
V.3.8	Implementation projects (WP 7.2)	3
V.3.9	ITSM Tools to Support	3
V.3.10	ITSM internal tools	3 – 5
V.3.11	<u>Synergia</u> Programme Management	1

Table 13: Volumetric Data ITSM - Tools supporting the Service Management – (Service Block 3)

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### 6.3.1.3 AS IS SITUATION CCN

For Service Management related tools, CCN is considered X-DEV and Application Development is performed within the CCN contractor.

The Design & Specification of Service Management related tools must be compliant with the DG TAXUD TEMPO methodology and DIGIT hosting guidelines and product list.

The IT service management tools are accessible to all CCN registered users. The CCN/TC uses Jira as service management tool. Users can submit and view service calls via the CCN/TC portal site.

For the CCN Service Management related tools, services linked to the operations lifecycle (testing, deployment, operation, ...) are provided as well.

#### 6.3.1.3.1 Service Management related tools – Prerequisites [\[As is CCN\]](#)

There has been no transition in the service management related tools during the current CCN/TC contract.

#### 6.3.1.3.2 Service Management related tools – Transition [\[As is CCN\]](#)

There has been no transition in the service management related tools during the incumbent CCN/TC contract. DG TAXUD however is currently running a project aiming to set up a common service management tool based on HP Service Manager to be used by all TAXUD contractors in the scope of their incident management processes.

#### 6.3.1.3.3 Service Management related tools – Project & Programme management [\[As is CCN\]](#)

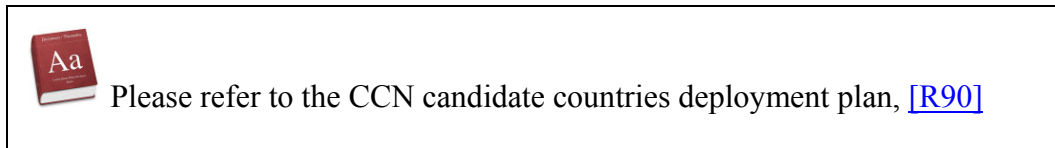
The project and programme management of the service management related tools are based on the DG TAXUD IT strategy. Inputs are taken from the regular STEERCO and/or bilateral monthly meetings, the Member States Committees (CCN Working Party meeting, the ad-hoc Member State Committee meetings).

One of the main instruments is the CCN portal, [\[R159\]](#) allowing to improve the Communication channels within the CCN user community, identify issues, define action plans and set up projects and programmes to achieve common objectives. At the same time, DG TAXUD enables external stakeholders to access up-to-date information about how CCN works, how it benefits the Member States and how it contributes to the Single Market.

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The following projects were carried out or communicated with regard to the CCN programme:

- Launching of communications survey to National Administrations;
- Provision of "indicative" activities deployment planning requiring close coordination and collaboration with the national administrations;
- Provision of consolidated service report at the end of each reporting period;
- Coordination with the Member States and communication of regular 'newsletter' (allows DG TAXUD and CCN/TC to communicate information to the CCN/CSI community), 'events' (provides on-line and dynamic access to the CCN/CSI related activities planned with the member states or requiring close coordination with member state CCN local representatives) or 'news' alert by means of the CCN/TC portal (i.e. CCN Line Upgrade, CCN Evolution Strategy Study, Deployment of new major CCN release, etc.);
- Provision of other sets of services (such as on-site missions to assess CCN deployment progress, programme achievement, setup of seminars and workshops in the MSs premises, coordinate with the MSs to request their agreement to participate as pilot sites to CCN major deployment activities) improving the various CCN/CSI related partners' relationship (DG TAXUD staff, CCN/CSI users and CCN/TC members).



#### 6.3.1.3.4 **Service Management related tools - Design [As is CCN]**

The **requirements** are those expressed by the CCN users, DG TAXUD or the third party contractors involved in CCN/CSI. The CCN/TC is responsible to collect these requirements, to analyse and to conduct technical **feasibility studies** according to the complexity of the tool to be developed.

The CCN/TC contractor is also responsible to assess the **risk and impact of the tool** on the overall system performance. Further functional and non-functional tests are planned during the next phases of the project. The initial tool design integrates the security dimension. Harmonisation, rationalisation of the development effort is also taken into account during the design phase, which is agreed with DG TAXUD.

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#### 6.3.1.3.5 Service Management related tools - Development [\[As is CCN\]](#)

Taking into account the previous design phase, the CCN/TC contractor is responsible for the **development** of the Service Management related tools. For the software tool developed by the CCN/TC contractor, the programming languages, editor, compiler and debugging tool are left under the responsibility of the CCN/TC. Windows, Unix/Linux are mostly used for the development environment used in the scope of CCN programme.

During the **development**, the CCN/TC contractor organises the planned tests with the participation of the QA contractor. The CCN/TC contractor provides the FAT test, which are reviewed and approved by DG TAXUD.

#### 6.3.1.3.6 Service Management related tools - Operations [\[As is CCN\]](#)

The CCN/TC contractor is responsible to operate and to support the Service Management related tools deployed in the scope of the CCN activities. The CCN/TC is responsible to:

- Operate, manage and maintain the CCN Service Management related tools and provide support for the services without decreasing the quality of the services;
- Improve the performance of the CCN Service Management related tools to cope with evolving functional and technical requirements;
- Provide the support to the Commission to interface with third party developed applications or Service Management related tools.


#### 6.3.1.3.7 Service Management related tools - Corrective maintenance [\[As is CCN\]](#)

The corrective maintenance of the CCN Service Management related tools is part of the continuous services delivered by the CCN/TC contractor. Corrective maintenance are triggered by the 2nd level support in the resolution process of an incident requiring changes on the Service Management related tools to repair, replace or address (security) issues on some CCN components of the CCN tool (i.e. bug fixes, deployment of patches or new software releases). The CCN/TC contractor is invited to undertake the corrective maintenance activities on regular basis by endorsing a pre-emptive testing /fixing approach in order to address any issue in an earlier stage so that to ensure a continuous quality of the CCN Service Management related tools operated internally by the CCN/TC contractor or by the CCN users.

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It is the role of the CCN/TC contractor to:

- Update the related documentations of the configuration management tool;
- Inform the CCN community of users about the changes applied to the CCN tool.




The corrective maintenance activities are described in the CCN/CSI Framework Quality Plan, [\[R2\]](#)

- CCN Qbrowser for MS windows platforms, [\[R63\]](#)
- CCN LDAP ageing reporting tool, [\[R215\]](#)

#### **6.3.1.3.8 Service Management related tools - Evolutive maintenance [\[As is CCN\]](#)**

Evolutive maintenance of the CCN tools is triggered by the normal Change management process. The changes could be linked to:

- Standard release upgrades;
- Alignment with new business or technical needs requiring small development cycle;
- Validation of new version of the tool running under a new production environment (i.e. porting the application platforms to use a higher version of internet explorer or a new web browser require to validate the ADM3G CCN web administration tool and the CCN/TC portal).



Further descriptions of the corrective maintenance activities are described in the CCN/CSI Framework Quality Plan, [\[R2\]](#)

#### **6.3.1.3.9 Service Management related tools - Training [\[As is CCN\]](#)**

The CCN/TC organises training at the CCN/TC premises for the CCN local CCN system administrators, the CSI application designers and the development contractors to support them in using the CCN Service Management related tools implemented by the CCN/TC on the CCN gateways or made available on the national application platforms. The trainings are organised so that each participant can individually manipulate and test the Service Management related tools.



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Amongst others, the following Service Management related tools are provided during the CCN trainings (Refer to more details in [6.12](#) - "Other Deliverables & Services – (Service Block 12)"):

- **Qbrowser queue management tool** allowing to browse and delete messages in CCN MQSeries queues;
- Tivoli management tool;
- Big brother monitoring tool;
- ADM 3G administration tool;
- Management, security and administration tools available on the CCN portal.

Some of those Service Management related tools interface with each other, or maintain consistency via programme scripts deployed on the CCN infrastructure.

The above training sessions are part of the yearly overall CCN training campaign which is held twice per year (a series of sessions around spring and another series of sessions around autumn). Please refer to [6.12](#) – "Other Deliverables & Services – (Service Block 12)".



Further descriptions of the tools are detailed in the current:

- CCN gateway management procedures, [\[R51\]](#)
- CCN/CSI Framework Quality Plan, [\[R2\]](#)
- CCN/CSI software installation and user guide, [\[R62\]](#)
- CCN Qbrowser for MS windows platforms, [\[R63\]](#)

#### 6.3.1.3.10 Service Management related tools - Portfolio [\[As is CCN\]](#)

At the time of writing, the portfolio of service management related tools include:

- **The Service Management Tool** based on JIRA® is used to register all service requests, incidents, etc.

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- The **Definitive Software Library**, based on a file server, containing the software releases provided to the CCN/TC contractor for deployment;
- The **system management and monitoring tools**, Open source Linux-based on Big brother to monitor the CCN gateway infrastructure, applications, and CCN queues. This tool will gradually be replaced by the ongoing rollout of the IBM® Tivoli Monitoring (Tivoli Monitoring) and IBM Tivoli Composite Application Manager (ITCAM) product family;
- The **Planning Tools** based on MS Project files, containing a monthly rolling plan on project, deployment and release activities;
- **Document Reference Center (CIRCA)**: the Commission's extranet collaboration platform. It enables a given community (e.g. committee, working group, project group etc.) geographically spread across Europe (and beyond) to maintain a private space on the Internet where they can share information, collect documents, participate in discussion forums and benefit from various other functionalities. The CCN/TC contractor is responsible to upload the relevant CCN related information on the CCN Circa Interest Group such as the planning, the technical documentation, the CCN presentations, the minutes of meetings, etc. The CCN/TC also uploads all of its deliverables onto a CIRCA hosted interest group accessible to the CCN TAXUD management team and QA contractor;
- **Requirement, Design and Development Tools:**



*These tools are outside the scope of the ITSM2 Lot1 call for tender, they are just listed here for the sake of completeness - Rational RequisitePro® for the requirement management; Visio Professional® and Office tools (specifically MS-Word®) for specification and design activities; Eclipse®, ANSI C compilers, Micro Focus® (COBOL), and Rational TestManager® for development activities;*

- **Security Tools:**

Interscan Messaging Security Suite® (Mail Relay) for inspection of inbound and outbound e-mails. IPCop® Firewall for attack protection. All desktops and laptops are protected from viruses by the CCN/TC contractor;

- **CCN Qbrowser**: used to monitor the MQSeries queues associated to CSI queues;
- The CCN **ADM3G administration tool, developed by the CCN/TC contractor** provides CCN Gateway monitoring facilities and allocates the appropriate access rights for users of CCN applications. It allows the Member States administrators to manage the CCN gateway (to start/stop functions), to

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monitor the gateway, to check the logfiles, to manage the security aspects (application/gateway key management), to perform the user management duties (allocate profiles and provide access to the various components/applications, etc.);

- **Collaborative Tools via CCN/TC portal**, developed by the CCN/TC contractor (bespoke software based on Microsoft IIS 5.0 on Windows NT 2000 Server with Oracle 8i database), provides the CCN/CSI Community via the CCN intranet (no internet access is currently provided) access to comprehensive project information, offering among others, a knowledge base, monitoring and statistics features. CCN users can access the web site through the CCN Intranet. The CCN portal offers the following features:
  - Distribution/download of project topics (FAQ, configuration baseline for systems in National Administrations, e-collaboration);
  - Service baseline, planned upgrades;
  - Business/monitoring statistics, un-availabilities of NAs;
  - Content administration (administration tool, change & update features);
  - Technical notes in the context of remote support to National Administrations;
  - Provision of reports (SLA, CCN bulletin report, etc.) among the involved parties (Commission, contractors, National Administrations and in some case 3<sup>rd</sup> parties) through web portal;
  - Software download and upload facilities;
  - Service call submission and tracking.
- An **LDAP server** (IPlanet Directory server v5.3): the web access to the CCN directory (WebLdap) is an http to LDAP gateway that allows the CCN administrator to access the directory (i.e. where applications and users are defined) to perform query and update of the information it contains;
- The **Application Configuration Tool**, developed by the CCN/TC, allowing the Member State's administrators and/or development teams to encode request to activate CCN resources for their applications (CCN queues for instance):
  - The ACT tool implements a new system that simplifies, automates and speeds-up the CCN application configuration process. The new tool allows the CCN/TC to simply and rapidly define and implement business rules applied to the application configuration process;
  - From the End Users perspective, the ACT provides a simple and user-friendly Web based graphic user interface and ensures timely, good and

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efficient communication between the submitter and the CCN/TC. The tool provides intermediate status information and historical views on configuration requests submitted by the CCN community of users (DG TAXUD, National administrations, contractors...).

- **Other tools (or scripts):**

- An automated tool for the provision of the bi-annual CCN users access report;
- An automated tool for the provision and dispatch of the statistics and audit records related to the SPEED application domain;
- Provision of statistics about the HTTPS and CSI synchronous response time for messages exchanged on the CCN backbone;
- An automated tool for the provision and dispatch of the statistics and audit records related to the EMCS, VAT refund – cf. [\[R144\]](#) and ICS application;
- Provision of an "ageing" mechanisms" tool for the LDAP entries and perform cleanup.

Refer also to [6.7](#) – "CCN Operations – (Service Block 7)" for further details.

The following table categorises the tools available or under development at the time of writing to support the CCN services:

<b>CCN Tool vs. CCN Usage</b>	<b>SM Tool</b>	<b>Non-integrated Tool</b>	<b>External tool (end-user only)</b>
Jira – SMT	√	-	-
Definitive Software Library	-	√	-
Big Brother, Tivoli – system management/monitoring	-	√	-
Planning tools – MS Project	-	√	-

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<b>CCN Tool  vs.  CCN Usage</b>	<b>SM Tool</b>	<b>Non-integrated Tool</b>	<b>External tool  (end-user only)</b>
Document Reference Centre – CIRCA	-	-	√
Security tools – Interscan Messaging Security Suite, IPCop firewall	-	√	-
CCN queue browser	-	√	-
CCN administration tool – ADM3G	-	√	-
CCN collaboration tool – CCN Portal	-	√	-
LDAP – Iplanet Server	-	√	-
Application configuration tool – ACT	-	√	-
Various tools/scripts to automate administration tasks	-	√	-

Table 14: Tools supporting the CCN services

TAXUD/R5 – INVITATION TO TENDER TAXUD/2010/AO-13	REF: ITSM2-Lot1-As is
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Further descriptions of the tools are detailed in the current:

- CCN/CSI System Overview, [\[R64\]](#)
- CCN gateway management procedures, [\[R51\]](#)
- CCN/CSI Framework Quality Plan, [\[R2\]](#)
- CCN/CSI Contract Quality Plan - Annexes to working procedures, [\[R74\]](#)
- CCN Qbrowser for MS windows platforms - User guide, [\[R63\]](#)
- Secure Web Architecture - CCN/TC web portal Validation Report, [\[R75\]](#)
- CCN/TC Web Portal - Acceptance Test Specifications, [\[R103\]](#)
- CCN/TC Security Procedures CCN-CSEC-TCPRO, [\[R76\]](#)
- CCN/CSI System Overview, [\[R64\]](#)
- CCN ADM3G user manual, [\[R187\]](#)
- CCN GAS manual, [\[R186\]](#)
- CCN Tivoli user manual, [\[R183\]](#)
- CCN Application Configuration Tool manual, [\[R180\]](#)

#### 6.3.1.4 VOLUMETRIC [AS IS CCN]

The following volumetric data are applicable for 2010:

ID	Work Item	Volume Estimates
V.3.12	Application configuration request	50 per month
V.3.13	CCN/TC portal request	100 calls per month

Table 15: Volumetric Data CCN - Tools supporting the Service Management – (Service Block 3)

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Section:Service Desk – (Service Block 4)	

## 6.4 Service Desk – (Service Block 4)

### 6.4.1 Definition

This Service Group covers the following:

- Service Desk function
- Incident Management
- Other services provided by the Service Desk
- Web Mastering
- User Management

#### 6.4.1.1 AS IS SITUATION ITSM

The Service Desk is the Single Point of Contact (SPOC) for registered users (of National Administrations, Commission, 3<sup>rd</sup> parties) to report incidents, request for information, and standard request for services for all IT systems and applications in scope of the FC<sup>20</sup>. The Service Desk is the point of contact for complex Requests for Services<sup>21</sup> and Requests for Changes.

The Service Desk and the related processes and procedures are based on ITIL. Calls are handled according to internal working procedures. The Service Desk is organised according to Business Threads and call categories. Communication channels are telephone, e-mail, fax, and user self-service. In practice, nearly all communication is in English only, and mostly the e-mail channel is used. The Service Desk supports communication in EN, FR and DE and is available from Monday to Friday, from **7:00** to **20:00** (Brussels time), **5** days/week (Monday to Friday, except 25.12 & 01.01). This means that those languages are understood and spoken by at least one person from the Service Desk team during hours of coverage.


Through the **Synergia** project, the services provided by Service Desk will become more automated. For more information, please refer to [6.3](#) – "Tools supporting the Service Management – (Service Block 3)" and the New SMT: Design Document, [\[R83\]](#).

<sup>20</sup> Requests from End-users in National states are filtered by National Service Desks first.

<sup>21</sup> Complex requests for Services (Training, Testing, etc...) are ordered through the BTMs.

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The Service Desk function is further described in the FQP, its related annex and the Service Catalogue.



Please refer to:

ITSM Framework Quality Plan, [\[R1\]](#) + Annex 11 Service Desk  
ITSM Framework Quality Plan, [\[R1\]](#) + Annex 12 – 16 SS processes  
ITSM Service Catalogue, [\[R3\]](#)

ITSM-Internal Procedure Incident Management Working Procedures, [\[R23\]](#)  
Disaster Recovery Plan, [\[R80\]](#)

#### 6.4.1.1.1 Service Desk function [As is ITSM]

The main **functions** of the ITSM Service Desk are to:

- Provide a Single Point of Contact to the users;
- Provide a Single Point of Contact for all support teams (internal and external).

The operational tasks of the SD team related to the 1st level are:

- Registration and classification of calls in the ITSM SMT;
- Dispatching, updating, and closing of all calls (internal and external);
- Monitoring resolution progress and reminding all support teams as for actions assigned to them. Reminder frequency depends on the call priority;
- Monitoring all supported channels, communication (including delivery failure) and perform internal dispatching within the Service Desk;
- Manual creation of all emails sent to any support team, as the existing IT Service Management Tool (owITSM) does not support automatic sending of emails.

Further main tasks are:


- Provision of information to the ITSM Infrastructure team to ensure that the necessary working environment for the ITSM Service Desk is in place and works according to needs;



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- Maintenance of distribution lists and contact information in MS Exchange used for communication to end-users and support teams;
- Keeping an audit trail of all end-user requests by storing the respective emails in the SMT;
- Quality control of calls, including corrective action. This includes implementation of findings received by the Quality contractor.

The ITSM Service Desk may rely on, or interface with external processes or functions if needed for carrying out its functions. Part of the Service Desk activities may therefore comprise tasks entrusted to the Service Desk by Problem Management, Change Management, etc, as well as by other Help-Desks.



Please refer to:

ITSM Framework Quality Plan, [\[R1\]](#) + Annex 11 Service Desk (a Annex 12 → 16 for the related SS processes)

ITSM Service Catalogue, [\[R3\]](#)

ITSM-Internal Procedure Incident Management Working Procedures, [\[R23\]](#)

#### 6.4.1.1.2 **Incident Management** [\[As is ITSM\]](#)

The main functions of the ITSM Service Desk are to facilitate the restoration of normal operational service with minimal business impact on Customer within agreed Service Levels and business priorities.

The Service Desk manager is owner of the Incident Management process (including escalation procedure).

#### **Call Incident Priorities**

Incidents are classified according to their priority levels. These are taken from each thread according to the respective [SLA](#). The priority of an incident is an integer between **one** and **4**:

- **Critical;**
- **High;**
- **Medium;**
- **Low.**

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The priority is calculated from two other parameters: the impact and the urgency.

The priority is calculated from two other parameters: the impact and the urgency. In [Table 16](#), [Table 17](#) & [Table 18](#), the reader can find the definitions associated to those two parameters.

[Table 18](#) represents the level of priority and associated maximum resolution time.

**Impact definition table**

Impact	Definition
Low	Independent users reporting incidents or requesting services from the <a href="#">SD</a> .
Medium	One <a href="#">NA</a> experiencing problems with the managed configuration items without affecting other NAs.
High	More than one NA reporting problems on the managed configuration items or one NA that can affect others as well.

Table 16: Impact Definition table

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**Urgency definition table**

Urgency	Definition
Low	<ul style="list-style-type: none"> <li>• Inquiries on technical, applicative or business aspects of the managed configuration items and associated documentation;</li> <li>• Minor functions of the managed configuration items does not work as specified but this does not prevent the end users or the NAs of using them;</li> <li>• Non Blocking issues on the Configuration Items;</li> <li>• Issues with SAT / PSAT;</li> <li>• Messages rejected between countries;</li> <li>• Handling of Dead Letter Queues.</li> </ul>
Medium	<ul style="list-style-type: none"> <li>• One application or one server down;</li> <li>• Major functions of the managed configuration items do not work as specified;</li> <li>• Capacity issues;</li> <li>• Requests for Web updates;</li> <li>• User Right Management Requests;</li> <li>• Conference calls;</li> <li>• Hot fix issues in SAT / PSAT;</li> <li>• Incidents occurring within CT campaigns.</li> </ul>
High	<ul style="list-style-type: none"> <li>• Blocking incidents of the Configuration Items;</li> <li>• DDS – cf. <a href="#">[R133]</a> and other DG TAXUD presence on public website down;</li> <li>• Entire domain down;</li> <li>• Transmission of corrupted data;</li> <li>• Confidential information could be divulged and affect the interest of EU or its civil servants;</li> <li>• Incidents that can result to financial suffer prejudice of DG TAXUD or other parties;</li> <li>• Notifications of unscheduled unavailability.</li> </ul>

Table 17: Urgency Definition table

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**Priority/Resolution times calculation table from urgency and impact:**

Impact ► Urgency ▼	Low		Medium		High	
	Priority	Resolution Time	Priority	Resolution Time	Priority	Resolution Time
Low	4	65h	3	39h	2	13h
Medium	3	39h	2	13h	1	5h
High	2	13h	1	5h	1	5h

Table 18: Priority/Resolution times calculation table

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The complete Incident Process described currently in the:

- ITSM Framework Quality Plan, [\[R1\]](#)
- ITSM Service Catalogue, [\[R3\]](#)
- Incident Management Policy, [\[R10\]](#)
- ITSM-Internal Procedure Incident Management Working Procedures, [\[R23\]](#)
- ITSM-Internal Procedure – Security Incident Handling Procedure (ITS-IPRC-172-SIHP), [\[R182\]](#)
- ITSM Internal Procedure – Escalation Procedure (ITS-IPRC-003-Escalation\_procedure), [\[R182\]](#)
- Annex C of External Process linked to escalation, [\[R17\]](#)
- ITSM Service Desk categories, [\[R184\]](#)
- ITSM Internal Procedure – Incident Management, [\[R23\]](#)

#### 6.4.1.1.3 Other services provided by the Service Desk [\[As is ITSM\]](#)

Complex Requests for Services are handled under the Demand management procedure. Please refer to [6.1](#) – "Project Management – (Service Block 1)" – Demand management. The ITSM Service Desk assigns those requests the responsible BTM.

Any service requests for external parties are handled under the incident management procedure.

The following standard services are performed directly by the ITSM Service Desk:

##### **Conference Calls:**

The Service Desk sets up conference calls.

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**Consolidation of feedback:**

Some requests for services (e.g. surveys, inventory information, and availability information) are addressed to several teams, like National Administrations, DG TAXUD and contractors. The Service Desk distributes those requests for information and consolidates the feedback for the issuer of the request for information.

**Notification of user groups about events:**

The Service Desk sends notifications to user groups about events (unavailability, planned maintenance, etc.) via emails based on the distribution lists of the MS Exchange tool. The process is triggered mainly by DG TAXUD, asking the service desk to send out a notification. The Service desk uses the templates, [\[R198\]](#) agrees to prepare a draft email and sends the email to the destinations after approval of DG TAXUD.

**Event monitoring:**

Some Central Systems, as CS/MIS and CS/MISE send automated emails to the ITSM Service Desk with events (unavailability) information of NA applications, etc.) The ITSM Service Desk monitors those emails and ensures the right procedure is triggered in order to handle the event.

**Provision of information:**

On request, the ITSM Service Desk provides statistics on calls and prepares lists of calls according to criteria outlined by the issuer. Most of the statistics and lists are however automated and can be generated by authorised users on the ITSM Portal.

With the Synergia project, some of the support teams will shift to reporting in HP SM7.

**Security incidents:**

The ITSM Service Desk flags incident as security relevant according to criteria defined by the ITSM Security Management and the LISO.

With the Synergia project, flagging might be replaced by categorisation of incidents.

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#### 6.4.1.1.4 Web Mastering [\[As is ITSM\]](#)

The ITSM contractor:

- Coordinates the collection of artefacts subject to publishing. The Service Desk receives requests for publication mainly from the following organisations:
  - DG TAXUD;
  - Developer teams;
  - ITSM.
- Processes the layout, if necessary, prior to upload for dissemination;
- Uploads artefacts onto the ITSM portal for access by authorised users.

The SD uploads the following deliverables:

- Documentation;
- Configuration matrices of NAs;
- Updates of web pages;
- Planning and notifications, etc...

Details about the web updates can be found in the FQP, The Service Catalogue and the related IWP.



The complete Incident Process described currently in the ITSM Framework Quality Plan, [\[R1\]](#) + Annex 11 Service Desk (Annex 12 → 16 for the related SS processes)

Please also refer to the:

- ITSM Service Catalogue, [\[R3\]](#)
- ITSM Internal Procedure Incident Management Working Procedures, [\[R23\]](#)
- ITSM Mass Mail templates, [\[R198\]](#)

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#### 6.4.1.1.5 User Management [\[As is ITSM\]](#)

Any user who addresses requests to the SD must be registered. Upon the reception of a request from an unregistered user from a national administration, the SD advises the user to follow the registration procedure. This includes a confirmation from the responsible NA and authorisation of DG TAXUD and/or the DG TAXUD LISO.

Accesses are created for:

- The various environments (including the applications and databases) located in the Data Centre, at Contractor premises or in the DG DIGIT premises (Production, SAT, preSAT and Conformance environment);
- Distributed applications e.g. the ones related to NCTS – (cf. [\[R113\]](#)) / ECS - (cf. [\[R114\]](#)) / ICS;
- Managed applications;
- Other resources managed by DG TAXUD Unit/Sectors.

Account modification includes any change to the privileges associated with an account. It also includes changes of password in situations where this requires assistance from Support teams (e.g., reset of passwords for nominative accounts when the user is locked out.)

The operational tasks of the SD team related to user management are:

- Creating, changing or deleting the user accounts within their scope in accordance with the procedures described in this document;
- Providing the issuer with a Privacy Policy. This only applies to individual issuers. Bulk registration requested by DG TAXUD already provides the privacy policy to the end user;
- Periodically initiate a review of active accounts (twice a year) by distributing the account list to be reviewed to the System Owner / Responsible Manager;
- Creating and maintaining the non-nominative account list if applicable;
- Password change of non-nominative accounts follow one of two procedures, depending on whether the change requires production system downtime;
- Maintaining an audit trail of account changes (including the request creation and deletion notifications).



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Please refer to the:

- ITSM Service Catalogue, [\[R3\]](#)
- ITSM-IP173 - User Access Management & ITSM-IP191-ITSM\_User\_Creation, [\[R21\]](#)
- ITSM-Internal Procedure Incident Management Working Procedures, [\[R23\]](#)

### Proxy service

Only the Service Desk has "update" rights in the Service Management Tool in order to address the current SMT (owITSM) product's limitations. All other teams and stakeholders (internal and external) have read access and communicate per email with the Service Desk (except DIGIT support teams).

Therefore, in the resolution of incidents and problems, the ITSM Service Desk updates the call on behalf of those teams. This is typically the case for third level support (e.g. developer contractor, vendor, NA team) to resolve a call. The SD agent modifies the status of the task assigned to the external party according to the evolution reported in the e-mails exchanged.

With Go-live Phase I of Synergia, it is planned that ITSM support teams and X-DEV will have direct involvement in the workflows concerning them, and are automatically informed about the status. For those support teams the provision of the Proxy Service would be reduced in scope or even stopped.

All other teams and stakeholders (internal and external) have read access and communicate per email with the Service Desk (except DIGIT support teams). DG TAXUD might decide to authorise those actors to have direct involvement in a future phase of Synergia.

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### **DIGIT service**

The authorised support channel from and towards DIGIT is the Central DIGIT helpdesk, which communicates through the DIGIT SMT (based on HP SM 7). In order to address a request to DIGIT, a ticket needs to be created in the DIGIT SMT and assigned to the Central DIGIT helpdesk. The Central DIGIT helpdesk dispatches DIGIT internally and provides feedback from the support teams through the SMT. Calls logged by DIGIT for ITSM are logged within the DIGIT SMT.

ITSM Service Desk acts as proxy between ITSM and DIGIT support teams. For this, an assignment group for ITSM has been created in the DIGIT SMT and ITSM Service Desk acts as manual bridge (including manual and regular monitoring of the DIGIT SMT ITSM support queues) on behalf of the ITSM support teams.

#### **6.4.1.2 VOLUMETRIC [As is ITSM]**

The following volumetric data are applicable for 2010:

<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
V.4.1	# Service Desk registered user	3305
V.4.2	# Calls received by Service Desk	17978
V.4.3	# Virtual Conference calls	1174
V.4.4	# Posted Documents	2055
V.4.5	# SD agents	15
V.4.6	# SD manager	1
V.4.7	# DIGIT Calls	500

Table 19: Volumetric Data ITSM - Service Desk – (Service Block 4)

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<b>Number of ITSM calls handled by the Service Desk during 2008 to 2010</b>													
<b>Calls registered</b>	<b>Jan.</b>	<b>Feb.</b>	<b>Mar.</b>	<b>Apr.</b>	<b>May</b>	<b>Jun.</b>	<b>Jul.</b>	<b>Aug.</b>	<b>Sep.</b>	<b>Oct.</b>	<b>Nov.</b>	<b>Dec.</b>	<b>SUM</b>
<b>2008</b>	683	703	613	832	768	855	1037	971	1322	1457	1470	1650	12361
<b>2009</b>	1729	1641	1819	1854	1953	1994	1874	1117	1640	1590	1530	1338	20079
<b>2010</b>	1425	1425	1841	1623	1500	1645	1462	1164	1522	1438	1426	1507	17978

Table 20: Number of ITSM calls handled by the Service Desk during 2008 to 2010

<b>Distribution of calls per category handled by the Service Desk during 2008 to 2010</b>	
<b>Split Calls per category</b>	<b>Average % of total of calls</b>
<b>Incident</b>	50.00%
<b>RFI</b>	25.00%
<b>RFS</b>	12.00%
<b>User Mgt</b>	2.95%
<b>Complaint</b>	0.05%
<b>Problem</b>	5.00%
<b>Change</b>	5.00%

Table 21: Distribution of calls per category handled by the Service Desk during 2008 to 2010

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### 6.4.1.3 AS IS SITUATION CCN

The Service Desk service answers phone calls and electronic mails between **08:00 and 20:00 Brussels time 7 days/week**. The Service Desk communicates through letters, phone, and electronic messages (including the CCN/TC portal).

The Service Desk supports **English, French and German** languages. This means that those languages are understood and spoken by at least one person from the Service Desk team during hours of coverage. The Service Desk announces scheduled and unscheduled service unavailability and anticipated downtime to users. It is in charge of managing the communication within the registered users in all circumstances.

The main objective of the CCN/TC Service Desk is to ensure the continuity of the running services of the CCN/CSI operational domain in compliance with the service levels defined in the [SLA](#) and the procedures described in the FQP and CQP.

The CCN/TC Service Desk shares a dedicated secure room for hosting the staff where an adequate office environment, including phone, fax, emails, internet, printing, web servers and conferencing facilities are made available to the entire team. The CCN/TC contractor ensures that the security rights management are enforced so that only authorised users can access the secure zone hosting the above-mentioned facilities and people.

The CCN/TC Service Desk relies on or interfaces with functions needed for carrying out its functions and vice versa. Part of the Service Desk activities may therefore comprise tasks entrusted to the Service Desk by Change Management, Crisis Management, as well as by other Help-Desks.

#### 6.4.1.3.1 Service Desk function [As is CCN]

As indicated in [6.3](#) – "Tools supporting the Service Management – (Service Block 3)", the CCN/TC contractor has implemented a series of service management related tools. The most pertinent to the service desk duties are the service management tool (JIRA) and the CCN/TC portal.

Please refer to [6.3](#) – "Tools supporting the Service Management – (Service Block 3)" for a complete list of these tools.

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Unlike the local helpdesk provided by the national administration in each CCN site, the CCN/TC Service Desk has several functions:

- Single Point of Contact for all users addressing the CCN/TC;
  - Recording and classifying all service calls. Each service call is tracked in the SMT with a unique Id number;
  - Tracking the progress of a service call and keeping the user(s) informed;
  - Formally closing the service calls.
- Coordination when required with the ITSM contractor, the CCN-WAN contractor, development contractor and other third parties;
- Escalation of incidents to the CCN/TC service manager according to the incident severity level;
- To report timely and efficiently on any incident triggered by the CCN users.

The CCN/TC Service Desk provides technical support for the following coordination activities:

- The deployment of CCN infrastructure in the national administrations, set up and configure computers for new sites or repairing software or hardware issues;
- Ongoing operation of the IT Infrastructure (related to CCN infrastructure such as servers, switches, backup systems and firewalls);
- The management of the network services such as email, file servers, and security;
- The IT Infrastructure at the CCN/TC.

Communication channels to the CCN/TC Service Desk are:

- “Web” if the request has been submitted from the CCNTC Portal;
- “Email” if it concerns an email sent to [ccntc@ccncsi.net](mailto:ccntc@ccncsi.net);
- “Meeting” if the action has been raised in a meeting (with minutes or not);
- “Phone”;
- "Fax".

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For each Service call type, there is a list of subtypes defining the kind of service to be delivered to the caller:

<b>Service call type</b>	<b>Service call Subtype</b>
<b>Change</b>	CHGE - Deployment Request
	CHGE - RfE/RfA
<b>Complaint</b>	CMPLT - Customer Complaint
<b>Deviation</b>	DEVIAT - Deviation
<b>Incident</b>	INC - Hardware Failure
	INC - Local Failure
	INC - Network Failure
	INC - Security Service call
	INC - Software Failure
	INC – Spam Detection
	INC - Test Failure
	INC - Unavailability of service desk
	INC - Virus Detection
	INC – Web Server unavailability
<b>Notification</b>	COMM - Urgent App / Nat Event Notification
	COMM - Urgent CCN Notification
	COMM - App / Nat Event Notification
	COMM - CCN Notification

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Service call type	Service call Subtype
Query	ADM - Appl. Configuration Management
	ADM - Contact List Management
	ADM - User management
	INFO - Advice Request
	INFO - Appl. Unavailability Management
	INFO - CCN Configuration Management
	INFO - CCN Software Management
	INFO – Documentation Delivery
	INFO - General Information Request
	INFO - Hardware Delivery
	INFO - Inventory Management
	INFO - Mission Request
	INFO - RAP Management
	INFO - Software Delivery
	INFO - Stats/Audits Info. Request
	MON - Application/Queue Alert
	MON - Backup Alert
	MON - Hardware Device Alert
	Staff Change
STAFF - Replacement of unsatisfactory staff	
Training	TRG - Training Request

Table 22: CCN Service call types



This is described in the current:

- CCN/CSI Annex to Contract Quality Plan: Working Procedure for Central Service desk, [\[R74\]](#)
- CCN/CSI Framework Quality Plan (FQP), [\[R2\]](#)

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#### 6.4.1.3.2 **Incident Management** [\[As is CCN\]](#)

The CCN/TC contractor manages calls related to all the CIs in the scope of the contract, resolves incidents falling under his/her direct responsibility or escalates to, and coordinates resolution with external parties (NAs, Other contractors, Commission...).

The CCN/TC Service Desk is managing the **first level support** with the objective to restore the service, according to the agreed levels, as quickly as possible. It is prepared to answer the most commonly asked questions, or provide resolutions that often belong in an FAQ or knowledge base. The CCN/TC Service Desk is able to perform an initial assessment to help users.

If the incident cannot be resolved at the first level, the call is routed to the second level, to technical support staff appropriate for the incident.

The **second level** deals with issues related to software specific needs, such as updates and bug fixes that affect the client directly.

#### 6.4.1.3.3 **Other services provided by the Service Desk** [\[As is CCN\]](#)

##### **Conference Calls:**

The Service Desk sets up conference calls.

##### **Consolidation of feedback:**

Some requests for services are addressed to several teams, like National Administrations, DG TAXUD and contractors. The Service Desk distributes those requests for information and consolidates the feedback for the issuer of the request for information.

##### **Notification of user groups about events:**

The Service Desk announces scheduled and unscheduled service unavailability and anticipated downtime to users.



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The following figure illustrates the process flow used at the CCN/TC (Service desk tasks are reported in rectangles):

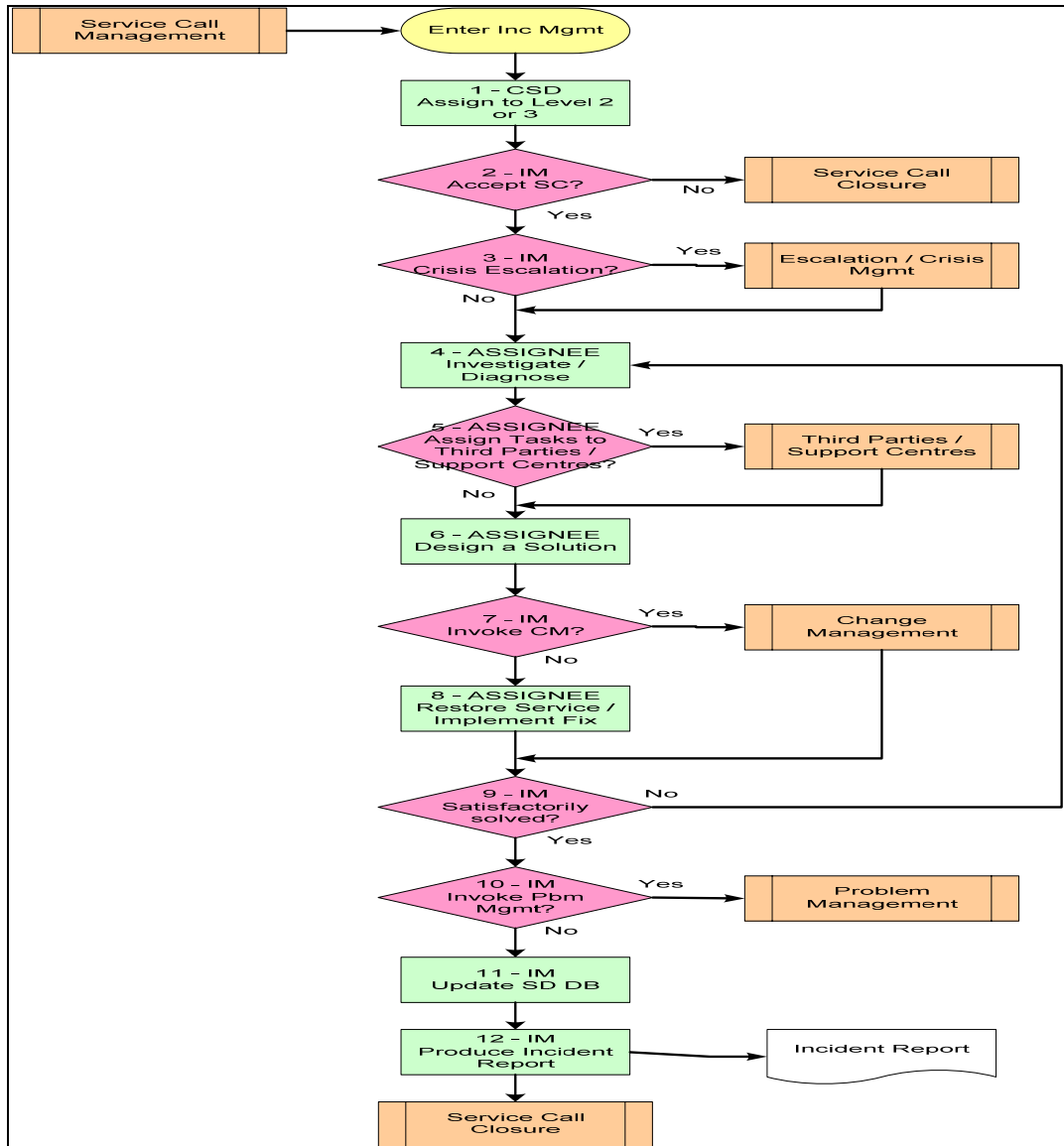


Figure 11: CCN/TC Service Desk process flow

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<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Service Desk – (Service Block 4)</b>	

**Incident Priorities**

Incidents are classified according to their priority levels. These are taken from each thread according to the respective SLA. The priority of an incident is an integer between four and one (Major, Medium, Minor, Low).

The elapsed time (between the moment the incident is posted and the moment the incident is solved, including the waiting time) must be within the following limits:

<b>Priority Level</b>	<b>Definition</b>	<b>Maximum Elapsed Time</b>
<b>4</b>	<b>Major incident</b>	<b>2 hours</b>
<b>3</b>	<b>Medium incident</b>	<b>6 hours</b>
<b>2</b>	<b>Minor incident</b>	<b>8 hours</b>
<b>1</b>	<b>Advise/action</b>	<b>8 hours</b>

Table 23: CCN Incident Priorities

**Reporting**

The contractor maintains status and progress on service calls in the Service management tool and reports on all these services in the MPR/MSR.

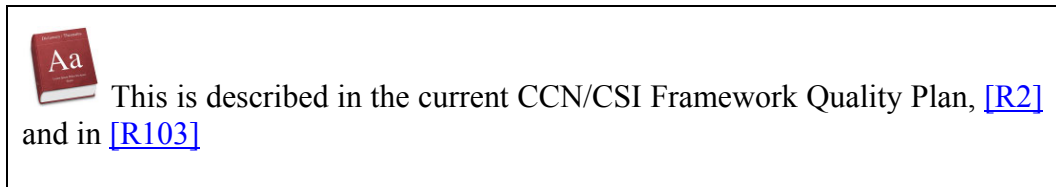
**6.4.1.3.4 Web Mastering [As is CCN]**

The CCN/TC Web Server administration activity comprises the following three main tasks:

- Website mastering, which mainly focuses on the content management and dissemination to the CCN/CSI Community (e.g. publication of new releases for download, configuration forms for the [NA](#), publication of statistics, documentation). Coordination activities are needed between the CCN/TC contractor and DG TAXUD to validate the information to be published on the Web server;

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- Website operation, which mainly focuses on the performance of the system administration (e.g. daily backups, system upgrades and patches appliance, security fixes appliance), the management of users (e.g. credentials allocation) and access rights, as well as to process the layout prior to upload a new information;
- Website monitoring, including the production of monthly website availability statistics, reports and analysis, included in the Monthly Progress Report as well as the maintenance of the CCN Web site content to continuously improve the quality of the information made available to the targeted users applied to the CCN/TC and Tivoli Enterprise monitoring portals. (Refer also to section above).



#### 6.4.1.3.5 User Management [\[As is CCN\]](#)

User Right Management is an authentication and authorisation feature that provides administrators with the ability to confirm the identity of registered users and control their access to particular services or resources.

A distinction must be made between CNN users and CCN/TC registered contacts:

- A **CCN user** is a broad term describing a person or application having access to the CCN/CSI infrastructure services and managed locally with the National CCN Administrator;
- **CCN/TC Registered Contacts** are people registered by the CCN/TC as official contact points authorised to access the CCN/TC services. Only CCN/TC Registered Contacts users can address the CCN/TC Service Desk.

#### Main functions of the CCN/TC Service Desk are:

- Grant the CCN users to access the CCN centrally hosted resources (CCN portal...), which makes them CCN/TC registered contacts. Ensures that the list of the CCN users entitled to contact the CCN helpdesk services is regularly updated;
- User profile creation / modification / suppression.

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Each user rights change requires approval by the DG TAXUD LISO.

The CCN users can be:

- The Application Development Teams, both in the National Administrations and in European Institutions, in charge of the development of applications using the CCN/CSI infrastructure;
- The national support, in charge of the support and management of the nationally localised CCN/CSI components and of the national infrastructure supporting the applications running over the CCN/CSI infrastructure;
- The Application Support Centres, in charge of the central support and management of one or several European Commission applications running over the CCN/CSI infrastructure;
- The European Commission, as owner of the system, and DG TAXUD, as its operational representative;
- The other entities involved in the project and entitled by DG TAXUD to contact the CCN Technical Centre (QA contractor, Other Directorates General from the Commission, namely DG AGRI, OLAF, DIGIT/DC).

The LISO must be informed of each notification of change or new request. The LISO has to validate the request submitted by the user according the security rules.

The LISO is responsible for reviewing and understanding the consequences for security prior to grant the requested access profile. The LISO must be satisfied that the privileges requested of an account are not more than necessary for the declared business intent and that non-nominative accounts are not granted where a nominative account would suffice. LISO is entitled to veto an account request that does not satisfy these criteria.

For the biannual user review campaign requested by DG TAXUD, the contractor is requested to control user login counts and login times for each registered CCN users.

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This is described in the current:

- CCN/CSI Framework Quality Plan, [\[R2\]](#)
- CCN gateway management procedures, [\[R51\]](#)
- CCN/CSI Framework Quality Plan, [\[R2\]](#)
- "CCN - Service Level Agreement", [\[R40\]](#)
- "CCN - OLA between DG TAXUD and National Administrations", [\[R41\]](#)
- "CCN - OLA between DG TAXUD and OLAF", [\[R42\]](#)

#### 6.4.1.4 VOLUMETRIC [\[AS IS CCN\]](#)

The following volumetric data are applicable for 2010:

ID	Work Item	Volume Estimates
V.4.8	Number of registered incident/year	6.000
V.4.9	Number of CCN users <sup>22</sup>	20.000
V.4.10	Number of CCN registered contacts <sup>23</sup>	720

Table 24: Volumetric Data CCN - Service Desk – (Service Block 4)

<sup>22</sup> CCN users (with status active) are the CCN users defined in the LDAP. They are the users exchanging messages through the CCN gateways.

<sup>23</sup> CCN registered contacts (with status active) are the CCN contacts registered at the CCN/TC (in the CCN/TC Database of registered users linked to CCN portal and JIRA service management tool).

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**CCN incidents statistics during 2010:**

<b>Incident type</b>	<b>Distribution</b>
Hardware Failure	8.74%
Local Failure	18.03%
Network Failure	18.58%
Security Issue	0.55%
Software Failure	53.01%
Web Server unavailability	1.09%

Table 25: CCN incidents statistics during 2010

CCN Incidents are related to the monitoring of the following applications (during 2010):

<b>Application Domains</b>	<b>Number of Calls</b>	<b>% of Calls</b>
AEO	2	0.25%
AFIS	4	0.50%
ART	5	0.63%
CCN	39	4.92%
CCNTC	3	0.38%
DDS	2	0.25%
DDS2	2	0.25%
EBTI	2	0.25%
ECS	57	7.19%
EMCS	41	5.17%
EO	8	1.01%
GENERAL	315	39.72%
ICS	42	5.30%
IPR	1	0.13%
LCMS	16	2.02%
MUTASSIST	1	0.13%
MVSELO	1	0.13%
NCTS	46	5.80%

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Application Domains	Number of Calls	% of Calls
QMT	1	0.13%
QUOTA	1	0.13%
RIF	1	0.13%
SCI	1	0.13%
SEED	12	1.51%
SPEED	41	5.17%
STATST	1	0.13%
SURV	2	0.25%
TARIC	3	0.38%
TARIC3	1	0.13%
TIVOLI	3	0.38%
TQM	6	0.76%
VIES	113	14.25%
VIESCLO	1	0.13%
VREFUND	17	2.14%
WEBTC	2	0.25%
<b>Total</b>	<b>793</b>	<b>100%</b>

Table 26: CCN incident distribution during 2010

The following figure depicts the evolution of the Service Calls over a 12 months period:

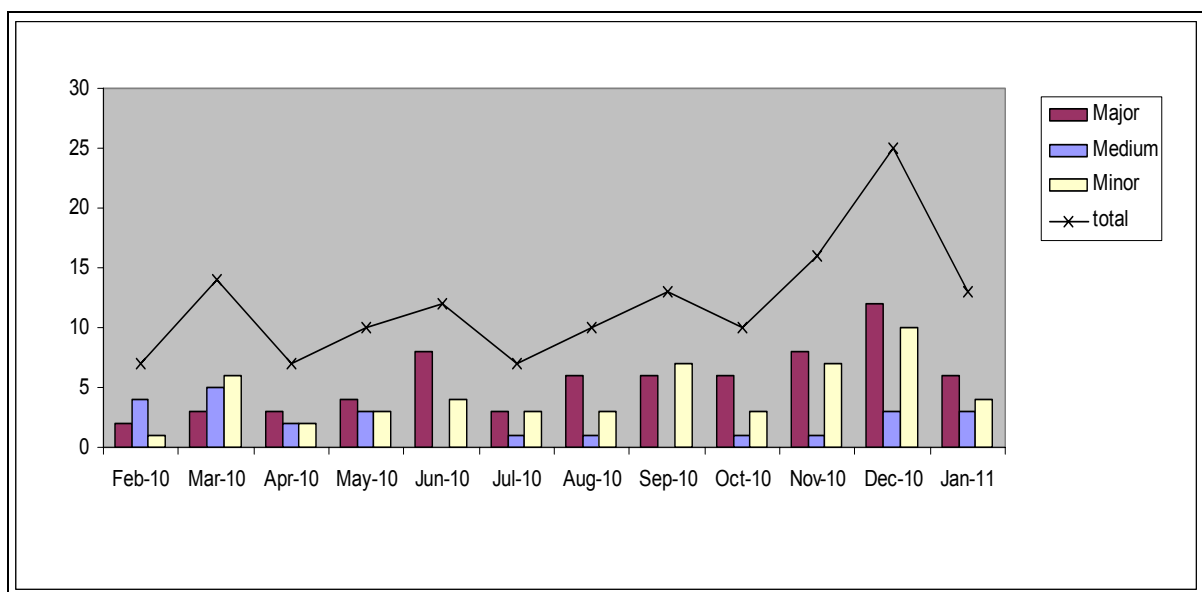


Figure 12: CCN Calls evolution.

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## 6.5 ICT Infrastructure Management – (Service Block 5)

### 6.5.1 Definition

This Service Block covers the following services:

- Provision of the ITSM Data Centre & Continuity (Fail-over) Site.
- Design, planning, deployment, operations, technical support & retirement of HW, OS, and COTS.
- Network Services.
- [HW](#) & [OS](#) & [COTS](#) Services.
- Backup & Restore.
- Job Management Service.
- Availability & Capacity & Continuity Management.
- Production & Maintenance of ICT Infrastructure Management Related Plans i.e. ICT Infrastructure Plan, Availability Plan, Capacity Plan, Continuity Plan.
- Feasibility Studies linked to Infrastructure.

The ICT Infrastructure Management function means setting up and providing administration on the ICT Infrastructure that hosts the IT Services.

ICT Infrastructure Management implements best practices for requirements analysis, planning, design, deployment and ongoing operations management and technical support of the ICT Infrastructure. The Infrastructure Management processes describe all sub-processes that directly relate to the ICT equipment and COTS software that are involved in providing ICT services.

ICT Infrastructure Management provides day-to-day administrative services in the entire production-computing environment, including the physical environment for the hosted part, the computer and network equipment and all COTS. This includes managing and providing operational support for all the installed components. ICT Infrastructure Management closely cooperates with other service management functions by providing basic monitoring services. For instance, ICT Infrastructure Management provides first level performance and capacity monitoring for the service monitoring and control function.



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For ITSM, ICT Infrastructure Management is provided through seven (7) sub-processes but, for the infrastructure hosted at DG DIGIT DC, not all sub-processes are responsibility of the contractor.

At time of writing, the infrastructure on which Information Systems (IS) of DG TAXUD are running is provided by three different entities: DG DIGIT's Data Centre (DC) located in Luxemburg, the ITSM contractor and the CCN/TC contractor, those 2 last being located in Belgium. A study has been conducted to evaluate different options to consolidate and regroup the data centres including the option of full redundancy. Please refer to [\[R86\]](#) for further information regarding this study.

To ease reading comprehension, a global overview of the existing infrastructure is first presented. Then, the « as is » situation is further detailed for the three providers, e.g. DG DIGIT, ITSM and CCN/TC.

DG DIGIT is operating its data centre activities from Luxemburg, where it hosts several computer rooms distributed over multiple locations for contingency. It interconnects all buildings of the Commission via its private network (Snet) and provides controlled and secured access to external networks via its Telecom centres (one in Belgium, the other in Luxemburg).

The ITSM contractor is hosting part of DG TAXUD central systems in one data centre near Brussels. It is also using a Telecom centre to interconnect the Internet access used by the different teams located in several countries of the Union (Service Desk in Athens, Greece, Application Management in Luxemburg, Infrastructure Management in Huizingen, Belgium, Business Monitoring and Project Management in Brussels, Belgium).

The CCN/TC contractor hosts part of the SPEED infrastructure as well as central CCN services. The data centre is located in Haasrode, Belgium, while the staff and Service Desk are in Zaventem, Belgium.

All data centres have an interconnection with the CCN/CSI private network and the three providers host CCN gateways managed by the CCN/TC contractor.

[Figure 13](#) represents the global picture of the distribution and locations of the infrastructure.

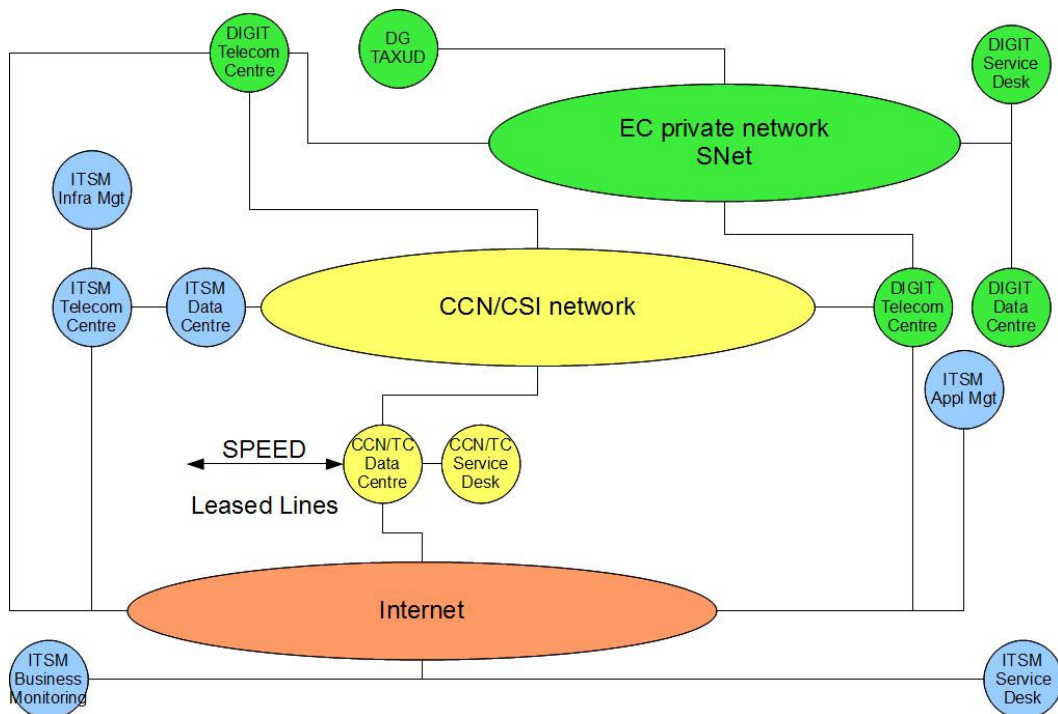


Figure 13: Distribution and locations of the current ICT infrastructure

The responsibility of ICT Infrastructure Management is to design, implement, administer, and operate the Data Centre(s), the Networking, Server & Storage services, the Operating environments and the Service Management related tools up to the level that the IT Services can be delivered by the other Service Blocks.

**REMARK:** the ICT infrastructure management of DG TAXUD's hosted information systems at DIGIT DC is covered by the current ICT Infrastructure Management service. Hereafter, a small description of the setup of ICT infrastructure dedicated to DG TAXUD hosted by DIGIT DC is provided:

DG DIGIT has signed a "Memorandum of Understanding" with DG TAXUD for the provisioning of hosting services at DIGIT DC. The services rendered include the hosting of the infrastructure – including full redundancy and fail-over site, the network connectivity, the storage, the backup and restore and the related operational services (Service Desk, Monitoring, etc...).

From an infrastructure management point of view, the systems are installed at the DIGIT DC either in a dedicated secured network segment (DMZ TAXUD), or in the shared back-office environment of the data centre. The shared back-office provides services to several Directorate Generals of the European Commission, amongst others. Both are described in more detail below.

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## DMZ TAXUD

The DMZ TAXUD is hosting all the application servers running DG TAXUD central applications. Please note that not all the central applications, however, are run at the DMZ TAXUD.

The dedicated secured network hosts 4 Sun servers configured in a pair of dual machine clusters, providing four different environments: the production (PROD), the acceptance or conformance (CONF), the Site Acceptance Testing (SAT) and a pre-Site Acceptance Testing (pSAT) environment. Two Sun servers belonging to the same cluster are always located in two different locations, both in Luxemburg.

**REMARK:** It might be that a fifth environment (one Solaris zone) will be created to host the training instances of DG TAXUD's applications.

The first cluster of two Sun V890 servers is allocated to the PROD and CONF environments. Those environments are actually seven Solaris zones distributed over the two machines in normal conditions: three production and one conformance zones on the first machine, two production and one conformance on the second one.

The second cluster of two Sun V445 servers is allocated to the SAT and PSAT environments. Those environments are actually two Solaris zones distributed over the two machines in normal conditions: one SAT zone on one machine, the PSAT zone on the other.

The majority of the end-users of the applications hosted at DG DIGIT DC are NA users accessing the DMZ TAXUD via the CCN network. Other accesses for end-users are provided via Internet, through the Europa (<http://www.ec.europa.eu>...) and the Webgate servers (<https://webgate.ec.europa.eu>...) and pass by a reverse-proxying service to reach the application servers in DMZ TAXUD. Internal users of EC can access DG TAXUD applications via the internal network.

The infrastructure in DMZ TAXUD is exclusively composed of Sun servers running Solaris 10. Several WebLogic<sup>®</sup> domains are configured in the different zones to accept the deployments of the central applications.

**! IMPORTANT REMARK:** The ICT infrastructure management of this DMZ TAXUD infrastructure is shared between DG DIGIT DC and the ITSM contractor: that is, DG DIGIT DC is responsible for the housing, including the deployment of the OS and the standard system's configuration and the related operational services whereas the ITSM contractor is responsible for the deployment and configuration of the COTS software i.e. WebLogic and all other software running on top of the OS and the related operational services.

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**Back-office at DIGIT DC**

The back-office hosts the central database servers and other generic servers, which are used by DG TAXUD Information Systems.

The servers providing EC corporate services like e-mail, data storage or business analysis reporting are under full responsibility of DG DIGIT and installed in dedicated computer rooms of the data centre in Luxembourg.

For what concerns DG TAXUD central systems hosted in DMZ TAXUD, the back-office servers addressed are mainly the Oracle database servers and one Business Objet WEBI server. Again, a split exists between the PROD and CONF environments and the SAT and PSAT ones.

For the PROD and CONF environments, the Oracle resource group is hosted on a DG TAXUD-dedicated cluster of two Sun M5000 servers and holds around ten databases per environment. Each Sun server is located in a distinct site for contingency purpose.

For the SAT and PSAT environments, several Oracle resource groups are deployed on shared clusters of Sun servers disseminated over the back-office computer rooms.

Figure 14 represents the overall logical architecture for DG TAXUD systems hosted at DG DIGIT DC.

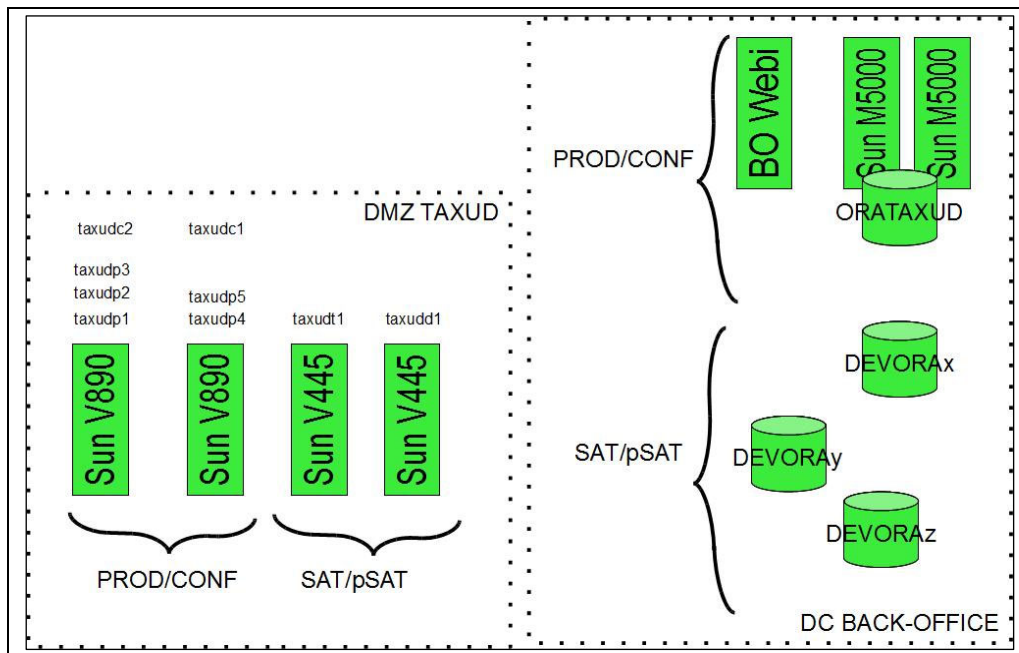


Figure 14: DG TAXUD central systems hosted at DG DIGIT DC

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### 6.5.1.1 AS IS SITUATION ITSM

ITSM ICT Operations is divided in ICT Operations and ICT Technical support.

**ICT Operations** provides the day-to-day technical supervision of the ICT Infrastructure. Main responsibility of the ICT Operations team is operation and optimisation of the ICT infrastructure. The ICT Operations team is responsible for ensuring that all operational events are appropriately managed and all operational service targets are achieved. ICT Operations is:

- Acting on ICT incidents reported by users;
- Detecting events (changes of state which has significance for the management of Configuration Item or IT Service);
- Monitoring the ICT Infrastructure (thus detecting potential incidents as soon as possible and reacting preventively).

**ICT Technical Support** is the specialist technical function for the different ICT Infrastructure technologies managed by ITSM. The Technical Support is responsible for the evaluation, support and proofing of all current and future ICT Infrastructure solutions. Technical Support provides:

- Research and evaluation (e.g. identifying technology updates);
- Proof of concept and pilot engineering;
- Specialist technical expertise (particularly to operations, Incident Management and Problem Management but also for COTS configuration and support to architectural design);
- Creation and maintenance of operational documentation and work instructions (capturing knowledge);

Provision of technical support on request (ad hoc or planned).

#### 6.5.1.1.1 Data Centre & Continuity (Fail-over) Site [\[As is ITSM\]](#)

##### Operated by ITSM

ICT Infrastructure Management is responsible for planning, designing, building, testing and operating the ICT Infrastructure and the associated Commercial Off The Shelf (COTS) software and licences.

The current primary ITSM Data Centre providing the hosting facilities is located in the neighbourhood of Brussels and represents a ground floor of about 50 square meters with ten 19" racks.

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The racks host following infrastructure:

- 8 x Siemens Primergy RX300 running ESX / VMWare 3.x for the MS-Windows and Red Hat Linux virtualisation infrastructure
- 3 x Fujitsu SPARC T5220 running Solaris 10 with different Solaris zones
- 6 x Bull Escala PL2xxR running AIX5.3
- 3 x Dell PowerEdge 1950 running either Windows 2003 Server or Red Hat Linux
- 3 x Siemens Primergy RX300 running either Linux Splat or Solaris 10
- 1 x IBM Quantum Scalar i500 Tape robot
- 1 x SAN EMC Clarion CX3-40F
- 2 x Brocade DS5000B SAN switches
- 6 x Cisco Catalyst 3560 Ethernet switches

Patch panels and cabling for internal and external physical connections.

In addition to this list, the ITSM contractor hosts in a - from the ITSM DC - remote location at the premises of the Infrastructure Management team eight Fujitsu Siemens workstations used for monitoring purposes. It also hosts a dedicated workstation in a – from the ITSM DC - remote location at the premises of the Application Management team, that is used as a platform from which automated tests are launched.

This infrastructure hosted by the ITSM contractor is segmented in such a way that all needed environments (PSAT, SAT, CONF, TRAINING, PROD and for some systems a performance environment) are created for DG TAXUD's Information Systems deployed at this premise.

At the time of writing, should the primary DC at ITSM become non-operational **there is no fail-over site** hosting an infrastructure, which would be able to replace the infrastructure installed at the primary Data Centre.

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### **Operated by DIGIT**

The infrastructure hosted by DIGIT in the data centre of Luxemburg is fully duplicated and spread over two separate buildings interconnected with optical fiber network. It is **not** the responsibility of the ITSM contractor to foresee a fail-over site for this infrastructure. He participates however to the annual exercises of testing the fail-over, in cooperation with DIGIT.

Please refer to 6.5.1 ICT Infrastructure Management – (Service Block 5) – Definition for more information.

#### **6.5.1.1.2 Design, Planning, deployment, operations, technical support & retirement** **[\[As is ITSM\]](#)**

The ICT Infrastructure Management (ICT IM) manages the ICT Infrastructure service through each of the stages in its lifecycle, from requirements, through design, feasibility, development, build, test, deployment, operation and optimisation to retirement.

ICT Infrastructure Management consists of seven sub-processes:

- **Design Infrastructure** of the ICT architecture and standards. It provides an approach for the Technical Design of ICT Infrastructure. This includes the necessary combination of Business Perspective, with technical design and architecture;
- **Plan Infrastructure** for the creation and infrastructure plans and project proposals; It provides an approach for the Technical Planning of ICT Infrastructure. This includes the necessary combination of Business Perspective, with technical design and architecture;
- **Deploy Infrastructure** for HW and OS. This includes all the activities for the successful management of design, build, test and rollout (deploy) projects. The activity is related to the ITSM Change and Release Management process;
- **Deploy Software** but excluding the custom developed applications from X-DEV, which are covered by the Application Management process. The activity is linked to the ITSM Change and Release Management process;
- **Operate** and optimise **Hosted infrastructure (including retirement)**;
- **Operate** and optimise **[DIGIT](#) infrastructure (including retirement)**;
- **Maintain Technical Support Knowledge.**



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In the scope of "Operate" and in support of the Service Delivery processes (Availability Management, Capacity Management, Service Continuity Management), the ICT Infrastructure Management is responsible for the monitoring of the hardware, software, COTS and application services.

To this end, the ITSM contractor has deployed at the ITSM data centre the following tools:

- SCOM;
- Nagios;
- Host Monitor;
- PRTG and a series of scripts running periodically.

For managing the systems hosted at DIGIT DC, the ITSM data centre relies on DIGIT's monitoring infrastructure based on BMC Patrol, sending the alerts to an ITSM functional mailbox and generating the reports on a daily basis. The BMC Patrol agents running on the hosts hosted at DIGIT DC include Unix, Weblogic, Tuxedo and Oracle.

DIGIT also provides an End-to-End (E2E) monitoring running predefined scenarios simulating a user performing actions. These E2E scenarios allow measuring the availability from an end-user point of view as well as the average response time.

DIGIT monitoring tools are used **on top of** the ITSM monitoring tools that reach the infrastructure hosted at DIGIT DC via the remote IP/VPN connection over internet.

**⚠ IMPORTANT REMARK:** the ITSM contractor provides this full set of sub-processes for the hosted infrastructure at ITSM data centre. For the infrastructure hosted at DG DIGIT DC, the set of provided sub-processes is limited to **Deploy Software, Operate DIGIT Infrastructure and Maintain Technical Support Knowledge.**

**⚠ IMPORTANT REMARK:** Some projects related to design, feasibility, development, build, test can be considered a project under both [6.3](#) – "Tools supporting the Service Management – (Service Block 3)" or under [6.5](#) – "ICT Infrastructure Management – (Service Block 5)". DG TAXUD takes this decision based on the project scope.



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This is described in the current:


- ITSM Framework Quality Plan, [\[R1\]](#) and in its Annex 24: Infrastructure Management.
- ITSM Framework Quality Plan, [\[R1\]](#)
- ITSM Service Catalogue, [\[R3\]](#)
- ITSM Internal Working Procedures, [\[R182\]](#)
- TIP [\[R59\]](#)

#### 6.5.1.1.3 Network Services [\[As is ITSM\]](#)

An encrypted (IPSec) VPN tunnel managed by an EC Security Convention protects the connection over Internet to the EC Telecom centre. This network service, allows the ITSM contractor to fulfil its duty to manage the ICT Infrastructure hosted at DIGIT's Data Centre, remotely.

The Internet connection is also used to provide access to the locally hosted applications (CS/RD, CS/MIS, CS/MISE, ITSM Portal, ARIS Publishing, ARIS server) and to the National Administrations during Conformance Testing campaigns. That is, the National Administrations can configure the TTA (Transit Test Application) via a client application called STTA using Internet for the remote connection.

#### **Security considerations:**

- The [TTA](#) application is a terminal-based application running on a Bull® AIX® Server; the National Administration connects to this server through a Secure Shell ([SSH](#)) connection from the STTA client;
-  Please note that TTA will be ported from AIX5.3 to Solaris 10;
- The SSH keys are generated on the ITSM site and provided to the National Administration during the Conformance Testing mission;
- The ITSM infrastructure in the incumbent contractor's site is connected to the CCN network via a dedicated leased line entering its data centre;
- All central applications hosted at the ITSM data centre accessible via Internet are behind a reverse-proxy in DMZ.

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Please refer to the ITSM Service Catalogue, [\[R3\]](#)

#### 6.5.1.1.4 **HW & OS & COTS Services** [\[As is ITSM\]](#)

For the procurement of HW, OS, COTS see [6.1](#) – "Project Management – (Service Block 1)".

Once delivered and deployed, the ITSM contractor carries out a Site Acceptance Test (SAT) of the items resulting in a SAT Report.

#### **HW**<sup>24</sup>

4 types of [CI](#)'s constitute the Hardware reference, used to support the ITSM contractor infrastructure:

- Back-up devices;
- Network devices;
- Server devices;
- Storage devices.

#### **SW**

Software CIs are further classified either OS, COTS or Applications. The two first belong to a managed service under the responsibility of ICT Infrastructure Management, the third one being covered by [6.6](#) – "Application Management – (Service Block 6)".

#### **OS**

Currently, the following Operating Systems are part of the SW CIs managed by the ITSM contractor:


- AIX
- Windows Server
- WinWKS/XP
- Suse Linux

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<sup>24</sup> HW CIs are all COTS products.

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- RedHat Linux
- SPLAT Linux
- VMWare ESX
- Solaris



This is described in the current:

Technical Annex ITSM previous contract, [\[R6\]](#) in its work package WP.8.6.2.1.

The reader will also find further information on the CIs under [\[R185\]](#) and the items covered under the CMDB, [\[R3\]](#) and the TIP, [\[R59\]](#).

#### 6.5.1.1.5 **Backup & Restore** [\[As is ITSM\]](#)

The ITSM contractor performs for the hosted infrastructure one full backup per week and one daily incremental backup. Backups are automated for all computers and saved on LTO3 data cartridges (tapes) in the IBM Quantum Scalar robot. The restore happens upon request with remote control.

For all virtual servers and stand-alone Linux and Windows servers, the Legato Networker client is configured to allow the automation via Networker. For the Fujitsu Solaris servers, Veritas Backup software is used.

In addition to the daily backups and the full one taken once a week (on Fridays, after business hours), the ITSM contractor clones the set of tapes holding the full backup which is taken off the data centre on Wednesdays and brought to a remote location in a safe store.

The ITSM contractor is responsible for the ICT Infrastructure Management for Backups. All tasks that involve DIGIT need to be requested through the DIGIT Central Service Desk (c.f. [6.4.1.1.3](#) – "Other services provided by the Service Desk [\[As is ITSM\]](#)")



Please refer to the ITSM Service Catalogue, [\[R3\]](#)

- ITS-IPRC-285\_How\_to\_-\_Tape\_Backups-EN-0.10.doc, [\[R182\]](#)
- ITS-IPRC-288-Networker\_backup\_check\_V0\_10.doc, [\[R182\]](#)

#### 6.5.1.1.6 **Job Management Service** [\[As is ITSM\]](#)

Job Management is not considered as a separate service but is part of the ICT operational activities. Please refer to the ITSM Framework Quality Plan, [\[R1\]](#) Annex 24: Infrastructure Management – *Operate hosted infrastructure* and *Operate DIGIT infrastructure*).

In addition to the daily and weekly backups (for hosted infrastructure), the ITSM contractor maintains all batch schedulers which are delivering services to the business applications or to ascertain a healthy ICT infrastructure.

As an example, for the time being, the jobs scheduled include:

- Control of some data within the scope of [6.6](#) – "Application Management – (Service Block 6)";
- Control of the Filesystems sizes;
- Control of the Tablespaces usages on databases.

The outcome of these daily checks is via email communicated to DG TAXUD and on-line available on the ITSM Portal (through the availability dashboard).

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#### 6.5.1.1.7 Availability & Capacity & Continuity Management [\[As is ITSM\]](#)

##### Availability

Availability Management is about managing the availability (or more correctly unavailability) of DG TAXUD IT services and the **TES**. The availability of a service is comprised of many components located between the individual desktop/laptop and the server where an application is hosted (installed).

These components include, ease of maintainability, level of security and reliability. The ITSM contractor constantly monitors the various services to note, and even predict unavailability.


The minimum guaranteed level of availability for a specific service is outlined in the respective [SLA](#).

The responsibility of ITSM contractor is to provide a (minimum) guaranteed availability of applications. It is also the responsibility of the ITSM contractor to plan any scheduled unavailability in such way that it affects customers as little as possible.

The ITSM Service Desk is the focal point for communicating any planned and unplanned unavailability to the user community.

Reporting on the systems availability is provided on a monthly basis, through the [MPR/MSR](#). In addition to that, availability is reported to different stakeholders with different frequencies and levels of detail.

An availability Dashboard exists and is on-line maintained to show all availability related data for all managed CIs (cf. [6.3](#) – "Tools supporting the Service Management – (Service Block 3)").



Please refer to the ITSM Service Catalogue, [\[R3\]](#) and to the AvDB, [\[R52\]](#)

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## Capacity

Capacity Management ([CAP](#)) is the process responsible for ensuring that the capacity of IT services and the IT infrastructure is able to deliver agreed service level targets (defined/agreed in Service Level Management) in a cost effective and timely manner. CAP considers all resources required to deliver the IT service, and plans for short, medium and long-term business requirements. Capacity management is also responsible for taking all necessary measures and defining recommendations to increase IT Service continuity and availability. CAP uses a wide range of information to determine capacity requirements such as:

- Business demand forecasts (volumes; number of locations, users, transactions, anticipated workloads...);
- Business plans;
- Business events calendar (key dates for critical capacity and performance);
- Service level requirements related to Continuity, performance and Capacity;
- Forward Scheduled Changes;
- The project portfolio (programme and project initiatives);
- Feedback and results from service reviews (and identified capacity or performance issues).

The ITSM contractor must ensure that the capacity process encompasses all areas of technology, hardware and software, all IT technology components and environments (e.g. production, development, and test) under control of the ITSM contractor. CAP also considers the required facilities and space (space planning) for the physical location of IT resources. However, planning of human resource capacity is not part of the scope of this process.

The ITSM contractor has to inform DG TAXUD IT on:

- How much IT capacity is needed to match existing and future service needs (with a line of sight of at least **3 years**) and at what cost;
- Risks of capacity bottlenecks in the NAs;
- All increase of volume detected at least **12 months** in advance.

Concerning DIGIT and CCN/TC, it must be noted that some monitoring tasks require data that can only be obtained by an ITSM request to the respective helpdesk.

The Capacity Plans express the set of activities needed to fulfil those requirements at three levels:

- Business;
- Services;
- Resources.



Please refer to:

- ITSM Framework Quality Plan, [\[R1\]](#)
- ITSM Service Catalogue, [\[R3\]](#)
- ITSM Internal Working Procedures, [\[R182\]](#)
- ITS-IPRC-274-Reporting\_Procedure\_Capacity\_DIGIT\_Fileystems-EN-0.10.doc
- ITS-IPRC-276-Reporting\_Procedure\_Capacity,\_Tablespaces\_DIGIT-EN-v0.10.doc
- ITS-IPRC-278-Reporting\_Procedure
- Capacity plan, [\[R68\]](#)

## Continuity Management

This process addresses the preparation, implementation, invocation and maintenance of disaster recovery measures for IT services and their supporting components. It takes care of planning and coordinating the technical, financial and management resources, needed to ensure continuity of service after a disaster.

The primary goal of [ITSCM](#) is to support the overall Business Continuity Management process in case of disaster. This is done by ensuring the necessary ongoing recovery capability for the IT services, as contracted by DG TAXUD.

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Disaster recovery Plans ([DRP](#)) are also under the responsibility of ITSCM. It is not always ITSCM that creates these plans (the plan, a part of the plan or input could be provided from X-DEV or Application Management), but it is ITSCM's responsibility that these plans adhere to a common standard as well as testing the DRP on a regular basis (at least yearly).

**TAXUD/R4 & TAXUD/R5** are responsible for triggering the crisis, unless otherwise specified in the IT service Continuity plan, [\[R67\]](#). It is also **TAXUD/R4 & TAXUD/R5** responsibility to “call off” the crisis after successful recovery.

The ITSM contractor must ensure that disasters are managed according to recovery plans both for DG TAXUD IT services as well as the **TES**. The ITSM Service Desk is responsible for issuing the crisis alert to DG TAXUD IT in case of a crisis. In the case that the ITSM Service Desk becomes un-available, various manual routines are in place within the ITSM contractor organisation.

The ITSM contractor is responsible for creating, monitoring and maintaining the following deliverables:

- IT Service Continuity plan for DG TAXUD IT services, including a risk analysis and Disaster Recovery Plan (DRP);
- ITSM contractor produces and maintains **TES** Continuity plans covering the whole of the ITSCM process and further coordinates its implementation and testing amongst the NAs and DG TAXUD IT, including its suppliers. Please note that **not** all information is visible in the top-level end-to-end continuity plan. For reasons of commercial confidentiality, some supplier's details may not be transmissible to the ITSM contractor<sup>25</sup>.



Please refer to the:  
ITSM Framework Quality Plan, [\[R1\]](#) and the ITSM Service Continuity Plan for Commission IT Services DRP, [\[R80\]](#)

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<sup>25</sup> Covered by **ITSM2 Lot2**



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**6.5.1.1.8 Production & Maintenance of ICT Infrastructure Management Related Plans**  
**i.e. ICT Infrastructure Plan, Availability Plan, Capacity Plan, Continuity Plan**  
[\[As is ITSM\]](#)

In addition to the Availability, Capacity and Service Continuity plans, the ITSM contractor produces and maintain:

- An ICT architecture for ICT Management processes and tools, to be used as reference in the development and deployment of such processes and tools to ensure integration amongst them and with the ICT architecture;
- A definition of the Infrastructure (plan, schematics, topology diagrams...).

Part of the ICT Infrastructure Plan is available via views on the CMDB. Other parts are currently maintained by the ITSM contractor in several Visio documents. The **Synergia** programme could induce some changes concerning the data repositories used.

The ITSM contractor also created and maintains an **architecture reference document** containing the applications, **TES** architecture, framework and standards used by the existing applications.



Please refer to ITSM Framework Quality Plan, [\[R1\]](#) and the ITSM Service Catalogue, [\[R3\]](#) and to the availability plans, [\[R89\]](#) & [\[R97\]](#)

Please refer to the Architecture reference document, [\[R79\]](#) and the ICT infrastructure plan, [\[R297\]](#)

**6.5.1.1.9 Feasibility Studies linked to Infrastructure** [\[As is ITSM\]](#)

Within the ITSM contract, this is covered by feasibility studies under [6.3](#) – "Tools supporting the Service Management – (Service Block 3)".

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### 6.5.1.2 VOLUMETRIC [As is ITSM]

The following volumetric data are applicable for 2010:

<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
V.5.1	Hosted servers (physical + virtual servers)	102
V.5.2	Hosted Terabyte storage	15
V.5.3	Hosted IT environment	38
V.5.4	Hosted servers in Fail Over site	0
V.5.5	Hosted Terabytes storage in Fail Over site	0
V.5.6	Managed DIGIT servers (physical + virtual servers)	19 (Fully duplicated in backup site)
V.5.7	Managed Terabyte DIGIT storage volume	7
V.5.8	Managed DIGIT IT environment	37
V.5.9	Managed OS	8
V.5.10	Managed COTS software	50
V.5.11	Hosted COTS HW & SW assets	492
V.5.12	Delivered hosted HW assets (excluding taken over assets)	29
V.5.13	Phased out hosted HW assets	37
V.5.14	Hosting environment	1
V.5.15	Fail over hosting environment	0

Table 27: Volumetric Data ITSM - ICT Infrastructure Management – (Service Block 5)

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### 6.5.1.3 AS IS SITUATION CCN

#### 6.5.1.3.1 Data Centre & Continuity (Fail-over) Site [\[As is CCN\]](#)

The incumbent CCN/TC contractor operates a data centre hosting the totality of network and system infrastructure to develop, maintain, support and operate CCN/CSI. The CCN/TC also operates the CCN gateways located in each CCN site (Member States, candidate and third countries, TAXUD premises, TAXUD contractors)

The CCN/TC data centre is currently hosted in Brussels and consist of 70 square meters and 19 standard racks of computer equipment.

There is currently no fail-over site. Plans exist however to duplicate the infrastructure related to the most critical CCN/TC services in another data centre.

The CCN/TC contractor is currently responsible to:

#### **Set up and maintain office infrastructure**

Set up and maintain office facilities: Workstations, printers, printer & e-mail servers, connectivity facilities (internet, e-mail, phone & fax).

#### **Set up, operate and maintain the CCN infrastructure**

Set up, install and maintain the necessary infrastructure related to specification production, development, test and support. This consists of:

- The dedicated and secured hosting space for the CCN/TC data centre (including sufficient power, air conditioning and [UPS](#) facilities); as such, he hosts the CCN/CSI environment, which is required to execute the CCN/CSI services at the CCN/TC within the scope of the contract. The contractor also provides the operational (monitoring, management and CCN administration tools), testing, integration and training environments to properly manage and implement the requested activities and services;
- The secured connection between the CCN/TC data centre and the secured CCN/TC office space;
- The secured connection between the CCN/TC data centre and the CCN network to support remote access to all CCN sites and equipment in the CCN Community domain;
- The CCN/TC environment and queues in the call centre for handling of service requests coming by phone;

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- The CCN/TC servers and software products ([COTS](#)) supporting the dedicated e-mail, the Service Management Tool, the [CMDB](#), the Project Support Platform, the project’s Intranet, the release management repository;
- The CCN/TC dedicated office and printer server;
- The backup and restore facilities, including tapes and physical delocalisation;
- The CCN central backup site, available to take over any National Administration CCN site in case of major disruption at NA level;
- Providing also the FAT, PSAT and SAT environment within the CCN/TC infrastructure deployed taking into account the functional and the non-functional requirement, in particular: non-regression test, performance, resources use and stress requirements. It should be noted that the incumbent CCN/TC contract incorporates a development element for the CCN releases to which those test and qualification environments refer;
- The servers dedicated for development, integration and qualification of the CCN/CSI software modules;
- The servers dedicated for development, integration and qualification of “[CCN Mail 2](#)” software. At the time of writing, a CCN-Mail 3 project is ongoing aiming to replace the current CCN-Mail 2 bespoke software with a Microsoft Exchange based infrastructure;
- The dedicated BCP lab aiming to develop and to test the CCN IT continuity provisions and scenarios. The BCP Lab performs the failover tests exercises included in the CCN IT Service Continuity improvement. This requires the execution of multiple failover scenario exercises for the underlying services paradigms of CCN/CSI services (Sync, Async, HTTP, HTTPS) and CCN Mail on existing CCN sites infrastructure. The BCP permanent Lab allows running various CCN contingency BCP scenario exercises on a regular basis. It contributes to improving the resilience of solutions and recovery times. The BCP Lab allows for the training of CCN/TC staff prior to executing real Business Continuity exercises at NAs’ sites.

**NOTE:** Not all of this infrastructure is in the scope of **ITSM2 Lot1** - Only the servers that have PSAT/SAT/PROD functions are concerned as development and maintenance are not within the scope of **ITSM2 Lot1**.

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This is described in the:

- CCN/CSI Framework Quality Plan, [\[R2\]](#)
- CCN/CSI System Overview, [\[R64\]](#)
- Secure Web Architecture - CCN/TC web portal Validation Report, [\[R75\]](#)
- CCN backbone diagram, [\[R104\]](#)
- Action report for CCN action 109, [\[R69\]](#)

#### 6.5.1.3.2 Design, Planning, deployment, operations, technical support & retirement [As is CCN]

Currently, the CCN/CSI network interconnects national Customs and Taxation Administrations of all the members of the enlarged EU and third countries. It allows National Administrations to exchange data in a large number of Customs and Taxation domains. It is composed of:

- **116 CCN Gateways (running AIX OS) and 37 mail servers** deployed in the national administrations and connected to the CCN network through leased lines;
- **1,022 Mio messages** / year exchanged on the CCN network in 2010 corresponding to a volume of **2,6 Terabytes** of application data and a total transmitted volume of **7,5 Terabytes**;
- Support of more than **30 application domains**;
- **45 sites in 31 countries** (including the two [SPEED](#) sites, Croatia and OLAF backup site).

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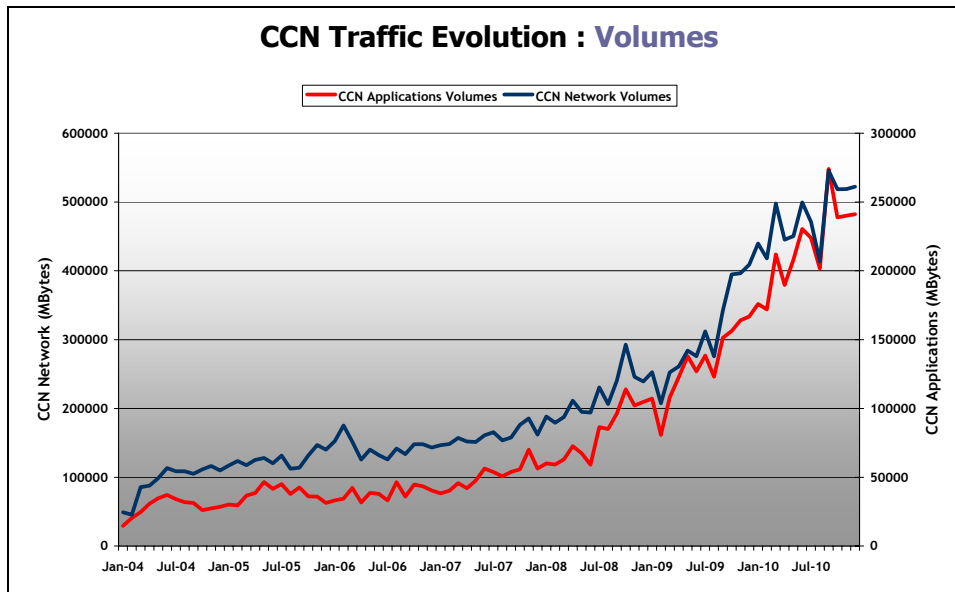


Figure 15: CCN Traffic evolution

The design and overall planning is done by DG TAXUD in close collaboration with the CCN/TC and CCN/WAN contractors.

The CCN-WAN network contractor provides the CCN network and operates the network from a telecom perspective. The CCN/TC purchases the CCN gateways, COTS, components, etc. and installs and deploys them. The CCN/TC coordinates all infrastructure related activities regardless of who delivers them and acts as SPOC to all CCN users.

The CCN/TC is responsible for retiring the obsolete equipment hosted at its own data centres. Retirement of CCN equipment in Member States is performed by the Member States. In rare cases can the CCN/TC be requested to relocate/retire equipment deployed outside its own data centre (e.g. CCN infrastructure deployed at the DIGIT data centre, the OLAF data centre, etc.)

### 6.5.1.3.3 Network Services [As is CCN]

Currently, the CCN/CSI network (referred to as CCN-WAN, delivered and operated by the CCN-WAN provider), interconnects national Customs and Taxation Administrations of all the members of the enlarged EU and third countries. It allows National Administrations to exchange data in a large number of Customs and Taxation domains.

The CCN/TC infrastructure in the incumbent contractor's sites is connected to the CCN backbone through the CCN private and secure network (dedicated leased lines). No communication link is allowed between both the CCN/TC infrastructure

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and the contractor's corporate IT environment. A clear split is designed to reject any internet connection to the CCN backbone generated from the CCN/TC network. The connection over the CCN backbone is protected by an encrypted (IPSec) VPN tunnel (Juniper® SSG-5 firewall/VPN gateway). The CCN/TC contractor has sole responsibility for the configuration and maintenance of this device.

The Wide area Network services (CCN backbone) are provided by a network provider contractor (CCN-WAN) who is responsible to connect the CCN sites into the CCN IP\_private backbone. The CCN-WAN contractor manages the CCN IP addressing scheme.

Name resolution on the common domain is resolved by a local *etc/hosts* file per CCN gateway. For instance, CCN Web hosts are defined in the "ccncsi.int" equivalent domain. The maintenance of the *hosts* files is part of the service under the responsibility of the CCN/TC contractor.

### **SPEED Platform**

The SPEED Platform offers an access point to CCN resources and EU National Administration CSI-based applications to third countries. DG TAXUD defined the Queues to be used by the EU National Administrations to exchange with the SPEED Platform. The SPEED Platform assures the data exchange with the Third Countries.

As depicted below, the SPEED-net VPN has been implemented to allow the communication between the Third countries and a dedicated entry point on the SPEED platform.

Security measures have been set up to ensure security protection towards the Third Countries.

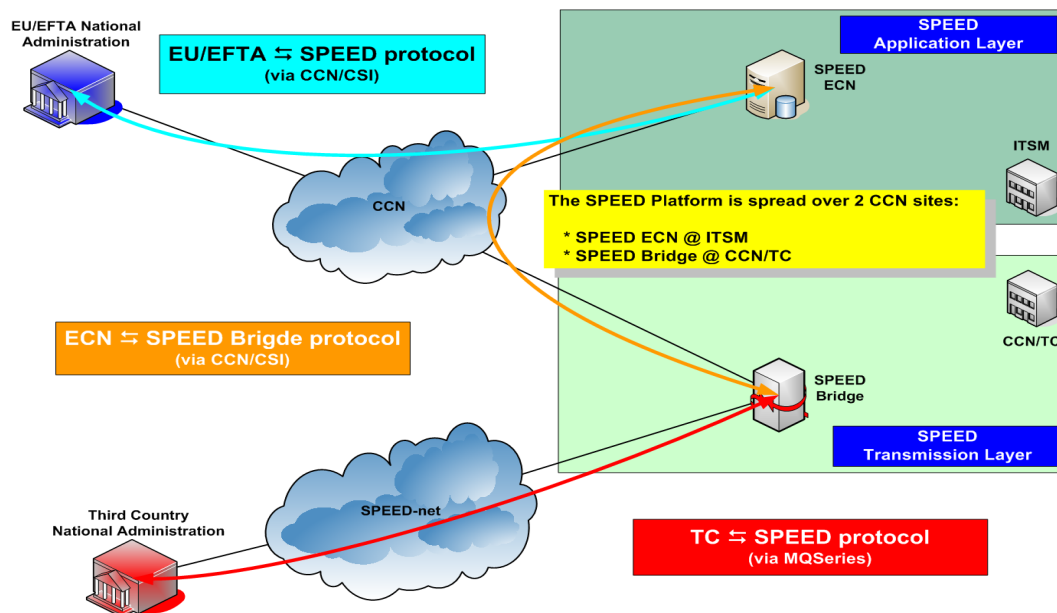



Figure 16: SPEED current implementation

### SPEED2 Platform

The current implementation of SPEED is considered as a temporary solution designed to offer third countries (currently Russia) a CCN/CSI service through a dedicated VPN. SPEED2 is a project, which is on-going and aims at providing openness of interfaces. The connection to SPEED2 should rely on open standard interfaces and protocols (today MQI is used only). This is to allow various paradigms and technological platforms to connect in a technology agnostic way.

 This is described in the CCN gateway management procedures, [\[R51\]](#)

A high-level overview of the CCN-WAN network – including SPEED - can be found in [\[R104\]](#)




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#### 6.5.1.3.4 **HW & OS & COTS Services** [\[As is CCN\]](#)

As described in [6.1](#) – "Project Management – (Service Block 1)", the CCN/TC contractor is responsible for acquiring, setting up, maintaining, installing, supporting and operating all necessary infrastructure including material, COTS, security devices, connectivity to CCN gateways (Commission, contractors, NAs), etc.

The hardware and COTS involved are - in particular - the CCN gateways deployed in the Member States, the network switches, the CCN-Mail servers/components, the CCN/CSI components (Tuxedo, MQ-Series, iPlanet LDAP, PostGress, Apache, the AIX operating system), the Tivoli suite, all items hosted in the CCN/TC data centre and all other tools and software listed in the various Service Blocks (see also [\[R176\]](#), [\[R177\]](#) & [\[R178\]](#) for the full list of HW/SW items). The CCN/TC contractor ensures that all hardware, software and COTS are covered with maintenance contracts.

The HW, OS & COTS services include on-site interventions (e.g. to replace defective hardware) and shipment of equipment. The CCN/TC contractor plans all activities and is responsible to ensure that all activities cause the minimum disruption to the services possible.



A full inventory of hardware, software and COTS can be found in [\[R176\]](#) and [\[R178\]](#).

#### 6.5.1.3.5 **Backup & Restore** [\[As is CCN\]](#)

Currently, each national CCN site is responsible to perform a full backup of the CCN production and backup gateways on a daily basis (automatic script launched outside working hours) via the tape device of the CCN gateway. Some Member States integrated the CCN gateway into their normal backup procedure using backup robot devices/software.

The TAXUD CCN gateways (P2/B2, P5/B5) hosted by DIGIT DC are daily backed-up via the Legato backup and recovery software. A daily status is sent to DG TAXUD. This is also the case for the ITSM CCN gateways (TAP1, TAB1, SPECP1, SPECB1) and the ITSM LCMS (CCN mail) server hosted by the ITSM contractor.

The backup tapes are stored locally (i.e. in the Member States) by the CCN local officer in a safe place. Should a system restore be needed, the CCN/TC contacts

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the national administration and request from the CCN gateway local administrator to insert the last tape backup.

The CCN/TC can therefore apply the restore remotely without further intervention from the CCN local staff. The CCN/TC notifies the CCN sites when the system is back to its nominal situation.



At the time of writing a proof of concept is being conducted to replace the daily tape backups with central backups and/or backups onto the second CCN gateway deployed in each CCN site.

In case of major problems on the main CCN gateway, the services are failed over (manual procedure operated by the CCN/TC contractor) to the CCN backup gateway.

In case of major problems affecting both CCN gateways, the CCN site can be failed over to the CCN central backup site hosted at and operated by the CCN/TC. Please refer to the continuity section below for further detail.

#### **6.5.1.3.6 Job Management Service [As is CCN]**

The CCN/TC contractor is responsible for all tasks in the job management lifecycle, i.e. the management of all automated actions or manually triggered jobs.

The CCN/TC contractor has its own scheduling system called the CCN\_Scheduler.

The tasks executed by the CCN\_Scheduler are:

- Generate and, if needed, dispatch statistics & audits;
- Generation of Availability Statistics system;
- Replicate netstatsdb database;
- Periodically remove the old log files;
- Periodically refresh the CCN directory cache;
- Restart of the administration server to take into account new configured queues;
- Local backup of the CCN and CC-USR directories;
- Daily dispatch of the VAT refund application statistics.

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Additionally, the CCN/TC monitoring system triggers different tasks, including automatic restart of crashed Remote API Proxy (RAP) process on the CCN gateways.

Some tasks are configured in the cron for hardware/system management such as:

- Daily backup;
- Daily dump of HW/System configuration;
- Sending of the configuration to the central CCN/TC site;
- Sending of the Service Availability Report (SAR) – cf. [\[R155\]](#), [\[R156\]](#) & [\[R170\]](#) systems to the central CCN/TC site;
- Check presence of core files.

**Concerning the LCMS:**

- Daily backup;
- Sending of backup report to the CCN/TC;
- Update of Anti-virus database on a daily basis;
- Synchronisation of HW clock;
- Backup of the LCMS configuration files + sending to central LCMS.

**6.5.1.3.7 Availability & Capacity & Continuity Management [As is CCN]**

**Availability**

The CCN/TC contractor monitors the availability of all the IT services provided in the scope of the contract, for all of the CIs which it manages or has responsibility for, wherever their location (Commission, contractor’s premises, NAs or 3rd parties).

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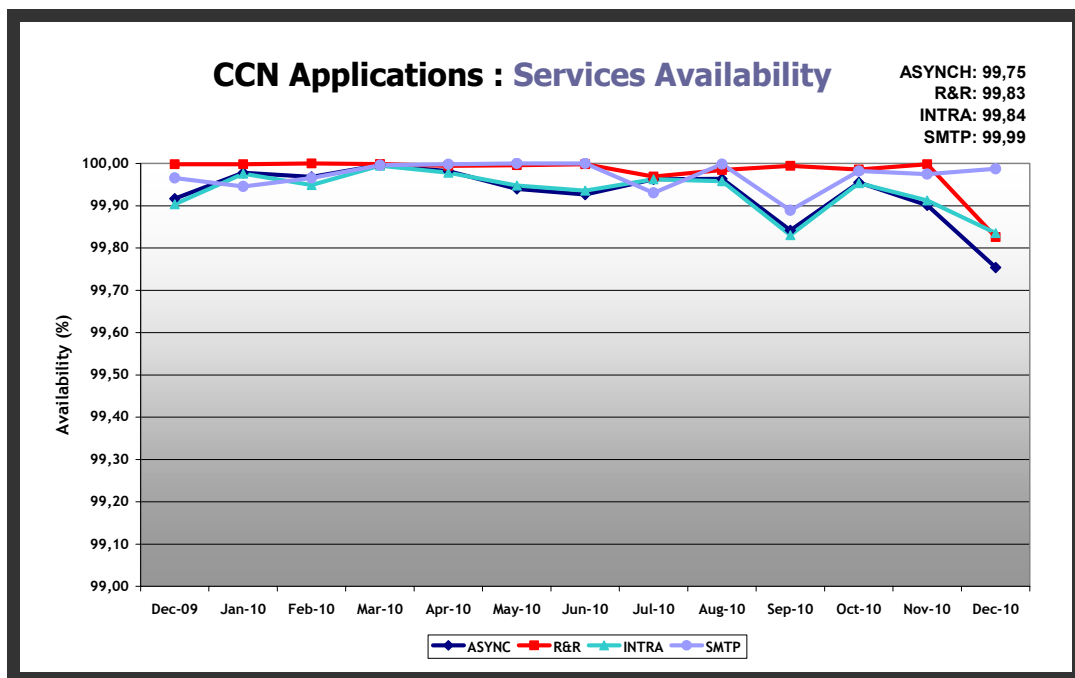


Figure 17: CCN Service Availability during 2010.

When required, the CCN/TC contractor notifies the [CCN/CSI](#) National Administration teams (or any other related team) and the Application Technical Centres of any urgent information. It also acts as an information-dispatching centre for the [CCN/CSI](#) community in cases where a security issue is detected. Upon receipt of information delivered by NAs, support centres or the Commission, the CCN/TC manages the scheduled unavailability or intervention planning for all the CIs covered in the scope of the contract, ensuring that they are planned, wherever possible, outside working hours to minimise the impact on the users and NAs. The scheduled unavailability must be published to all affected stakeholders with an adequate lead-time allowing them to take the necessary preventive actions. During the monthly CCN progress meeting, the CCN/TC provides the list of the planned and unplanned unavailability. In the latter case, the CCN/TC proposes some actions or recommendations to address these issues in order to minimise the impact on Business continuity.

The CCN/TC contractor advises the Commission during the regular meetings and in the monthly report on how to improve the monitoring of the availability of the CIs covered in this contract and on maintainability and Serviceability of those CIs, the CCN/TC contractor is responsible for.

In the event of a CCN system crash to the Common Domain (Part of services and CCN infrastructure the Commission is responsible for), the CCN/TC contractor manages and executes the recovery plan. The Commission is responsible for triggering the execution of the recovery plan. Indeed, upon notification by the CCN/TC, the Commission will take to decision to trigger the execution of the

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recovery plan to restore the services availability as quick as possible according to the most appropriate scenario (i.e.: local gateway switch, switch over to central resources).

### **Capacity**

The CCN/TC contractor also monitors the volume of traffic through all CIs (gateways, mail servers, encryption device management stations, etc.) for which it is responsible, including those located at the Commission, in the NAs or at third parties premises. This ensures that the CCN infrastructure remains right sized to cope with any increase of traffic and volume in the CCN.

The Commission requests that the contactor carries out specific surveys and stress testing campaigns to assess the impact of new applications deployed on CCN and to evaluate the risk to the CCN components.


### **Continuity**

Continuity management is regarded by the application owners as the recovery of the CCN infrastructure used to deliver the expected services and to ensure the viability of the service should a serious incident occurs.

### **Testing, reviewing, and revising the plan on a regular basis**

Throughout 2010, DG TAXUD has launched several activities for testing and improving the continuity of its IT services and infrastructure. Given that the CCN/CSI is one of the cornerstones of all systems, DG TAXUD proposed to set up and test multiple scenarios that should deliver assurance to DG TAXUD and/or Member States of the capacity of CCN/CSI itself, and the CCN/TC in particular, to resume normal operations should a disruptive event take place.

The CCN/TC contractor has a dedicated BCP lab environment where he can develop, validate and test all continuity provisions/scenarios.



Please refer to the Capacity plan for Commission IT services, [\[R68\]](#)

Additional reference documents are provided in the next section.

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**6.5.1.3.8 Production & Maintenance of ICT Infrastructure Management Related Plans  
i.e. ICT Infrastructure Plan, Availability Plan, Capacity Plan, Continuity Plan  
[As is CCN]**

The CCN/TC contractor does not currently maintain an ICT Infrastructure plan. All other plans are established by the contractor and validated by the Commission. The contractor maintains and updates these plans throughout the contract.

The Availability plan lists the actions the contractor carries out under the supervision of the Commission, to design and implement the IT infrastructure to ensure that the business requirements for availability are consistently met.

The Continuity plan has been defined as the source of the crisis alert to the Commission. The CCN continuity plan, which is provided by the CCN/TC and reviewed on a yearly basis.

The process for managing the Continuity plan involves the following basic steps:

- Prioritising the activities to be recovered by conducting a Business Impact Analysis (BIA). This process could evolve according to the changes and /or introduction of the business threats or requirements;
- Performing a Risk Assessment for each of the services to identify the assets, threats, vulnerabilities and countermeasures for each service;
- Evaluating the options for recovery;
- Producing the Contingency Plan (BCP and subsequent DRPs);
- Testing, reviewing, and revising the plan on a regular basis.

The process itself is put in place and managed to ensure that CCN Services can recover and continue even after a serious incident occurrence. It is not just about reactive measures, but also about proactive measures - reducing the risk of a disaster in the first instance.

In normal conditions, the production gateway is running, ensuring data traffic on the CCN backbone for production applications (cf. Production CCN network) and the Test/Backup gateway is also operating and handling communications on the same backbone for the testing of application (cf. Test CCN network). However, a malfunction might be detected on the production gateway that affects, or will shortly affect its operation, and induce unavailability of the services offered by this machine.

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The malfunction can be detected via four ways:

- The central monitoring notifies troubles to the CCN/TC;
- The local monitoring warns the [LSYA](#) of the problems;
- A production application currently running on a MS platform cannot send anymore messages to a remote CCN site via the Production gateway;
- A production application running on another CCN site cannot reach any more applications running on this site via the Production gateway.

At this stage, the DG TAXUD CCN team is informed about the malfunction affecting the production gateway and about the possibility to perform the switch procedure. Considering the estimated duration of the malfunction and the consequences of the unavailability, the DG TAXUD CCN team informs the CCN/TC about their decision to start the switch operation.

In the current situation, the CCN/TC can propose several options to recover the site:

- Configuring the backup gateway to act as the production CCN gateway until such a time the local CCN production gateway in the CCN site is restored;
- Shipping a new gateway at the premises of the CCN site;
- Rerouting the traffic to the CCN/TC central site until such time the local production gateway in the site is restored to the normal situation.

All the applications definitions are saved in a CCN master directory and the user definitions are saved, by site, in a local CCN-USR master directory. The role of master directory means that all the modifications applied on the applications or users definitions are first stored in the Master directory and then replicated on all the local slave directories. These definitions can be retrieved from the directory when required to address a failing site.

Currently, the CCN/TC site is the monitoring site and the statistics collector. The CCN Master directory is installed on a dedicated gateway located in the CCN/TC premises and the gateway taking in the CCN-USR master role is the Production gateway of each site.

The CCN Test/Backup gateway located in the national sites are used for most of the time for development and test purposes, but their configuration can be modified in order to handle the production traffic instead. This is the purpose of the switch procedure.

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The switchover procedure consists of deactivating totally the production gateway and of restoring the production configuration onto the backup gateway. For that, the backup gateway takes the IP address and the host name of the production gateway and then acts as production gateway. Depending on the scenario chosen, data can be saved on the production and the Test/Backup gateways in order to restore the state as before the unavailability. It is important to keep in mind that choosing a scenario with a backup of all gateways obviously has an impact on the time needed to perform the switch procedure.

The content and the duration of a switch procedure strongly depend on the context: state of the production gateway and scenario chosen by the DG TAXUD in term of data restoration.

The main objective is to respect a period of maximum 2 hours to execute the shortest scenario (without saving of data). The objective is applicable for the switchover and switchback operations.

During the switch, the production and test/backup traffic of the site in question are unavailable. Afterwards, no test/backup gateway remains available (only one CCN gateway running) until the restoration of the original situation is achieved.

The switch operation is comprised of a switchover step, which transfers the Production traffic on the Test/Backup gateway and of a switchback step, which restores the original traffic situation. The possible switchback scenarios strongly depend upon the save steps carried out during the switchover scenario. Therefore, it is important to think to the restoration when the switchover scenario is decided.

All the scenarios are based on the following choices:

- Transfer (or not) of the CCN USER master tree;
- Transfer (or not) of the specific Data (AUDIT, stats, log files, queues content);
- Restoration (or not) of the initial status of the Test/Backup gateway, with the specific data.

Please, note that the transfer of the specific Data may be either totally or partially performed; i.e. only the queues content, only the statistic database content with the lasted statistics and/or audit files. These possibilities are evaluated for each case according to the delay and the degree of integrity required.

Switch over and switch back test are regularly carried out for the central CCN sites as part of the Commission IT Service Continuity plan covering all CIs managed by or under the responsibility of the contractor. This includes the CIs located at the



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Commission, in the NAs or at any third party premises. The Commission may decide to witness the test (or may designate a third party to do so on its behalf).



Please refer to the CCN-BCP bundle, [\[R69\]](#), [\[R94\]](#), [\[R96\]](#) for detailed documentation such as:


- BUSINESS CONTINUITY PLAN - Final report - (CCN-CSEC-BCP), [\[R91\]](#)
- Disaster Recovery Plan - Final report - (CCN-CSEC-DRP-FR-EN1.10), [\[R95\]](#)
- Business Continuity Plan - Roadmap - (CCN-CSEC-BCPRM), [\[R239\]](#)
- Business Impact analysis - (CCN-CSEC-BIA), [\[R93\]](#)
- Business Continuity Plan Guidelines - (CCN-CSEC-CTNPG), [\[R92\]](#)
- Business Contingency Plan Guidelines - (CCN-CSEC-CTGPG), [\[R81\]](#)
- Technical Note (Switch CBS) - (CCN-CTN-024), [\[R69\]](#)
- Technical Note (CCN TAXUD SWITCHING PROCEDURE DIGIT LUX<>BRU) - (CCN-CTN-025), [\[R69\]](#)

#### **6.5.1.3.9 Feasibility Studies linked to Infrastructure [\[As is CCN\]](#)**

The CCN/TC contractor may be requested to perform feasibility studies directly in relation with the CCN network.

As an example, the CCN/TC contractor has been asked to assess the migration of the current CCN Mail II infrastructure toward a centralised high availability solution. This solution will be integrated with the Tivoli management tool that is being currently deployed on CCN.

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Please refer to the CCN Mail III: Vision document, [\[R293\]](#)

#### 6.5.1.4 VOLUMETRIC [As is CCN]

The following volumetric data are applicable for 2010:

ID	Work Item	Volume Estimates
V.5.16	Number of CCN Sites	45 sites in 31 countries (including the two SPEED sites).
V.5.17	Number of CCN Gateways (running AIX OS)	116 CCN Gateways (running AIX OS) deployed in the national administrations and connected to the CCN network through leased lines.
V.5.18	Number of LCMS (mail servers)	37 LCMS (mail servers) deployed in the national administrations and connected to the CCN network through leased lines.
V.5.19	MB of CCN Messages exchanged	1020 Mio messages / year exchanged on the CCN network in 2010 corresponding to a volume of 2,6 Terabytes of application data and a total transmitted volume of 7,5 Terabytes.

Table 28: Volumetric Data CCN - ICT Infrastructure Management – (Service Block 5)

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## 6.6 Application Management – (Service Block 6)

### 6.6.1 Definition

The Application Management service covers all the required activities to manage the deployment and operations of the central services, applications and Service Management related tools<sup>26</sup>. Most of the applications of the customs, taxation and excise business threads have connectivity with the National Administrations and are considered as Trans-European Systems (**TES**).

Application Management has a direct association with other Service Blocks and processes such as incident, problem, configuration, release - cf. [6.5](#) – "ICT Infrastructure Management – (Service Block 5)" & [6.9](#) – "IT Service Management – (Service Block 9)".

Application Management also covers the applications of the ITSM Business Thread (i.e. Service Management Tools) - cf. [6.3](#) – "Tools supporting the Service Management – (Service Block 3)".

This Service Group covers the following services:

- Application Portfolio – cf. Section [6.6.1.1.1](#)
- Planning – cf. Section [6.6.1.1.2](#)
- Knowledge Management – cf. Section [6.6.1.1.3](#)
- Application Deployment – cf. Section [6.6.1.1.4](#)
- Conformance Testing – cf. Section [6.6.1.1.5](#)
- Operations and Business Monitoring – cf. Section [6.6.1.1.6](#)
- Resolve Incidents – cf. Section [6.6.1.1.7](#)
- Hot-Fixes – cf. Section [6.6.1.1.8](#)
- Meetings – cf. Section [6.6.1.1.9](#)

<sup>26</sup> Please note that distributed **TES** are covered by **Lot2** of this ITT.

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Please refer to

- ITSM Service Catalogue, [\[R3\]](#)
- ITS-IFQP-SC04-Framework Quality Plan, [\[R1\]](#)
- TMP-REF-APD - Application Development Reference Manual, [\[R8\]](#)
- The internal working procedures concerning testing, [\[R182\]](#)

### 6.6.1.1 AS IS SITUATION ITSM

#### 6.6.1.1.1 Application Portfolio [\[As is ITSM\]](#)

The ITSM contractor maintains the portfolio of applications as a specific domain of all Configuration Items (CI), which are to be managed by the ITSM contractor. All DG TAXUD applications are clustered into the following business threads: customs, taxation, excise and ITSM.

The current Application Portfolio for central applications is detailed in the "Split of CIs.xls", [\[R112\]](#). It is weekly updated from the CMDB and is online available on the ITSM Portal.

On request of DG TAXUD, the ITSM contractor maintains the architecture/framework/standard of reference for all applications to be managed by ITSM (including ITSM tools), building up a convergence path from legacy, which is sustainable for DG TAXUD IT and its multi-sourcing base, under the management of the CSIP. This deliverable is subject to review by the Member States.



Please refer to

- ITSM Framework Quality Plan, [\[R1\]](#)
- ITSM Service Catalogue, [\[R3\]](#)
- Application Portfolio, [\[R18\]](#)
- ITS-IRPT-ARD-001-WP-8-4-1-Architecture, [\[R108\]](#)

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#### 6.6.1.1.2 **Planning** [\[As is ITSM\]](#)

The activities linked to the deployments of applications are maintained by the ITSM contractor in the Installation and Testing Operational Planning (ITOP). This planning is build based on the demand management process - cf. [6.1](#) – "Project Management – (Service Block 1)" in place between DG TAXUD and the contractor.

The ITOP is delivered to DG TAXUD on a weekly basis via mail. For 2010, this Plan had +/- **1,300** lines.

Deployments that are more complex are supported by a specific deployment plan.



Please refer to:

- ITSM Framework Quality Plan, [\[R1\]](#)
- ITSM Service Catalogue, [\[R3\]](#)
- IWP : ITS-IPRC-182- \_ITOP\_procedure\_v0.10.doc, [\[R19\]](#)

#### 6.6.1.1.3 **Knowledge management** [\[As is ITSM\]](#)

Operational excellence can only be achieved when the contractor supports an effective knowledge management process. There are several inputs of knowledge to the Application Management team, but the most important ones are (1) the review of development deliverables and (2) the knowledge transfer in the context of an application deployment.

##### **Review of development deliverables**

The ITSM contractor reviews the technical and operational compliance/fitness for purpose/efficiency/effectiveness of the artefacts produced by the development contractor (X-DEV) in the context of system/application development (comprehensive set of documentation including requirements, specifications, design, architecture, test plans...).

This review process must feed the knowledge of the different team members involved in the various activities for which Application Management is responsible.

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This review also offers the opportunity to alert DG TAXUD in case severe defects are noticed during the review.

During 2010, the ITSM contractor reviewed 10652 pages, raised 510 comments and attended 14 review meetings.

### **Application deployment**

The development contractor must deliver all operational guides necessary to operate the applications e.g. Installation guide, Operational guide, operations training material, ... The contractor must also provide these deliverables for the Service Management tool - cf. [6.3](#) – "Tools supporting the Service Management – (Service Block 3)".

For new applications, specific knowledge transfer exercises are organised before and during the FAT (Factory Acceptance Tests) at the X-DEV contractor premises. The aim is to allow the ITSM contractor to get familiar with the new application before starting the PreSAT.

For standard releases or patches, the specific knowledge transfer is organised in the context of the PreSAT (Pre-Site Acceptance Tests) during which the development contractor is in direct contact with the operational contractor.

For major releases, the operational contractor can attend to training sessions organised by DG TAXUD for end-users or technical people.

### **Internal training**

The ITSM contractor trains the team on the deployed CI and must also ensure that the team acquires and maintains the necessary knowledge and documentations.

#### **6.6.1.1.4 Application deployment [As is ITSM]**

The contractor performs application deployments on request of the Commission following the demand management process as described under [6.2](#) – "IT Strategy/Conception/Evaluation – (Service Block 2)" & [6.8](#) – "Coordination with involved parties– (Service Block 8)". This activity covers deployments of new applications, new releases of it, service packs or patches. The deployment starts with a delivery from the X-DEV contractor and ends with a successful rollout in the production environment.

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A successful Factory Acceptance Testing (FAT) by the X-DEV contractor is a prerequisite for the Commission to submit a release/service pack/patch for deployment to the contractor.

As mentioned above it is important to acquire all required knowledge for the release to be deployed in order to perform the deployment activities as efficient as possible and to be able to provide the required level of service once the application is in production.

The deployment of the applications consists of the following set of activities:

- Prepare the environments and finalisation of the Infrastructure Requirement document (IRD);
- Finalisation of the Acceptance Test Plan (ATP);
- Conduct the PreSAT;
- Conduct Acceptance Testing (SAT);
- Conduct Qualification;
- Rollout the application.

Please note that a qualification can be performed in the context of SAT or as a stand-alone deployment activity. Furthermore, it should be noted that test applications such as TTA and TA, which are used to run conformance tests with the Member States, are rolled-out in the conformance environment and not in the production environment. Nevertheless, once installed in the conformance environment they are to be considered as 'operational' applications and are subject to the appropriate service level requirements.

**Prepare the environments and finalisation of the Infrastructure Requirement document (IRD)**

The preparation of the different environments is of high importance as the correct and swift installation of applications followed by the various testing activities depends on the availability of the different environments. The set-up and maintenance of the different environments can be time consuming as it can require the purchase of new COTS, new hardware, the intervention of other stakeholders, which are not under control of the ITSM contractor (DIGIT or CCN/TC), etc.

The following environments have to be created/maintained:

- Testing environment (PSAT, SAT and Qualification);

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- Training environment;
- Conformance environment;
- Production environment.

The ITSM contractor starts preparing the environments as early as possible. The specifications regarding the environment are delivered in the IRD (Infrastructure Requirement Document) by the X-DEV contractor to the ITSM contractor. These specifications are completed by the ITSM contractor with the various configuration items, which are specific to the IT infrastructure (e.g. Oracle DBMS specific configurations, Application Server specific configurations, etc.).

### **CCN/TC**

If CCN objects are impacted by the deployment (e.g. CCN queues, CCN user profiles), the contractor must start and complete the relevant request process with the CCN/TC contractor.

### **DIGIT**

When the application is hosted by DIGIT/DC (the data centre of the Commission), the contractor must liaise with DIGIT to specify and configure the monitoring environment, in accordance with the rule defined in the relevant OLA ("Extracts of the guidelines for the use of the Information System Hosting Services of the Data Centre" annexed in the "Documentation Baseline"), and if no such rule exists, by mutual agreement under the supervision of DG TAXUD (cf. [6.5](#) – "ICT Infrastructure Management – (Service Block 5)"). At minimum, the contractor has to:

- Provide DIGIT/DC with all hosting requirements, specifications and documentation as defined in the applicable hosting guidelines;
- Produce the hosting request on behalf of DG TAXUD to be forwarded to DIGIT/DC.

### **ITSM data centre**

The contractor must take equivalent internal steps as regards the deployment process in case the application is hosted internally (application hosted at ITSM data centre).



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Please refer to the:

- ITSM FQP - Annex 16: Release Management, [\[R1\]](#)
- ITSM Service Catalogue, [\[R3\]](#) (section 4.7.2.1).
- TMP-REF-APD Application Development Reference Manual, [\[R8\]](#) (section 4.4.1)

### **Test Design specifications and Test Plans**

The test scenario's and test cases are specified in different documents according to their category. The acronym TDS (Test Design Specifications) is the standard container acronym used by most of the applications followed by a sub-category acronym indicating the type of testing. Other applications use the legacy ATS (Acceptance Test Scenario's) and TST (Test plan) acronyms, which contain mainly functional test scenario's and test cases.

The table below depicts the existence of all the TDS (Test Design Specifications) or test plans (ATS and TST) for all the applications managed by DG TAXUD.

ID	Applications	TDS-FTS	TDS-PTS	TDS-S2STP	TDS-UITP	TDS-PTP	TDS-CTP	ATS	TST
		Functional Test Specification	Performance Test Specification	System to System Test Plan	User Interface Test Plan	Performance Test Plan	Conformance Test protocol	Acceptance Test Specification	Test Plan
<b><u>CIS</u></b>									
1	SUSP	√	-	√	√	-	-	-	-
2	CN	√	√	√	√	√	-	-	-
3	ART2	√	√	√	√	√	-	-	-
4	SMS	√	-	√	√	-	-	-	-
5	CRMS	√	√	√	√	√	-	-	-
6	EOS	√	√	√	√	√	√	-	-

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ID	Applications	TDS-FTS	TDS-PTS	TDS-S2STP	TDS-UITP	TDS-PTP	TDS-CTP	ATS	TST
		Functional Test Specification	Performance Test Specification	System to System Test Plan	User Interface Test Plan	Performance Test Plan	Conformance Test protocol	Acceptance Test Specification	Test Plan
7	DDS2-CM <sup>27</sup>	√	-	√	√	-	-	-	-
8	DDS2-SEED	√	√	√	√	√	-	-	-
9	DDS2-TARIC	√	√	√	√	√	-	-	-
10	DDS2-EOS	√	√	√	√	√	-	-	-
11	DDS2-SUSP	√	√	√	√	√	-	-	-
12	DDS2-SURV	√	√	√	√	√	-	-	-
13	DDS2-ECICS	√	√	√	√	√	-	-	-
14	DDS2-EBTI	√	√	√	√	√	-	-	-
15	DDS2-COL	√	√	√	√	√	-	-	-
16	DDS2-EMAP	√	√	√	√	√	-	-	-
17	DDS2-Transit MRN	√	√	√	√	√	-	-	-
18	DDS2-Export MRN	√	√	√	√	√	-	-	-
19	CS/RD	-	-	-	-	-	-	√	√
20	CS/MIS	-	-	-	-	-	-	√	√
21	STTA	-	-	-	-	-	-	√	√
22	TTA	-	-	-	-	-	√	√	√
23	ISPP	√	-	√	√	-	-	-	-
24	ECICS2	√	√	√	√	√	-	-	-
25	SURV2	√	-	√	√	-	√	-	-
26	QUOTA2	√	-	√	√	-	-	-	-

<sup>27</sup> DDS2 – CM acts as the common module for the other DDS2 domain modules (DDS2 – TARIC, DDS2 – ECICS,...)

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<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Application Management – (Service Block 6)</b>	

ID	Applications	TDS-FTS	TDS-PTS	TDS-S2STP	TDS-UITP	TDS-PTP	TDS-CTP	ATS	TST
		Functional Test Specification	Performance Test Specification	System to System Test Plan	User Interface Test Plan	Performance Test Plan	Conformance Test protocol	Acceptance Test Specification	Test Plan
27	EBTI3	√	-	√	√	-	-	-	-
28	TARIC3	√	√	√	√	√	√	-	-
29	CSI Bridge	-	-	-	-	-	-	-	-
30	HTTP Bridge	-	-	√ <sup>28</sup>	-	-	-	-	-
31	UM	√	-	√	√	-	-	-	-
<b><u>TAX</u></b>									
32	EoF (SCAC)	-	-	-	-	-	-	√	-
33	EoF-DT	-	-	-	-	-	-	√	-
34	EoF-DEF	-	-	-	-	-	-	√	-
35	GTT-EoF plug-in	-	-	-	-	-	-	√	-
36	GTT-ToS plug-in	-	-	-	-	-	-	√	-
37	GTT-VREF (plug-in)	-	-	-	-	-	-	√	-
38	TEDB-v2	-	-	-	-	-	-	√	-
39	TIN on the Web	-	-	-	-	-	-	√	-
40	VIA	-	-	-	-	-	-	√	-
41	VIIES Monitoring	-	-	-	-	-	-	√	-
42	VNA	-	-	-	-	-	-	-	-
43	VoeS Test Tool	-	-	-	-	-	-	√	-

<sup>28</sup> The execution of the TDS-S2STP for http Bridge is not automated as for the other applications.

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ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"


Section:Application Management – (Service Block 6)

ID	Applications	TDS-FTS	TDS-PTS	TDS-S2STP	TDS-UITP	TDS-PTP	TDS-CTP	ATS	TST
		Functional Test Specification	Performance Test Specification	System to System Test Plan	User Interface Test Plan	Performance Test Plan	Conformance Test protocol	Acceptance Test Specification	Test Plan
44	VoW App	-	-	-	-	-	-	√	-
45	VoW config	-	-	-	-	-	-	√	-
46	VoW Monit	-	-	-	-	-	-	√	-
47	VSS	-	-	-	-	-	-	√	-
48	VTA	-	-	-	-	-	-	√	-
<b><u>E-Customs</u></b>									
49	SPEED ECN	-	-	-	-	-	-	-	-
50	SPEED Bridge	-	-	-	-	-	-	-	-
<u>51</u>	SSTA	-	-	-	-	-	-	-	-
<b><u>Excise</u></b>									
52	SEED	-	-	-	-	-	√	√	√
53	TA	-	-	-	-	-	-	√	√
54	CS/MISE	-	-	-	-	-	-	√	√
55	EWSE	-	-	-	-	-	-	√	√
56	MVS	-	-	-	-	-	-	√	√
<b><u>ITSM Tools</u></b>									
57	HP SM including all modules and plug-ins	-	-	-	-	-	-	-	-
58	ITSM Portal - all modules and plug-ins	-	-	-	-	-	-	-	-

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<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Application Management – (Service Block 6)</b>	

ID	Applications	TDS-FTS	TDS-PTS	TDS-S2STP	TDS-UITP	TDS-PTP	TDS-CTP	ATS	TST
		Functional Test Specification	Performance Test Specification	System to System Test Plan	User Interface Test Plan	Performance Test Plan	Conformance Test protocol	Acceptance Test Specification	Test Plan
59	Availability Dashboard and AvDB	-	-	-	-	-	-	-	-
60	LDAP and UMT + MS Access Db	-	-	-	-	-	-	-	-
61	ITSM JIRA	-	-	-	-	-	-	-	-
62	CCN JIRA	-	-	-	-	-	-	-	-
63	CCN Web Portal	-	-	-	-	-	-	√	√
64	Tivoli (=MSTEA)	-	-	-	-	-	-	√	√
65	CCN LDAP and related tools	-	-	-	-	-	-	-	-
66	ACT	-	-	-	-	-	-	√	√

Table 29: Test Design specifications and Test Plans



Please refer to the:

- ITSM FQP - 7.4.1.7, [\[R1\]](#) WP.8.1.6 - Release Management
- ITSM FQP - Annex 22: Application Management, [\[R1\]](#)
- Please refer to the ITSM Service Catalogue, [\[R1\]](#) (section 4.7.2.2).
- TMP-REF-APD Application Development Reference Manual, [\[R8\]](#)

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### **Finalisation of the Acceptance Test Plan**

The X-DEV contractor prepares the Acceptance Test Plans (ATP) for the FAT activities, mainly proposing the scope of the testing. The scope covers as well functional as non-functional tests (e.g. security, performance, End to End ...). The ITSM contractor completes the ATPs with the most recent information prior to conducting the various activities. This involves reviewing them with the stakeholders, applying corrective actions and gaining approval.

Please note that, for the excise business thread applications, this is not applicable. For this business thread, each time a release or patch is delivered, the delivered TST plan to the ITSM contractor contains the applicable test cases to be executed.



Please refer TEMPO in [2.3](#) and to the Application Development Reference Manual, [\[R8\]](#)

### **Conduct the PreSAT**

#### ***Introduction***

After a successful FAT (Factory Acceptance Testing), the application has to go through PreSAT and SAT.

The aim of the PreSAT is to ensure that the release can be installed without issues and that the application runs without any problems. This must allow the ITSM contractor to continue with the SAT activities independently.

Consequently, the PreSAT involves all parties (the development contractor, the operational contractor & the QA contractor) who collaborate to complete the integration of the respective CI's until all tests specified in the ATP are concluded satisfactorily. These parties have the right and obligation to adjust the configuration items for which they are responsible during the PreSAT, in order to achieve full readiness for SAT.

#### ***Scope***

The scope of the PreSAT consists of:

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- The installation and configuration of the application (according to the Installation Guide);
- The execution of the automated test plans (if available as defined in the ATP);
- The execution of confidence testing (set of pre-defined tests in order to verify that the application is working fine as defined in the ATP);
- The verification of the correctness and completeness of the documentation used in the PreSAT.

### *Process*

The ITSM contractor organises and leads a kick-off meeting before starting the PreSAT. The other participants are DG TAXUD and third parties (QA and X-DEV).

The ITSM contractor installs the application and executes all the test cases/scenarios as agreed in the ATP (Acceptance Test Plan).

The ITSM contractor gets support from the development contractor (X-DEV) for the installation and the configuration of the application during the PreSAT if required.

The ITSM contractor informs on a daily basis (daily status e-mail) DG TAXUD on the progress of the various activities.

The ITSM contractor logs any event/deviation from the specifications and which causes or may cause disruption to or a reduction in the quality of the service. The ITSM contractor informs the development contractor (X-DEV) about the incidents logged on a daily basis.

The ITSM contractor must provide the development contractor with all the necessary information (logs, screenshots, steps performed when the incident was detected...) in order to allow the development contractor to make the analysis of the incident logged during the application test phase.

The ITSM contractor organises and leads the PreSAT closing meeting. The other participants are DG TAXUD and third parties (QA and X-DEV). The scope of the PreSAT closing meeting is to discuss the incidents logged during the PreSAT and to allow DG TAXUD to take the "go" or "no go" decision to continue with the SAT activities.

The execution of a PreSAT takes on average between 4 to 5 days.

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### *Interaction with stakeholders*

The following actors are involved in the PreSAT: DG TAXUD, ITSM, X-DEV, QA, CCN/TC, DIGIT.



Please refer to the:

- ITSM FQP, [\[R1\]](#) - 7.4.1.7 WP.8.1.6 - Release Management
- ITSM FQP, [\[R1\]](#) - Annex 22: Application Management
- ITSM Service Catalogue, [\[R3\]](#) (section 4.7.2.2).
- TMP-REF-APD Application Development Reference Manual, [\[R8\]](#)

## **Conduct Acceptance Testing (SAT)**

### *Introduction*

The successful outcome of the Site Acceptance Tests activities is the main condition to rollout the application release into production. The prerequisite is a successful PreSAT.

### *Scope*

The scope of the SAT consists of:

- The installation and configuration of the application (according to the Installation guide)<sup>29</sup>;
- The execution of functional testing;
- The execution of non-functional testing (Performance Testing, Security Testing, End-to-End Testing...);
- The execution of business test scenario's by the system owner;
- Verification of the correctness and completeness of the documentation used in the PreSAT.

<sup>29</sup> This step is skipped if it agreed with DG TAXUD to keep the PreSAT installation.



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### *Process*

The ITSM contractor organises and leads a kick-off meeting before starting the SAT. The other participants are DG TAXUD and third parties (QA and X-DEV).

The ITSM contractor executes the SAT in the presence of the QA contractor, using the agreed test plan/specifications (as specified in the ATP).

The ITSM contractor informs on daily basis (daily status e-mail) DG TAXUD on the progress of the SAT.

The ITSM contractor logs any event/deviation from the specifications and which causes or may cause disruption to or a reduction in the quality of the service. The ITSM contractor informs the development contractor (X-DEV) about the incidents logged on a daily basis.

The ITSM contractor must provide the development contractor with all the necessary information (logs, screenshots, steps performed when the incident was detected...) in order to allow the development contractor to make the analysis of the incident logged during the application test phase.

The ITSM contractor organises and leads the SAT closing meeting. The other participants are DG TAXUD and third parties (QA and X-DEV). The scope of the SAT closing meeting is to discuss the incidents logged during the SAT and to allow DG TAXUD to take the "go" or "no go" decision for the roll-out of the release in the production environment.

### *Interaction with stakeholders*

The following actors are involved in the SAT: DG TAXUD, ITSM, X-DEV, QA.



Please refer to the:

- ITSM FQP, [\[R1\]](#) - 7.4.1.7 WP.8.1.6 - Release Management
- ITSM FQP, [\[R1\]](#) - Annex 22: Application Management
- ITSM Service Catalogue, [\[R3\]](#) (section 4.7.2.2).
- TMP-REF-APD Application Development Reference Manual, [\[R8\]](#)

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TAXUD - ITSM2 – <u>ANNEX II</u> – SERVICE REQUIREMENTS:	
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## **Conduct Qualification**

### ***Introduction***

The Qualification process is a formally defined series of tests by which the functional, environmental, and reliability performance of a component or system may be evaluated in order to satisfy the engineer, contractor, or owner as to its satisfactory design and construction.

The Qualification activity is mainly used for the acceptance of releases or patches delivered in the scope of maintenance. It is restricted to software deliveries or data updates scripts addressing a limited number of problems possessing well-defined and relatively straightforward solutions. Corrective changes to the application are delivered when allowed and approved by DG TAXUD.

### ***Scope***

The scope of the Qualification consists of:

- The installation of the patch;
- The verification of the correct implementation of the incidents as specified in the release note – ATP.

### ***Process***

The ITSM contractor installs the patch and executes all the test cases/scenarios as agreed in the ATP (Acceptance Test Plan).

The ITSM contractor logs any event/deviation from the specifications and which causes or may cause disruption to or a reduction in the quality of the service. The ITSM contractor informs the development contractor (X-DEV) about the incidents.

The ITSM contractor must provide the development contractor with all the necessary information (logs, screenshots, steps performed when the incident was detected...) in order to allow the development contractor to make the analysis of the incident logged during the application test phase.

### ***Interaction with stakeholders***

The following actors are involved in a qualification: DG TAXUD, ITSM, X-DEV, QA.

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Please refer to the:

- ITSM FQP, [\[R1\]](#) - 7.4.1.7 WP.8.1.6 - Release Management
- ITSM FQP, [\[R1\]](#) - Annex 22: Application Management
- ITSM Service Catalogue, [\[R3\]](#) (section 4.7.2.2).
- TMP-REF-APD Application Development Reference Manual, [\[R8\]](#)

### **Rollout the application**

The ITSM contractor must set up and configure the production environment including related activities such as monitoring and collecting statistics.

An entry into operation of an application is subject to the preliminary approval of the Commission, delivered based on the result of the acceptance testing (SAT) or the Qualification.

The rollout includes the activities needed to make the application available for the business users in the production environment. These activities can vary from a simple release deployment taking a few minutes to a complex deployment taking several hours. The latter can be the case when a new application replaces an existing one requiring an important downtime due to data conversion activities.

Once all installation activities are completed, confidence tests are performed before giving the "go live" signal to the business owners.

If there is a problem with the “go live” of the application, the ITSM contractor, in agreement with DG TAXUD, may start the launch of the roll-back plan in order to come back to the situation prior to the installation in production.


### **Complex deployment**

The deployment of new application and/or major releases of existing applications can be a complex process. These deployments are supported by a dedicated team that is involved in the project as early as possible and performs the following tasks:

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<b>Section:Application Management – (Service Block 6)</b>	

- Produce and maintain the deployment plan. This document can be considered as the roadmap to follow when deploying the application;
- Act as the main contact point for the DG TAXUD Application Portfolio Management team;
- Coordinate all required activities with the different stakeholders (internal ITSM teams, CCN/TC, DIGIT, etc.).

TARIC3 and DDS2 (both having been deployed in 2010), can be taken as examples of complex deployments.



Please refer to the:

- ITSM FQP, [\[R1\]](#) - WP.8.1.6 - Release Management
- ITSM FQP, [\[R1\]](#) - Annex 22: Application Management
- Please refer to the ITSM Service Catalogue, [\[R3\]](#) (section 4.7.2.2)
- Example Deployment plan, [\[R188\]](#)

### **Volumetric**

The table below details the number of PreSATs/SATs, Qualifications and Hot-Fixes executed in 2010.

#	Applications	2010		
		PSAT/SAT	Qualification	Hot-Fix
<b><u>Customs</u></b>				
1	SUSP	2	0	0
2	CN	2	1	2
3	ART2	7	2	6
4	SMS	1	1	0
5	CRMS	3	8	9
6	EOS	3	9	7

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<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Application Management – (Service Block 6)</b>	

#	Applications	2010		
		PSAT/SAT	Qualification	Hot-Fix
7	DDS2-CM <sup>30</sup>	2	0	0
8	DDS2-SEED	1	1	0
9	DDS2-TARIC	12	12	0
10	DDS2-EOS	2	2	0
11	DDS2-SUSP	3	2	0
12	DDS2-SURV	2	4	0
13	DDS2-ECICS	2	2	0
14	DDS2-EBTI	2	4	0
15	DDS2-COL	1	0	0
16	DDS2-EMAP	1	1	0
17	DDS2-Transit MRN	1	0	0
18	DDS2-Export MRN	1	1	0
19	CS/RD	5	5	0
20	CS/MIS	7	2	0
21	SSTA	0	0	0
22	TTA	3	1	0
23	ISPP	1	0	1
24	ECICS2	3	5	0
25	SURV2	3	0	0
26	QUOTA2	2	3	2
27	EBTI3	0	0	0
28	TARIC3	30	14	7

<sup>30</sup> DDS2 – CM acts as the common module for the other DDS2 domain modules (DDS2 – TARIC, DDS2 – ECICS,...)

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<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Application Management – (Service Block 6)</b>	

#	Applications	2010		
		PSAT/SAT	Qualification	Hot-Fix
29	CSI Bridge	0	3	0
30	HTTP Bridge	0	5	0
31	UM	0	1	0
<b><u>Taxation</u></b>				
32	EoF (SCAC)	0	0	0
33	EoF-DT	5	1	0
34	EoF Recovery	4	1	0
35	GTT-EoF plug-in	0	0	0
36	GTT-ToS plug-in	0	0	0
37	GTT-Vref plug-in	0	0	0
38	TEDB-v2	5	4	0
39	TIN on the Web	0	0	0
40	VIA	0	0	0
41	VIES Monitoring	0	0	0
42	VAT Number Algorithms (VNA)	0	0	0
43	VoeS Test Tool	0	0	0
44	VoW App	0	2	0
45	VoW config	0	0	0
46	VoW Monit	0	0	0
47	VSS	2	2	0
48	VTA	0	1	0
<b><u>E-Customs</u></b>				
49	SPEED ECN	0	0	0

<b>TAXUD/R5 – INVITATION TO TENDER TAXUD/2010/AO-13</b>	<b>REF: ITSM2-Lot1-As is</b>
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<b>ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"</b>	
<b>Section:Application Management – (Service Block 6)</b>	

#	Applications	2010		
		PSAT/SAT	Qualification	Hot-Fix
50	SPEED Bridge	0	0	0
51	STTA	3	0	0
<b><u>Excise</u></b>				
52	SEED	2	2	3
53	TA	3	3	0
54	CS/MISE	3	2	0
55	EWSE	1	0	0
56	MVS	1	0	0
<b><u>ITSM Tools</u></b>				
57	HP SM including all modules and plug-ins	0	0	0
58	ITSM Portal - all modules and plug-ins	1	1	2
59	Availability Dashboard and AvDB	0	0	0
60	LDAP and UMT + MS Access Db	0	0	0
61	ITSM JIRA	0	0	0
62	CCN JIRA	0	0	0
63	CCN Web Portal	0	0	0
64	Tivoli (=MSTEA)	2	0	0
65	CCN LDAP and related tools	0	0	0
66	ACT	2	0	1
<b>Total</b>		<b>136</b>	<b>108</b>	<b>40</b>

Table 30: Metrics - Number of PreSATs/SATs, Qualifications and Hot-Fixes

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ANNEX II.A.1: LOT1: TECHNICAL SPECIFICATIONS: - "As is description"	
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#### **6.6.1.1.5 Conformance Testing [As is ITSM]**

##### ***Introduction***

When a given application has a system-to-system interface implementation, which can/must be used by the National Administrations, conformance testing can be organised between a specific National Administration and the ITSM contractor.

The type of tests to be performed depends on the type of interface/protocol, which is implemented: push, pull or request/reply.

##### ***Scope***

The scope of the conformance tests consists of executing the agreed set of conformance test scenarios and test cases.

##### ***Process***

The ITSM contractor organises and leads a kick-off meeting before starting the conformance testing. The other participants are DG TAXUD, the concerned National Administration and third parties (QA and X-DEV).

The National Administration performs the agreed test in collaboration with the ITSM contractor.

The ITSM contractor informs on a daily basis (daily status e-mail) DG TAXUD on the progress of the conformance testing.

The ITSM contractor logs any event/deviation from the specifications and which causes or may cause disruption to or a reduction in the quality of the service. The ITSM contractor informs the development contractor (X-DEV) about the incidents logged on a daily basis.

The ITSM contractor must provide the development contractor with all the necessary information (logs, screenshots, steps performed when the incident was detected...) in order to allow the development contractor to make the analysis of the incident logged during the application test phase.

The ITSM contractor organises and leads the conformance testing closing meeting. The other participants are DG TAXUD, the concerned National Administration and 3<sup>rd</sup> parties (QA and X-DEV). The scope of the SAT closing meeting is to discuss the incidents logged during the test campaign.

##### ***Interaction with stakeholders***



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The following actors are involved in conformance testing: DG TAXUD, the involved National Administration, ITSM, X-DEV, QA.

#### 6.6.1.1.6 Operations and Business Monitoring [As is ITSM]

The ITSM contractor operates all the applications as listed in the "Spilt of CIs.xls", [\[R112\]](#). Some of these applications are hosted by the ITSM contractor but most of them are hosted at the European Commission DIGIT Data Center. The contractor has specific interconnectivity (VPN) over internet with DIGIT in order to operate the applications hosted at the DIGIT Data Center.

The ITSM contractor prepares/adjusts all services to support the deployment and operation of systems, applications or new releases of them, e.g. configuration to monitoring tools, etc... All deployments are done outside of working hours, except when an explicit authorisation from the CI owner is obtained.

Operations also covers the implementation of recovery plans in case of crisis.

The ITSM Contractor monitors the business usage of all the CIs, e.g. number & nature of the business transactions on DG TAXUD IT applications and across the **TES**, number of messages, of hits, connected users, volumes exchanged, load profile, compliance of the users activity with expectation and agreed plans, etc.

The ITSM Contractor uses the monitoring IT services provided by each application and **TES**, as well as the monitoring information and services provided by CCN.

The ITSM Contractor alerts the availability process of any business trend, which suggests an unavailability and raises an incident in case of deviations from the expected behaviour.

Monitoring runs attended during the working hours of the Service Desk and is left unattended outside this period.

The ITSM Contractor compiles business reports with business usage statistics and analysis of abnormal business trends. Compilation can be daily, weekly or monthly.

Monthly reporting on the activity is done via the MPR/MSR.

#### Volumetric

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During 2010 the following conformance test campaigns have been performed for the following applications. Every quantity counts for 1 test campaign for 1 Member State:

<b>Applications</b>	<b>Conformance tests (2010)</b>
<b><u>Customs</u></b>	
EOS	6
QUOTA2	0
SURV2	0
TARIC3	10

Table 31: Conformance tests volumetric 2010

#### **6.6.1.1.7 Resolve incidents [As is ITSM]**

Any application is subject to potential incidents/problems. This technical support covers as well technical as business related issues. The Application Management team is involved at second/third level when the Service desk is unable to resolve the incident. Experience shows that the period immediately after the production date (after-care) is candidate for more incidents.

This period can vary from some days to several weeks. Furthermore, applications, which are considered as critical and more complex (such as TARIC3, Quota2, EOS, DDS2), require more specific knowledge than other applications which are considered standard.

The ITSM contractor escalates the incidents that could not be resolved to the X-DEV contractor. Nevertheless, DG TAXUD expects that a maximum of incidents/problems be resolved by the ITSM contractor avoiding additional work to be performed by DG TAXUD staff or by another contractor. An efficient knowledge management is crucial to reach this objective (see above).

The incidents causing an interruption of the service, which could not be solved by the ITSM contractor and for which no work around was identified, may result in the delivery of a Hot-Fix by the X-DEV contractor.



Please refer to:

- ITSM FQP, [\[R1\]](#) - 7.4.1.3 WP.8.1.2 - Incident Management
- ITSM Service Catalogue, [\[R3\]](#)

#### 6.6.1.1.8 Hot-fixes [\[As is ITSM\]](#)

Hot-Fixes and/or data patches cannot be planned and hence, cannot be listed in the ITOP. They are delivered on an ad-hoc basis.

The Hot-Fixes must follow the Qualification process.

The purpose of the Hot-Fix qualification is to test a limited number of functionalities in a limited period of time, other types of testing such as regression, performance...are not performed during the qualification. The qualification of the Hot-Fix is performed in the SAT environment.



Please refer to the:

- ITSM FQP, [\[R1\]](#) - 7.4.1.7 WP.8.1.6 - Release Management
- ITSM FQP, [\[R1\]](#) - Annex 22: Application Management
- Please refer to the ITSM Service Catalogue, [\[R3\]](#) (section 4.7.2.2).

#### 6.6.1.1.9 Application Management Meetings [\[As is ITSM\]](#)

The Application Management team is/can be involved in:

- Technical Monthly Meetings organised by DG TAXUD specifically for the customs, taxation and excise business threads;
- Quarterly Technical Meetings organised by DG TAXUD for the customs applications portfolio;
- Ad hoc technical meetings called by DG TAXUD;
- CABs; ...

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### 6.6.1.2 VOLUMETRIC [As is ITSM]

The following volumetric data are applicable for 2010:

<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
V.6.1	Pages from 3 <sup>rd</sup> party reviewed	10652
V.6.2	Comments issued	510
V.6.3	Review meetings	14

Table 32: Volumetric Data ITSM - Application Management – (Service Block 6)

### 6.6.1.3 AS IS SITUATION CCN

 This Service Block is not relevant to CCN as it is limited to ITSM services only, in consequence the "As is CCN" section of this chapter is missing.

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## 6.7 CCN Operations – (Service Block 7)

### 6.7.1 Definition

This Service Group covers the following services:


- Coordination with other contractors and third parties – cf. Section [6.7.1.2.1](#)
- Testing (PSAT / SAT) of Applications & Service Management related applications and tools – cf. Section [6.7.1.2.2](#)
- Operations of Applications & Service Management related tools & CCN Sites – cf. Section [6.7.1.2.3](#)
- Deployment & Maintenance of CCN sites – cf. Section [6.7.1.2.4](#)
- Technical Support of Applications & Service Management related tools & CCN sites – cf. Section [6.7.1.2.5](#)
- Availability & Capacity & Continuity Management for Applications & Service Management related tools & CCN Sites – cf. Section [6.7.1.2.6](#)
- Optimise Applications and Service Management related tools & CCN sites – cf. Section [6.7.1.2.7](#)

#### 6.7.1.1 AS IS SITUATION ITSM

ITSM participates to monthly multilateral meetings organised with CCN/TC. The ITSM contractor is represented there by both an Infra and AM representative.

ITSM is responsible to stay informed about CCN/TC major activities. Towards the sectors, ITSM provides information CCN/TC activities during regular meetings - and raises awareness when CCN/TC activities could coincide with project activities of the BTs.

ITSM Application Management pre-validates ACF configuration files that are provided by the NAs (not X-DEV), before forwarding them to CCN/TC. This will be automated in the future application configuration tool (ACT) which is being developed at the time of writing.

 This Service Block is limited to CCN; in consequence further description of the "As is ITSM" is not relevant.

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### 6.7.1.2 AS IS SITUATION CCN



Please refer to the following documents:

- How to get SPEED Statistics and integrate them in the excel sheet, [\[R246\]](#)
- Web Portal Statistics Quick Reference, [\[R247\]](#)
- SPEED infra access – How to use KVM, [\[R248\]](#)
- SPEED Bridge server Operators Guide, [\[R249\]](#)
- SPEED Infrastructure Administration, [\[R250\]](#)
- SAR Generation tool, [\[R251\]](#)
- CCN/TC on duty tasks, [\[R252\]](#)
- CCN Unavailability and notification rules, [\[R253\]](#)
- Operation manual for statistics, [\[R254\]](#)
- Portal DB Replication, [\[R255\]](#)
- ACT DB Installation, [\[R256\]](#)
- How to grant Tivoli access to a member state, [\[R257\]](#)
- Tivoli Webstart configuration using ITM 6.2.1, [\[R258\]](#)
- Remove A Gateway In The ccn.ini, [\[R259\]](#)
- Portal - User Reporting Configuration, [\[R260\]](#)
- Post-Staging Gateway CCN Under Linux Redhat AS4-UP5, [\[R261\]](#)
- Procedure to move an LCMS, [\[R262\]](#)
- Replacing a cache battery on CCNTC SAN, [\[R263\]](#)
- Install Legato client, [\[R265\]](#)
- How to Perform the Basics on the SAN, [\[R266\]](#)
- How to remove an obsolete SSG cluster from NSM, [\[R267\]](#)
- CCN Training checklist, [\[R268\]](#)
- SPEED - Security Impact Analysis, [\[R269\]](#)
- Password Compliance Check Report, [\[R270\]](#)
- CCN/CSI Security Risks Assessment, [\[R271\]](#)
- CCN Mail2 Phase I: Webmail User Guide, [\[R272\]](#)
- CCN Configuration & Automation - Vision Document, [\[R273\]](#)
- Password Compliance Activity - Status Report, [\[R274\]](#)
- Supplementary Specifications - CCN Configuration, [\[R275\]](#)

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#### 6.7.1.2.1 Coordination with other contractors and third parties [As is CCN]

In its day-to-day operation, the CCN/TC contractor is responsible together with DG TAXUD to manage contact lists in which all application support centres, external contractors and national technical representatives are registered. This list is used by the operations, support team and DG TAXUD to notify the CCN community about CCN events. Coordination between different lots involved in the scope of the requested services is a key activity to improve and to streamline the activities, which are carried out by different entities. From the Commission view point, this activity is key to ensure that the whole range of cascading activities are managed in an efficient and optimised way to achieve the outcome within the agreed planning. Coordination activities with contractors cover multiple subjects such as:

- Exchange of information and knowledge transfer related to the application specification, statistics, security related issues, maintenance or testing issues, consistency, security and interoperability throughout all the developed applications, technical architecture and design harmonisation, etc...
- List of problems and issues to be addressed and requiring co-ordination between the contractors;
- Verification and/or clarification of the technical conformity of the deliverables, including the system design and specifications initiated by the development contractors.

The CCN/TC contractor coordinates set up, deployment, and upgrade activities with the relevant contractors (ITSM, CCN-WAN), DG TAXUD and third parties (OLAF, DG DIGIT) in order to agree on a shared and efficient plan, working procedure and methods as well as to minimise the system downtime on CCN. For example, the CCN/TC contractor coordinates activities with other contractors and third parties involved in CCN such as:

- Deployment of new CCN releases on the CCN gateways which require coordination with the ITSM contractor, DG TAXUD (and NAs);
- Move of CCN infrastructure to DMZ zone in the Data centre in Lux. requires coordination with DG DIGIT;
- Upgrade of the CCN line bandwidth requires coordination with the CCN-WAN contractor;
- Deployment of a new CCN site requires coordination with the CCN-WAN contractor and ITSM contractor, the roll-out of the hardware components and the upgrade of the software products;

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- Co-ordinating the tasks between the ITSM contractor and the CCN/TC by informing the CCN/CSI community about the scheduled maintenance activities resulting in unavailability of a given site;
- Coordination of testing activities and low-level design for new developments;
- Setting up new application domains.

The CCN/TC contractor delivers statistics and monitoring information to various entities such as the ITSM application helpdesk. The CCN/TC coordinates with the ITSM contractor so that the received information is then processed by locally developed applications and tools.



More detailed information in:

- Gateway management procedures, [\[R51\]](#)
- The Framework Quality Plan, [\[R2\]](#)

#### **6.7.1.2.2 CCN Framework Testing (PSAT / SAT) of Applications & Service Management related applications and tools [\[As is CCN\]](#)**

After developing new software or applications (tools) – cf. [6.3](#) – "Tools supporting the Service Management – (Service Block 3)" or upon request of DG TAXUD, the CCN/TC contractor provides testing activities. An example of applications and/or tools that have been recently developed by the CCN/TC can be depicted as follow:

- CSI stack (C and Java languages);
- CCN tools to collect stats and audit files on the CCN gateways;
- Qbrowser (Queue management tool);
- CCN application configuration tool;
- Development of new CCN software release;
- Tools to measure the performance of the CCN infrastructure;
- Tool to implement "ageing" mechanisms for the LDAP entries.



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The PSAT is performed in the test environment set up at the CCN/TC testing environment. Once the pSAT tests are performed, and demonstrated that the test reports did not show any blocking bugs, the CCN/TC contractor starts the Site Acceptance Test (SAT) phase on the CCN/TC dedicated testing environment.

Prior to starting, the CCN/TC contractor provides DG TAXUD with the test plan and test scenarios that will be used during the SAT. These will be provided at the time of the PSAT. Once these documents have been accepted, the CCN/TC contractor conducts the SAT in the test environment. Note that the PSAT and SAT testing operations are witnessed by the QA contractor who submits to DG TAXUD a test assessment report. DG TAXUD can therefore decide either to accept or to complete the tests campaign with additional test cases until such a time that the CCN/TC contractor delivers the expected quality level.

The structure of the test plan, which is delivered to DG TAXUD, contains at least:

- A Timetable for the testing activities;
- Testing requirements, specifications (testing approach, description of the testing environment, definition of the content of the test report expected at the end of each testing activity);
- The test data;
- Software used to run the tests;
- Test Procedures, Test Cases; including the input data to be used and expected output as well as the procedures to run the tests;
- Forms used during testing (e.g. Log of Tested Item(s), Known Bugs Forms);
- The test scenarios as agreed with DG TAXUD and according to the scope of the activity.

DG TAXUD may require the QA contractor to perform the SAT for the purposes of quality assurance and quality control.

After the acceptance of the SAT report by DG TAXUD, the CCN/TC contractor provides an executive summary report on all test phases (PSAT and SAT). The contents of this report is composed mainly of a summary of the test results, bugs found to be addressed by the CCN/TC contractor in the context of the corrective maintenance activities.

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More detailed information in:

- CCN/CSI Framework Quality Plan, [\[R2\]](#)
- Working Procedure for Test Management, [\[R73\]](#)

### 6.7.1.2.3 Operations of Applications & Service Management related tools & CCN Sites [\[As is CCN\]](#)

#### **Operation of the CCN sites and applications**

The figure below depicts a current CCN/CSI site configuration. The CCN/TC contractor is responsible for its operation. Typically, this configuration is installed in the national administration, at the ITSM contractor premises and in some other DGs hosting a CCN infrastructure (DG DIGIT, OLAF) knowing that the CCN/TC contractor must host, install, configure, operate, monitor and administer the necessary infrastructure in his premises for the successful execution of all tasks under his responsibility.

The SPEED infrastructure is also (partly) operated by the CCN/TC contractor. A description of the SPEED infrastructure is described in [6.5](#) – "ICT Infrastructure Management – (Service Block 5)".

The services are also extended to meet and serve the operational needs for other associated national administrations in the scope of the enlargement activities to new candidate countries.

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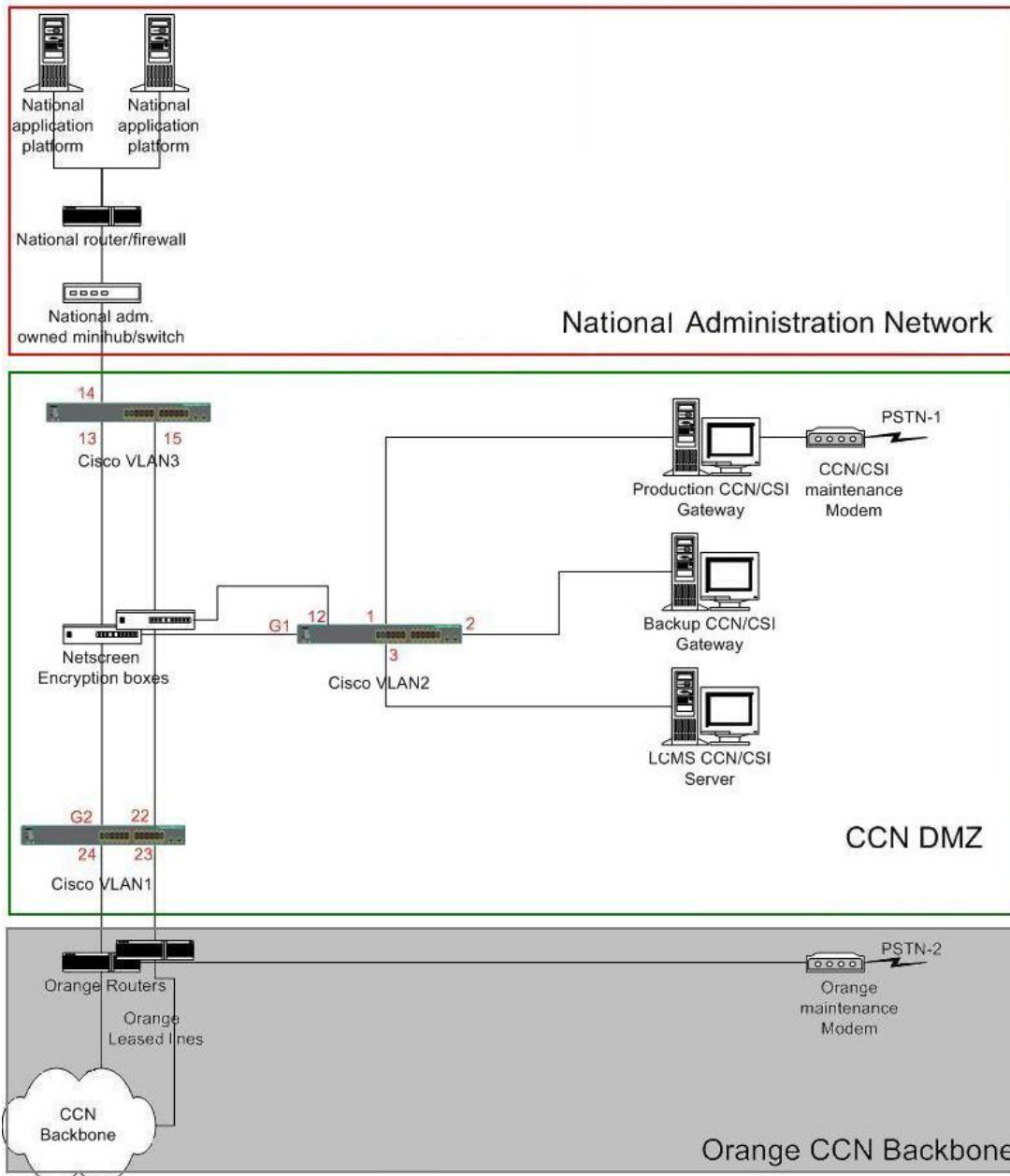


Figure 18: Current CCN/CSI site configuration



The attention is drawn to the fact that Commission is the owner of the existing CCN gateways, LCMS (mail servers), the encryption devices and the Cisco switches located at the national administration premises.

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It must be noted that the provision and maintenance of the encryption devices and the end-to-end routers remains under the responsibility of the CCN-WAN contractor; however, the CCN/TC contractor is operating these services at its premises and in the national administrations. To do so, it uses the Juniper NSM management software.

The LCMS (CCN-Mail2) servers are being replaced – as indicated in the previous Service Blocks – by a centrally deployed and operated mail infrastructure based on Microsoft Exchange Server 2010.

In the day-to-day CCN operation, the CCN/TC contractor encompasses several activities related to the operations and support related services. Some of the main activities are summarised hereafter (refer also to [6.4](#) - "Service Desk – (Service Block 4)" for further details):

- Operating the CCN/TC service desk;
  - Proactive monitoring of the CCNCSI services and the CCN sites;
  - Daily, weekly and monthly statistics;
  - Training/consultancy services;
  - "Consultancy" service;
  - Managing the procurement;
  - Managing supporting processes.
- a. **Operating the CCN/TC service desk ([6.4](#) – "Service Desk – (Service Block 4)"):** The CCN/TC provides the appropriate and efficient support for the all the CCN/CSI services, in particular the first level support, the incident handling, the notification and administration services. The incidents reported by the CCN/TC contractor are categorised as reported in the [6.4](#) – "Service Desk – (Service Block 4)" related to service desk. Amongst others, incidents can be related to the following Configuration Items (CI):
- The software running on the encryption devices (maintained by the CCN-WAN contractor);
  - The system and communication software running on the gateways and on LCMS: Operating System, basic communication software such as TCP/IP, configuration files, etc...
  - The third party software running on the gateways (in collaboration with the supplier of this software) such as Tuxedo, MQSeries, Sun ONE Directory Server, Postgresql, Apache, etc...

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- The CSI software being carried on the various applicative platforms connected to the CCN network (UNIX, Windows 32bits, 64 bits; Linux Redhat...);
- CCN hardware infrastructure related issues – cf. [6.5](#) – "ICT Infrastructure Management – (Service Block 5)".

When an incident occurs, the situation is investigated by the CCN/TC contractor in order to restore the operational CCN/CSI services (if needed) and to find the root cause of the incident.

On an operational level, the CCN/TC Service Desk acts as a Single Point of Contact (SPOC) to the CCN/TC registered users, dispatches the requests to the appropriate CCN/TC operational teams who implement the Service Delivery and Service Support activities.

- b. The CCN/TC contractor provides **proactive monitoring** ([6.9](#) - "IT Service Management – (Service Block 9)" of the CCNCSI services and the CCN sites of all the equipment installed across all the CCN national administrations sites (security devices, switches, gateways...). All CCN components (CI) are registered into a CMDB and associated with the security classification of the information asset they support.

The CCN/TC contractor notifies the CCN/CSI National Administration teams (or any other related team) and the Application Technical Centres of any urgent information. He also acts as an information-dispatching centre for the CCN/CSI community. Further information is provided in service [6.5](#) – "ICT Infrastructure Management – (Service Block 5)".

- c. The CCN/TC contractor provides **daily, weekly and monthly statistics** on CCN availability and volume exchanged between the national administrations. The monitoring of the CCN gateway components, the LCMS as well as the CCN statistics is made available through the CCN Web Portal. This requires that the CCN Statistics chain on the CCN gateways & servers be regularly reviewed to reflect changes that are triggered by the users and the business requirements/needs. Examples of the traffic generated by the LCMS, are the requirements to:
- Update the local and central statistic databases' schemas to contain the LCMS traffic;
  - Review the extraction process to generate new statistics files related to the LCMS traffic;
  - Update the dispatching mechanism in order to propagate the LCMS statistics files to the central CCN gateways for consolidation;
  - Modify the statistics publication (on-line reporting & Excel sheets) on the web portal.

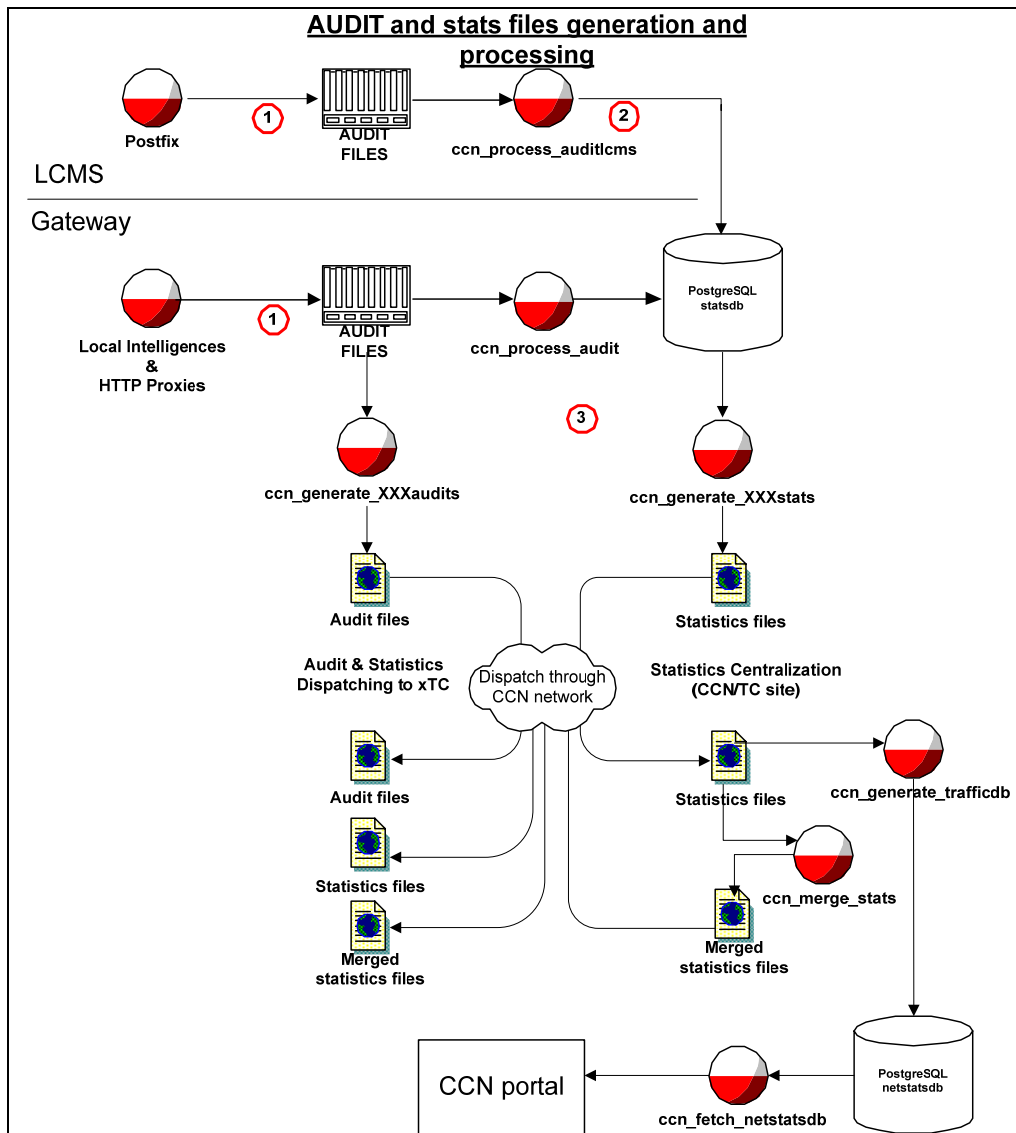


Figure 19: CCN Audit and Stat processing

The CCN/TC contractor provides, as a minimum, the following types of statistic reports:

- Daily Service Report (Availability + Traffic + Incident);
- Weekly activity report (WAR) reporting the number of open and close incident during the reporting week;
- Monthly CCN Statistics Report;
- Monthly CCN Service Level Report;
- Reports related to CCN related services (e.g. Monthly Activity Reports, Training Reports, Incident Statistics, etc.).

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- d. The CCN/TC contractor provides **training services** (cf. [6.12.1.3.2](#) – "Trainings & Workshops & demonstrations [[As is CCN](#)"]") in addition to the default team necessary for the day-by-day operations of the CCN infrastructure. The training services cover the design, preparation, and execution of training courses, related to the CCN/CSI system.
- e. The CCN/TC contractor provides "**consultancy**" services which can be requested for the following subjects being operated on a daily basis by the CCN/TC contractor:
- General information on the CCN/CSI system;
  - Correct usage of the CCN/CSI interfaces;
  - Assistance to the design of a CCN/CSI user application (the CCN/TC however does not debug applications using CCN/CSI);
  - Support for validation of a CCN/CSI user application architecture;
  - CSI stack validation;
  - Definition of the network infrastructure needed to participate in CCN/CSI;
  - Modification of the CCN/CSI architecture;
  - Implementation of the CCN/CSI Security Policy;
  - Administration and configuration of the local CCN infrastructure, which is operated by the local national dedicated staff.
- f. The CCN/TC contractor manages the **procurement of CCN assets** ([6.1](#) - Project Management – (Service Block 1)); this activity is carried out within the framework of the evolutive maintenance of the hardware and software base composing the CCN/CSI infrastructure. The objectives are to deliver the appropriate dimensioning of the CCN gateways and to guarantee sufficient performance to cope with the continuous increase of the volume of CCN traffic.
- g. The CCN/TC contractor is also **responsible to manage** the following processes - cf. [6.5](#) – "ICT Infrastructure Management – (Service Block 5)":
- **Availability management** - [6.9](#) – "IT Service Management – (Service Block 9)" where the main service that the CCN/TC contractor delivers is to ensure that the CCN/CSI system is “up and running” at the required availability level;
  - **Contingency management** - [6.9](#) – "IT Service Management – (Service Block 9)" related to items such as:
    - Software backup of CCN gateways (at every site);
    - Central CCN multimode backup system (at the CCN/TC contractor premises);

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- Availability (at the CCN/TC contractor premises) of contingency CCN gateway ready to be shipped;
- Redundant encryption device (at critical sites);
- Cold switching capabilities between production and backup gateways (at every site equipped with a pair of gateways);
- Spare units for hardware devices (available at the CCN/TC contractor premises);
- Assistance in installation and configuration of CCN/CSI items in the common domain;
- Recovery procedures;
- **Application Configuration management** - This service concerns the management of configuration data, required by CCN/CSI application). These configuration data are stored in the central CCN/CSI Directory. The central CCN/CSI Directory management is shared between the CCN/TC contractor and the National Administrations. Each National Administration is in charge of the management of its local CCN/CSI users. The rest is managed by the CCN/TC contractor. Examples of configurations service request are definition of a local admin profile, Registration of an application service and application queues; Registration of administration roles; etc...
- **Capacity management - 6.9** – "IT Service Management – (Service Block 9)"of the CCN infrastructure, which mainly focuses on new requirements about the infrastructure in terms of features and behaviour as well as on traffic increase on the backbone. This activity results in recommendations about the usage of critical components such as the CCN gateways, the LCMS and the CCN-WAN. The CCN Capacity Planning reports provide the necessary information to enable DG TAXUD to decide, with confidence which components to upgrade (e.g.: more memory, faster storage devices, faster processors, greater bandwidth)
- **Security Management - 6.10** – "Security Management – (Service Block 10)", the CCN/TC contractor ensures that the following requirements are met on a day to day operation:
  - Ensuring that security policies are implemented and maintained;
  - Escalate any security incident to the Commission and take the appropriate measures to solve any potential security issue which could compromise the confidentiality, the integrity or the availability of information technology infrastructure;



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- Coordinating the security with the various stakeholders involved in CCN/CSI.

Once a year, the CCN/TC contractor is assigned the task of launching a security campaign to detect and to remedy any security breaches in the national administrations. It also intends to ensure their compliance with the basic CCN/CSI security rules. Amongst others, the requested tasks aim at ensuring that security policies are implemented and where relevant providing advices and recommendations and reporting weakness on actual or potential security incidents. The security campaign ensures that appropriate security training & awareness program are developed and maintained and better coordination with the project stakeholders involved in CCN/CSI

- The CCN/TC contractor maintains the whole CCN technical documentation (i.e. technical document, user guides, frequently asked questions, newsletters, upcoming events, etc.) up-to-date and available at the CCN/TC, which acts as Documentation Centre.

This includes the documentation related to the CCN/CSI infrastructure (Tuxedo, MQSeries, Gateways, LCMS, CSI software, etc.) and the CCN/TC (procedures, reports, history of communication with partners...).

The CCN/TC contractor manages a list of “official documentation” that can be communicated to all Service Requesters. These documents are available on CIRCA and on the CCN/TC Web Portal. The CCN/TC contractor maintains the documentation up-to-date. The CCN/TC contractor automatically updates the list with the newly approved version of the documents.

CCN statistics on volume and gateway availability and report are produced for each application domain as reported in the service availability report (SAR). The CCN/TC portal allows extracting additional set of statistics related to the CCN mail availability.

The CCN/TC provides audit and stats report for SPEED (CCN-CHLD-AUDIT-SPEED, [R166](#)) and the LCMS CCN mail traffic

The CCN/TC publishes the statistics about the CCN traffic exchanged between the national CCN sites on the CCN portal.

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Please refer to:

- CCN Monthly progress report, [\[R154\]](#)
- CCN daily availability report, [\[R170\]](#)

#### 6.7.1.2.4 Deployment & Maintenance of CCN sites [\[As is CCN\]](#)

Today, the CCN/CSI network interconnects national Customs and Taxation Administrations of all the members of the enlarged EU and third countries. The CCN/TC contractor is responsible for the provision of HW/SW maintenance services and deployment operation across the CCN sites.



The CCN/TC contractor is responsible for the following activities, which are **in** the scope of **ITSM2 Lot1**:

- Maintenance of the community infrastructure deployed at the Commission, at the CCN/TC contractor premises (including the SPEED infrastructure); the equipment installed in the national administrations, at ITSM premises and in other Commission DGs;
- Hardware maintenance activities to replace CCN infrastructure, which becomes obsolete;
- Deployment of a new CCN site.

Further detailed information and references are provided in [6.5](#) – "ICT Infrastructure Management – (Service Block 5)".

As far as the deployment of new CCN site is concerned, 4 main phases need to be undertaken.

<b>Management</b>	<b>Training</b>	<b>Phase 1</b>	Preliminary Study	<b>NA responsibility</b> (with support of the CCN/TC)
		<b>Phase 2</b>	Deployment Preparation	
		<b>Phase 3</b>	Hardware & Software Deployment	<b>CCN/TC responsibility</b> (with support of the NA)
		<b>Phase 4</b>	Acceptance Tests (pSAT)	

Figure 20: Deployment of a CCN site

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### **Phase 1 – Preliminary Study**

- Set-up the Organisational Framework;
  - What has to be done?
  - Who does what ? when ? how ?
- Complete the 2 Questionnaires;
  - CCN/TC questionnaire;
  - Telecom supplier questionnaire.

### **Phase 2 – Deployment Preparation**

- Prepare connection to the CCN backbone;
- Prepare connection between the Application Platform (AP) and CCN gateways;
- Prepare CSI generation on the AP;
- Implement the Security & Administration rules.

### **Phase 3 – Hardware & Software Deployment**

#### **CCN Software**

Deployment of a new release of CCN software is a complex and lengthy project. In order to reduce disruption, collaboration with all stakeholder is mandatory.

#### **CSI Stack deployment**

The CSI Stack is implemented on NA application platforms. The CCN/TC supports the deployment of a CSI Stack by providing the NAs the new version of the CSI tack running on standard platforms. The CCN/TC provides advice and guidance to the NAs.

#### **CCN Gateway and LCMS**


- The procurement and delivery of equipment and software to be deployed, including the connection to the CCN backbone, installation of the CCN backbone access devices and other required equipment. The equipment is either procured directly by the CCN/TC contractor or provided by the Commission;

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- Testing activities of the infrastructure deployed in the national administration premises;
- The training of the local administrators of the CCN/CSI system;
- The modification of existing CCN/CSI sites.

### **CCN Backbone**

- Install the CCN backbone equipment;
  - NA to provide 2 maintenance PSTN lines;
  - NA to provide internal cabling between the leased line entrance and the equipment room.
- Install the CCN gateways & UPS;
- Perform the CSI generation on the AP.

 *It must be highlighted that, whilst maintenance remains outside the scope of the **ITSM2 Lot1**, all deployment duties for new CSI stacks are under the responsibility of **ITSM2 Lot1**. Whenever required, the CCN/TC supports the national administrations to install, configure and test the new CSI stack deployed on the application(s) platform(s). The list of available SCI stacks that are supported by the CCN/TC are made available and can be uploaded on the CCN/TC portal.*

### **Phase 4 – Acceptance Tests (pSAT)**

- CCN software configuration (on CCN gateways). The CCN/TC is fully responsible to install, configure and test the CCN software release deployed on the CCN gateway;
- Final system verification and acceptance test.

The roles and responsibility as defined as follows:

### **DG TAXUD**

- Coordinate activities with the contractors and the National Administrations;
- Manage contractual & financial aspects.

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### **National Administrations**

- Host the CCN local equipments within a secure computer room;
- To coordinate the operations;
- To provide technical assistance;
- Manage the CCN local users;
- Appoint a dedicated CCN project manager having the authority;
- Perform site survey to build up the appropriate housing conditions;
- Provide LAN cabling to connect the AP to the CCN gateways.

### **CCN Technical Centre**

- Specify, Develop, Maintain and Operate CCN/CSI;
- Give Training and Provide Support to the NA;
- SPOC (Single Point of Contact) for all operations & support services.

### **CCN Telecom Supplier (Provider of the WAN services)**

- Provide the telecom equipments and WAN services.

Finally, the CCN/TC contractor needs to ensure that the following tasks are fully understood and maintained by the CCN site local system administrator:

1. National administrations should ensure a continuous presence for CCN/CSI administration during working hours and more particularly during the on-site intervention on the CCN infrastructure;
2. CCN gateways and telecom equipment should be properly housed:
  - Appropriate storage place;
  - Electrical power supply;
  - Telephone connection for maintenance mode.

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3. CCN gateways and telecom equipment should be properly maintained  
(I.e. Daily backup of CCN gateways);
4. CCN Gateways and other telecom hardware infrastructure should never be stopped without formal authorisation from the CCN/TC;
5. The CCN/TC should be notified of any local external problems impacting the gateways such as power failures or line failures;
6. National Administrations should take all necessary steps to secure the gateways and telecom equipment. Administrations should actively collaborate with the CCN/TC or its representatives when required and grant physical access to the equipment when necessary;
7. Administrations must ask for formal authorisation from the CCN/TC before installing additional hardware or software components on the CCN/CSI gateways that do not belong to the CCN/CSI standard delivery package. National Administrations should disseminate this information to all staff involved in CCN/CSI management, and make it available to future staff.

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More detailed information in:

- Gateway management procedures, [\[R51\]](#)
- CCN/CSI Framework Quality Plan, [\[R2\]](#)
- CCN/CSI Contract Quality Plan, [\[R74\]](#)
- TAXUD SPEED design architecture, [\[R77\]](#)

Refer also to:

- How to deploy and integrate a New Site within the CCN network, [\[R244\]](#)
- CCN candidate countries Deployment Plan, [R90]
- Installation of the CCN spare switches, [\[R224\]](#)
- Installation of the SPEED ECN, [\[R223\]](#)
- Procedure to move an LCMS, [\[R262\]](#)

#### **6.7.1.2.5 Technical Support of Applications & Service Management related tools & CCN sites [\[As is CCN\]](#)**

The CCN/TC contractor is covering a set of services offered to the members of the CCN/CSI community, currently identified as members of the following organisations:

- The Application Development Teams, both in the NA Administrations and in DG TAXUD, in charge of the development of applications using the CCN/CSI infrastructure;
- The national support in charge of the support and management of the nationally localised CCN/CSI components and of the national infrastructure supporting the applications using the CCN/CSI infrastructure;
- The Application Support Centres, in charge of the central support and management of one or several DG TAXUD applications running over the CCN/CSI infrastructure.

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The CCN/TC contractor provides technical support in different areas such as:

- Support for the CSI stack on the CCN supported platforms. The list of supported platforms and Operating system is available on the CCN/TC portal. The CCN/TC contractor also provides a test tool to ensure that the application binds correctly to the CCN gateway as a prerequisite step to exchange data over the CCN backbone;
- The CCN/TC contractor provides technical support to ensure the interoperability of CCN Web administration tools during the migration to new releases of standard Web browsers;
- The CCN/TC contractor provides a technical support to the local CCN administrators to address any issue related to the setup of new application, configuration issues, diagnose any abnormal behaviour, sites deployment, etc. The CCN/TC contractor provides technical support by phone, during on-site missions or during the CCN training sessions which are organised by DG TAXUD on a regular basis;
- The CCN/TC contractor provides assistance to the NAs in getting their local applications connected on CCN and with other IT services available in the Trans-European Systems;
- The CCN/TC contractor provides an assistance to the NAs to get the new application (in production or test environment) connected on CCN using the "application configuration tool" (ACT). The ACT tool implements a new system that simplifies, automates and speeds-up the CCN application configuration process. The new tool allows the CCN/TC to simply and rapidly define and implement business rules applied to the application configuration process;
- Where possible, the CCN/TC contractor integrates applications developed by DG TAXUD into the environment of the NA or the third party. The CCN/TC contractor helps to resolve incidents in the NA application software, at the level of the interface with CCN, as long as this has no impact on the other services to be provided by the CCN/TC contractor. The CCN/TC assistance consists of providing information about the correct usage of CCN/CSI. It does not include participating in the debugging of NA application software.



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The following roles and responsibilities are defined in order to support these activities:

<b>CCN/TC</b>	
<b>Role</b>	<b>Responsibilities</b>
Administrative Project Manager (APM)	Responsible for all CCN/TC administrative issues and liaison with DG TAXUD.
Technical Project Manager (TPM)	Responsible for daily operations, deployment, and liaison with DG TAXUD for all CCN/CSI technical issues.
System Administrator	Responsible for the system management (including monitoring, logging processing) of the CCN/CSI gateways and complementary platforms (Common Domain), with the assistance of the Local System Administrators of the NAs. The system administrator is also responsible for statistics management, CCN gateway switching, logfile management, Directory management, configuration management, sub-system management (operating MQseries, Tuxedo, LDAP...)
Network Administrator	Responsible for the CCN network management, including logging processing.
Security Officer	Responsible for <ul style="list-style-type: none"> <li>• The overall CCN/TC security measures according to the CCN/CSI security policy;</li> <li>• Security impact of new CCN/CSI client application;</li> <li>• The management of the network encryption boxes;</li> <li>• The key management of the CCN/CSI application.</li> </ul>

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National Administration	
Role	Responsibilities
Technical Project Manager	Responsible for all CCN/CSI technology issues and liaison with DG TAXUD and other NAs.
Administrative Project Manager	Responsible for all CCN/CSI administrative issues and liaison with DG TAXUD and other NAs.
Local Security Officer/administrator	Responsible for the overall CCN/CSI-related security measures according to the CCN/CSI security policy, including user access rights. He is also responsible for: <ul style="list-style-type: none"> <li>• Securing the access to the CCN resources;</li> <li>• Definition of profiles for a client application and user profile assignment;</li> <li>• Usage rights assignment to requests coming from the Common Domain and belonging to a specific profile;</li> <li>• Directory management</li> </ul>
Local System Administrator	Responsible for the administration of the CCN/CSI Infrastructure deployed in the premises of the NA, for the system and local network and connection as well as the management of the CSI software in the National Domain, according to the CCN/CSI Security Policy. He's also responsible for the Gateway and servers control and monitoring, logfile management

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More detailed information in:

- Gateway management procedures, [\[R51\]](#)
- CCN/CSI Framework Quality Plan, [\[R2\]](#)
- Description of CCN/CSI roles, [\[R78\]](#)

Please also refer to the CCN SLA document, [\[R40\]](#) for a description of the obligations/responsibilities of National Administrations and the CCN/TC contractor).

#### **6.7.1.2.6 Availability & Capacity & Continuity Management for Applications & Service Management related tools & CCN Sites [\[As is CCN\]](#)**

The CCN/TC contractor manages and executes the recovery plans in case of system crash at the CCN/TC, at the Commission or in the NAs in the Common Domain for which the contractor is responsible. The Commission is responsible for triggering the execution of the disaster Recovery Plan (DRP). The CCN/TC contractor proposes several options to recover the site (CCN sites are delivered with 2 gateways acting as production and backup gateways):

- Configuring the backup gateway in the national administration to act as the production CCN gateway until such a time that the local CCN production gateway in the CCN site is restored; the traffic is therefore switched back to the primary production gateway;
- Shipping a new gateway to the premises of the CCN site; the CCN/TC team starts the necessary activities to configure the gateway and to send it to the right location;
- Rerouting the traffic to the CCN/TC central site until such time that the local production gateway in the site is restored to the normal situation.

Taking into account the impact of the unavailability, DG TAXUD decides to have the CCN/TC send the contingency gateway to replace the faulty CCN production gateway. The shipping of a new gateway is coordinated as follows:

- CCN/TC to install the contingency CCN gateway including the Operating System installation and the CCN/CSI software installation and configuration;
- CCN/TC to perform network configuration according to the requirements of the failed CCN gateway;

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- CCN/TC contractor – through its Hardware Provider - to organise sending activity:
  - To package the machine according to the Hardware Provider requirements;
  - To plan dispatch to the location of the failed CCN gateway.
- CCN/TC contractor to notify the NA and DG TAXUD about the agreed plan of action;
- NA to prepare the reception of the contingency CCN Gateway (e.g. by informing its Delivery Desk);
- CCN/TC contractor to follow-up the deployment, installation and activation activities:
  - CCN/TC contractor (through its Hardware Provider) to perform internal transport to the Computer Room. If there is any distance between the Delivery Desk and the computer room where the contingency CCN Gateway shall be installed, the NA is responsible for the transport;
  - CCN/TC contractor (through its Hardware Provider) to install the contingency CCN Gateway and to connect it to the CCN DMZ;
  - CCN/TC contractor to perform network connectivity tests with all known Application Platforms;
  - CCN/TC contractor to configure and test the remote system maintenance;
  - NA to sign the contingency CCN Gateway “Post-Installation Acceptance Certificate” to confirm that the CCN Gateway is correctly installed and that the connectivity tests were successful.
- CCN/TC contractor to update the inventory information to reflect any altered configuration items;
- CCN/TC contractor to schedule the next steps in order to repair / reactivate / replace the original gateway and plan the repatriation of the contingency gateway to the CCN/TC;
- CCN/TC contractor to send report on the deployment activity to DG TAXUD.

During the execution of the DRP activity, the following actors are involved (either as responsible authority or in terms of execution or participation to this activity):

- National Administration (NA), which comprises:
  - Local System Administrator (LSYA);
  - Local Security Officer (LSO);

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- Local Network Administrator (LNA).
- CCN/TC, which comprises:
  - The CCN/TC security management team;
  - The CCN/TC service operation team responsible to install and configure the CCN infrastructure;
  - The CCN/TC deployment team;
  - The CCN/TC service desk and operation team to coordinate the activities with the CCN stakeholders and to notify the CCN users involved in the DRP exercise;
- DG TAXUD, which comprises the LISO and the CCN/CSI Project Manager.

For each CCN site, 2 leased lines and 2 encryption devices are to ensure a system resiliency and continuity in case of outage of the primary device. For some CCN locations, the CCN-WAN provider is providing a second point of presence to ensure better system availability.



More detailed information in:

- Gateway management procedures, [\[R51\]](#)
- CCN/CSI Framework Quality Plan, [\[R2\]](#)

#### 6.7.1.2.7 **Optimise Applications and Service Management related tools & CCN sites** [\[As is CCN\]](#)

Increasing reliance on CCN (Web-based) applications to implement mission critical services is of utmost importance for both IT staff and business users. The CCN environment moreover is rapidly growing in size and complexity. Expectations from the business customers combined with heterogeneous platforms and legacy mainframe using CCN adds a significant management complexity.

Therefore, it is the primary responsibility of the CCN/TC contractor to support DG TAXUD to deliver a reliable, high-performance applications and Service Management related Tools environment that ensures the end user's ability to

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successfully conduct business transactions while enabling IT to meet Service Level Agreements (SLAs).

Some CCN features and functionalities provide the instruments to increase CCN applications and Service Management tools performance (creation of accurate and efficient application code; better response time, etc.)

Currently, the optimisation tasks are undertaken at the level of:

- Process performance to boost the performance of applications at the level of libraries and system calls;
- Process performance linked to the system performance (CPU, memory, etc...);
- Optimisation of CCN (third) product components running on the CCN system;
- Provision, enabling and/or development of new feature and functionalities, which are delivered by the CCN/TC contractor.

As a central component which supports DG TAXUD applications, CCN/CSI does not currently provide a generic tool that enables fine tuning or identification of weak CCN components, which might cause a decrease of the system performance; however, the CCN/TC contractor is required to review the CCN components and tools running on the CCN gateways and on the application platforms. The contractor is then able to determine, on an ad-hoc basis, which process is potentially slowing down the system or may introduce a system performance degradation. However, some CCN tools (Qbrowser, ADM3G, application configuration forms (ACF)) are reviewed upon request from DG TAXUD to optimise, to increase the performance and to extend the existing features and bring new added value services.

The CCN/TC contractor has also undertaken the following actions in order to optimise the application and tools performance for the benefit of the CCN users operating or hosting a CCN infrastructure:

- Validation of the CSI stack on 64 bit applications platforms;
- Selection of appropriate compiler flags for CCN applications to fine tune and effectively exploit performance for key TAXUD applications;
- Optimisation techniques of CCN parameters on the CCN gateways (Tuxedo, MQseries, apache, etc) to understand how an application is interacting with the operating system, CPU, and memory system to understand and improve its overall performance;

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- Implementation of new libraries and system calls to optimise the CCN application (or tool) i.e. application response time;
- Implementation of Tivoli extended features to generate statistics, monitoring tasks and SLA reporting (support historical views, ...);
- Provision of LDAP ageing mechanisms to remove obsolete field entries and thus increase the system performance;
- Enhancement of the new application configuration tool to support the application developers and the system administrators in setting up the configuration environment prior to any deployment activities.

### 6.7.1.3 VOLUMETRIC [As is CCN]

The following volumetric data are applicable for 2010:

<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
V.7.1	Major CCN software release/year	1
V.7.2	Number of documents posted by the CCN/TC/year	250
V.7.3	Number of documents posted for the attention of the national administrations/year	20
V.7.4	Number of trans European app. Deployment (i.e. CCN mail regionalisation, upgrade CCN)/year	5-10
V.7.5	Number of site acceptance tests/year	100
V.7.6	Number of asynchronous queues	11.000 queues are defined in the LDAP whereof 3.000 are operationally used on a day-to-day basis and 300 mail boxes

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<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
V.7.7	Production Web Apps on CCN	54
V.7.8	Production Sync Apps on CCN	27
V.7.9	CCN GW	116
V.7.10	Production CCN queues & mail boxes	3554

Table 33: Volumetric Data CCN - CCN Operations – (Service Block 7)



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## 6.8 Coordination with involved parties– (Service Block 8)

### 6.8.1 Definition

This Service Group covers services that coordinate activities with all parties involved. The following services are provided:

- Coordination with other parties
- Relationship Management (Yearly USS, NA Survey)
- Missions

#### 6.8.1.1 AS IS SITUATION ITSM

The ITSM contractor works in close cooperation with a number of external parties and stakeholders. Coordination with other lots is a key factor to ensure that all stakeholders are aligned with the same operational and overall DG TAXUD objectives. Operational processes involve interaction with all X-DEVs, DIGIT, National Administrations, QAC contractor, CCN contractor etc., as well as governance processes as quality assurance, audits, benchmarking.

This interaction is managed through the following services:

- [6.8.1.1.1](#) – "Coordination with other parties [As is ITSM]"
- [6.8.1.1.2](#) – "Relationship Management (Yearly USS, NA Survey) [As is ITSM]"
- [6.8.1.1.3](#) – "Missions [As is ITSM]"

#### 6.8.1.1.1 Coordination with other parties [As is ITSM]

##### SPOCs

The primary role of **Business Thread Managers** (BTM) is to liaise with the DG TAXUD Business Threads. Dedicated communication channels are necessary for efficient demand management, service request management, incident management and reporting.

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The BTMs performs the following main tasks:

- Executes the demand management role way of by formalising the service requests, collecting the input for service requests via meetings, planning and ad hoc discussions with DG TAXUD sectors' different representatives, and distributes work to the relevant teams;
- Maintain a forecast planning with a detailed view of all deployments for the coming 6 months. This is needed for resource capacity planning and the preparation of the Specific Contracts. This planning must be integrated in the ITOP with an agreed level of details – see [6.6](#) – "Application Management – (Service Block 6)";
- Manages the consolidation of the relevant Business Thread specific plans;
- Follow up progress of the major on-going services;
- Follow up on Business Thread specific actions;
- In the context of the preparation of new specific contracts for continuous services, the BTM collects the forecast of activities for the duration of the contract from the DG TAXUD sectors. The forecast is consolidated and provided back to DG TAXUD to support the preparation of the specific contract;
- In the context of the preparation of new RfEs for on-demand activities, the BTM on request of the sectors collects and consolidates information from all stakeholders involved and provides it to DG TAXUD to support the preparation of the RfE.

**Application Management SPOC:**

The main responsibilities of this Application Management (AM) Single Point of Contact (SPOC) are related to Service Block 6 activities:

- Act as Single Point of Contact for DG TAXUD on the application portfolios assigned to them including direct communication with the TAXUD CI (Configuration Items) owners;
- Specialising in their application portfolio of applications, and to accumulate a depth of knowledge of these applications. They also review documents related the applications in their portfolio;
- In case of major incidents resulting in unavailability of the Production application, act as the SPOC and coordinate the recovery efforts and communication amongst all parties concerned;

- Assume responsibility for deployment. This involves planning, installation, configuration, follow-up of the aforementioned activities, and solving related planning issues.

A more detailed overview of his responsibilities can be found in the FQP - Section 4.6.2, [\[R1\]](#).



This is described in the current:

- ITSM Framework Quality Plan, [\[R1\]](#)
- ITSM Framework Quality Plan, [\[R1\]](#) - Annex 25 - ITSM Business Perspective Management
- ITSM Framework Quality Plan, [\[R1\]](#) - Annex 26 - ITSM Demand Management
- ITSM Framework Quality Plan, [\[R1\]](#) - Annex 29-ITSM Organisation Chart v1.00.vsd
- ITSM – Service Catalogue, [\[R3\]](#)
- AM transformation project [\[R199\]](#)

### **Meetings with NAs, the contractors and other Commission services e.g. Technical Meetings with DG TAXUD and third parties**

A set of operational meetings is held in order to coordinate activities with different stakeholders.

Meetings are held in the Commission's premises in Brussels, some telephone conference call. Most of the meetings last one half (1/2) a day. Ad-hoc meetings or operational meetings for specific issues, services and projects are setup on request of DG TAXUD

The regular meetings are held between DG TAXUD and ITSM. The list is indicative, not exhaustive and the frequencies may vary depending on the project deadlines:

- [CAPS](#) (Customs Applications) (Quarterly);
- Excise Monthly Meeting (EMM);
- Excise Monthly Operational meeting (SAPS);
- Taxation Monthly Coordination Meeting (MCM);

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- Taxation Monthly Operational Meeting;
- Customs Monthly Meeting (TMM);
- Customs Weekly Coordination meeting;
- Regular CAB meetings;
- ITSM INFRA (biweekly);
- ITSM Tools (biweekly);
- CSIP (Monthly);
- Excise (Monthly);
- Taxation (Monthly);
- Problem management follow up (biweekly);
- Service Desk Conference Calls (weekly);
- Contract Operational Committees - [RfE/RfA](#) meeting (biweekly<sup>31</sup>);
- ITSM Infrastructure meeting (Monthly);
- Security Management Monthly Meeting (Monthly);
- Service Support Processes meeting – (bimonthly);
- Service Management related tools Meeting – (monthly);

The following meeting is held between CCN and ITSM:

- Monthly ITSM & CCN coordination meeting

**National Administrations Working Groups Meetings and their related sub-groups**

These meetings are attended by **10 to 40 delegates** of the NAs. DG TAXUD R4/Sectors chair most of the meetings. The meetings span over **1 to 2 days** and take place in most cases in DG TAXUD **premises in Brussels** and occasionally in the NAs.

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<sup>31</sup> To avoid any misunderstanding "Biweekly" is to be understood as "Occurring once every two weeks" and **NOT** "Occurring twice a week".

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The frequency varies strongly per Business Thread.

**Technical Meetings with DG TAXUD and/or other 3<sup>rd</sup> parties involved in ITSM**

These meetings are called by DG TAXUD **R4 or R5** unless otherwise agreed. The meetings are attended by delegates from ITSM Business Perspective, the suppliers from DG TAXUD (**R4 or R5**) in the scope of ITSM and when required from some NAs. The meetings last for between **½ to 1 day** and are held at the premises of one of the participating parties. The scope covers as well technical as coordination issues.



Please refer to the ITSM Service Catalogue, [\[R3\]](#)

**6.8.1.1.2 Relationship Management (Yearly [USS](#), NA Survey) [\[As is ITSM\]](#)**

**Yearly USS**

Yearly user satisfaction survey per Business Thread and user community (i.e. users in Commission and National Administrations).

The survey entails the following items:

- Preparation of the survey material and planning;
- Organisation, co-ordination and performance of the survey;
- Report to DG TAXUD IT and the NAs.

DG TAXUD must approve the questionnaire and contacts before ITSM contractor can proceed with the actual survey. DG TAXUD will, if DG TAXUD considers it necessary, assist the ITSM contractor in resolving issues that might arise during the surveys.

The ITSM contractor feed backs the outcome of the survey as corrective actions to its activities or as input to the [CSIP](#).

A summary report covering the outcome of the yearly User Satisfaction survey is online available on the ITSM Portal.



Please refer to the ITSM Service Catalogue, [\[R3\]](#)

Please also refer to the ITSM Framework Quality Plan, [\[R1\]](#) Annex 25: Business Perspective

### NA Survey

At least once a year, the ITSM contractor orally contacts each NA representative for each of the trans-European Systems (**TES**) and:

- Collects their feedback;
- Enquires about future NAs plans and perceived risks;
- Gets lessons learned;
- Ensures mutual understanding of current situation;
- Clarifies outstanding issues and, if any, conveys key tactical/operational messages;
- Collects information for the evolutive maintenance of the one-offs.

The ITSM contractor then produces a summary record, sends it to DG TAXUD and reports on it via the [MPR/MSR](#).

The survey consists of various questions, list produced by the ITSM contractor, and agreed with DG TAXUD.



Please refer to:

- ITSM Framework Quality Plan, [\[R1\]](#) - Annex 25: Business Perspective
- ITSM Service Catalogue, [\[R3\]](#)

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### 6.8.1.1.3 Missions [\[As is ITSM\]](#)

The ITSM contractor provides two types of missions:

- On-site Technical missions;
- Co-ordination missions.

The ITSM contractor provides **on-site technical support** to the NAs or any third party designated by DG TAXUD. The on-site technical support covers, but is not limited to:

- Set up test and operation environment;
- Integrate applications developed by DG TAXUD in the environment of the NA or the 3<sup>rd</sup> party;
- Provide assistance to the NAs in getting their local applications connected on CCN and with other IT services available in the trans-European Systems (**TES**);
- Deliver ad hoc training;
- Deliver technical advice;
- Diagnose and address technical issues.

This activity must be closely co-ordinated with the Technical Support process under Application Management and ICT IM, as it calls upon the same expertise and knowledge.

This service covers the following activities:

- **Agenda**

If required, an agenda of the technical support must be defined by the ITSM contractor and agreed by relevant parties before going on-site;

- **Mission material**

If required, material necessary for the mission is produced by the ITSM contractor and distributed beforehand;

- **Performance**

This represents the technical support given on-site by the ITSM contractor;

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- **Mission report**

If required, a mission report is produced by the ITSM contractor and distributed to relevant parties.

During a **coordination mission**, the ITSM contractor:

- Provides expertise in the areas of:
  - Planning;
  - Service co-ordination;
  - Terms of Collaboration.
- Presents the status of the collaboration with the visited organisation;
- Addresses the technical questions raised;
- Ensures the follow-up of any actions, which fall under the responsibility of the ITSM contractor.

The ITSM contractor performs the following activities:

- **Produces the Agenda**

If required, an agenda of the coordination mission must be defined by the ITSM contractor and agreed by relevant parties before going on-site;

- **Produces the Briefing**

If required, a briefing necessary for the coordination mission is produced by the ITSM contractor and distributed beforehand;

- **Produces the Material**

If required, material necessary for the coordination mission is produced by the ITSM contractor and distributed beforehand;

- **Performs the mission**

This represents the coordination support given on-site by the ITSM contractor;

- **Writes the Report and Evaluation** that is submitted for review and approval of the visited party.

A mission report is produced by the ITSM contractor and distributed to relevant parties for review and finally to DG TAXUD for acceptance.



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Please refer to the:

- ITSM Framework Quality Plan, [\[R1\]](#)
- ITSM Framework Quality Plan – Annex 25 – Business Perspective, [\[R1\]](#)
- Internal Incident Management Working Procedure (ITS-IPRC-080- Incident Management Working Procedure), [\[R23\]](#)
- ITSM Service Catalogue, [\[R3\]](#)

### 6.8.1.2 VOLUMETRIC [\[As is ITSM\]](#)

The following volumetric data are applicable for 2010:

ID	Work Item	Volume Estimates
V.8.1	Working group meeting - Draft agenda, Briefing, Attendance, Summary Records, Minutes	39
V.8.2	Working group meeting – Preparation of material	14
V.8.3	SMM – Agenda, Briefing, Attendance, Minutes	37
V.8.4	Co-ordination Mission – Agenda, Briefing, Preparation of material, Performance, Report	16
V.8.5	Technical Meetings with the Commission or other third parties – Attendance, Minutes	300
V.8.6	Number of missions	10 per year on average

Table 34: Volumetric Data ITSM - Coordination with involved parties– (Service Block 8)

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### 6.8.1.3 AS IS SITUATION CCN

#### 6.8.1.3.1 Coordination with other parties [As is CCN]

##### **Meetings with NAs, the contractors and other Commission services e.g. Technical Meetings with DG TAXUD and third parties**

The CCN Working Party meeting (yearly) involving the CCN contractors and delegates from all Member States, candidate countries and third countries.

TAXUD organises the yearly CCN Working Party Meeting with representatives of all CCN contractors and delegates of all National Administrations. The purpose of this meeting is to keep the NAs informed on the achievements and planned evolutions. The contractor is required to attend, contribute and offer technical support to these meetings, which are usually held in the Commission's premises in Brussels (and occasionally in the NAs); each of 1 to 2 days duration.

The Working Committee meetings (and sub-groups), organised with the NAs, are attended by 40 to **100** delegates.

The Commission may request the following activities from the CCN/TC contractor:

- Preparation of performance material, in most cases a presentation;
- Performance during the meeting: Presentation, answer to questions from participants;
- Attendance: mainly to support the Commission and to produce the Summary Record (including list of actions and agreements) as well as the minutes of the meeting;
- Support to the organisation;
- Prepare the agenda and briefing for the meeting.

DG TAXUD organises workshops with the National Administration in the scope of the CCN2 project which aims – in due time – to replace the current CCN infrastructure. Such workshops are typically held on a quarterly basis. The CCN/TC contractor participates as an observer to these workshops.

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### Coordination with other Lots and contractors

The CCN/TC contractor works in close cooperation with a number of external parties (also referred to as contractors or service providers) to deliver the end-to-end service to DG TAXUD within the scope of the contract.

Coordination with other operational lots is a key factor to ensure that all stakeholders involved in the CCN/CSI programme are aligned with the same operational objectives and the overall DGTAXUD continuity plan. It also enables the collection of project plans from the project contributors and the alignment of those plans against the master & management plans. These coordination activities help in the clarification & resolution of ambiguities to ensure that any problem is properly addressed and escalated in order to solve it with the shortest delays.

Coordination with X-DEV ensures that the design and specifications of the application and Service Management related tools are properly sized to cope with the CCN infrastructure.

The co-ordination activities mainly rely on:

- **Bilateral & Multilateral Monthly meetings;**
- **Technical ad-hoc follow up meetings;** this meeting could act for example as a change advisory board, the CCN/TC contractor being responsible for the implementation of the change management process;
- **Monthly meetings between other contractors** involved in the project to review and to coordinate activities in which the contractors are closely involved as well as to review the activities planning through the existing instruments (Master project and management plans and progress reports). During these meetings, the contractors may also contribute to verification of the technical conformity of the deliverables of any of the contractors. This encompasses the following activities:
  - List and log of all comments related to a deliverables under review;
  - Request or exchange further technical, functional clarification on a specific issue and/or highlight risks (security, technical, organisational...) or deviation to the planning.

The meetings are held at the premises of the convening party (either contractors or the Commission). The participants include at least the contractor's project manager and technical manager.

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### 6.8.1.3.2 Relationship Management (Yearly USS, NA Survey) [As is CCN]

Within the CCN/CSI programme, the relationship management activity is a continuous activity.

Ad-hoc National Administration surveys take place and deal with specific subjects (e.g. the satisfactions of National Administrations with the CCN communications services – see also [\[R175\]](#))

### 6.8.1.3.3 Missions [As is CCN]

Upon request from DG TAXUD, the CCN/TC contractor participates to missions to collect information related to the national project, to address technical issue, to build a site survey as well as putting at the disposal of the CCN/TC Service users, the assistance of a team of technical experts with in-depth knowledge of the CCN/CSI system etc. The CCN/TC contractor performs the on-site mission and delivers the mission report to the DG TAXUD.

The status of completed missions is reported to DG TAXUD during the monthly CCN progress report.

A mission could be triggered by an impromptu request by DG TAXUD, member states, other contractors (and would thus requires a RfA) or within a CCN action. The CCN/TC contractor produces a mission report, which is distributed to relevant parties.

The CCN/TC contractor performs the following activities during a mission:

- **Produce the Agenda**

An agenda (or a mission scope) of the coordination mission must be defined by the CCN/TC contractor with the input of the relevant stakeholders. This agenda is agreed by the relevant parties before going on-site;

- **Produce the Briefing**

If specifically required, a briefing necessary for the coordination mission is produced by the CCN/TC contractor and distributed beforehand;

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- **Perform the mission**

This represents the coordination support given on-site by the CCN/TC contractor;

- **Write the Report and Evaluation** that is submitted for review and approval of the visited party and DG TAXUD.

A mission report is produced by the CCN/TC contractor and distributed to the relevant parties for review and acceptance.

#### 6.8.1.4 VOLUMETRIC [As is CCN]

The following volumetric data are applicable for 2010:

ID	Work Item	Volume Estimates
V.8.7	Monthly Progress Meetings	12 per year
V.8.8	CCN Working Party meetings	1 per year
V.8.9	Coordination meetings with other contractors	50 per year

Table 35: Volumetric Data CCN - Coordination with involved parties– (Service Block 8)

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## 6.9 IT Service Management – (Service Block 9)

### 6.9.1 Definition

This Service Group covers the following services:

IT Service Management - Operations (Service Support & Service Delivery, ...)

[SLM](#) ([SQI](#), [KPI](#), [SLAs](#), ...) reporting

SLM [ToC](#) reporting for Applications per BT & application community

Application & Business Monitoring (e.g. TARIC files), Statistics & Reporting

Service Operation services report on the compliance with the Service Level Agreements.

Reporting on service levels is verified by the QA contractor, depending on the frequency of events used for calculation by different means. For example, reporting on incident resolution time is performed by re-establishing the data base, and recalculating, whereas the service level for PreSAT readiness could be verified by the QA contractor taking observations during PreSAT.

Service Quality indicators are contractually binding, whereas KPIs give information about the services in general, and are of informative nature. For on demand activities, the list of SQIs, subset of those stipulated in the SC, is proposed by DG TAXUD in the RfE (or without offer, proposed by the contractor) and agreed by DG TAXUD through signature of the RfA. Within the **Synergia** programme reporting on the SQIs and KPIs, irrespective if contractually binding or not, are automated as much as possible.

Service Operation also includes executing Service Support functions (like: incident management, problem management, change management, configuration management and release management) and Service Delivery functions (like availability management, capacity management, continuity management, service level management). Related to ITSM services provided in this contract, the scope of Service Operations is extended to all services that are provided (e.g. Demand Management, Testing services, Reporting Services, ...) and are set up in the course of the FC.

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## 6.9.1.1 AS IS SITUATION ITSM

### 6.9.1.1.1 IT Service Management - Operations (Service Support & Service Delivery [As is ITSM])

#### **Service Support**

This covers the Service Desk (cf. Section [6.4.1.1](#)), Incident, Problem, Configuration, Change and Release management. Please refer to ITIL v2 for a full description of these functions/processes.

For all Service Support processes, the respective process owners have to report the process activities in the Monthly Progress Report and to include the relevant statistics and exceptions in the Monthly Service Report.

#### **Incident Management**

The primary goal of the Incident Management process is to restore normal service as quickly as possible and minimise the adverse impact on business operations, thus ensuring that the best possible levels of service quality and availability are maintained. 'Normal service operation' is defined here as service operation within Service Level Agreement limits.

#### **Additional information**

Incident Management at DG TAXUD could be classified in three major groups: (a) incidents that can be resolved directly within ITSM, (b) incidents that are forwarded to an X-DEV and (c) incidents that are raised and resolved between National Administrations, where neither ITSM nor X-DEV are resolvers. However, this classification is indicative, other classifications could be made and other resolver groups exist.

For more details about the policy, the procedure and the related IWP please see [6.2](#) – "IT Strategy/Conception/Evaluation – (Service Block 2)".

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## **Problem Management**

Problem Management aims at identifying the root cause of errors in the CIs managed by ITSM in a proactive and reactive way, and to document these errors and correct them by initiating [RfCs](#) through the Change Management process.

The goal of Problem Management is to minimise the adverse impact of Incidents and Problems on the business that are caused by errors within the IT infrastructure (including applications), and to prevent recurrence of Incidents related to these errors. The Problem Management process has both reactive and proactive aspects. The reactive aspect is concerned with resolving problems in response to one or more Incidents that have been designated as Problems and Known Errors. Proactive Problem Management is concerned with identifying and resolving Problems before Incidents occur.

It should be noted that Problem Management is in no way a type of third level support, but a specific process with its own set of working procedures and governances.

### **Additional information**

Problem Management at DG TAXUD typically involves multiple stakeholders for the root cause analysis because of the complex landscape. ITSM coordinates and collects feedback from the other stakeholders.

Concerning Known errors and workarounds, the X-DEV provide this information to ITSM, however not in a harmonised form neither always with a reference to the incidents and problems that were raised. At the time of writing, no integrated tool exists to store known errors and workarounds and trace back incidents to close when a release solves a problem.

The **Synergia** programme aims to improve the Problem Management process by setting up the tools fit for purpose.

For more details about the policy, the procedure and the related IWP please see [6.2](#) – "IT Strategy/Conception/Evaluation – (Service Block 2)".

## **Configuration Management**

The prime tool of Configuration Management is the Configuration Management Database (CMDB). Within the CMDB, Configuration Items (CI) are representing physical or virtual IT related assets, and as a whole should represent accurately the DG TAXUD and stakeholders IT landscape. CIs consist of the CIs, their attributes and their relationships.



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The primary objective of Configuration Management at DG TAXUD, actually, is to make the CMDB contain all information necessary to provide maximum value to the operations lifecycle and to supply other services and stakeholders with the information about the IT landscape needed.

### **Additional information**

The HP CMDB has been setup in Q1/2011 and is in pre-production mode at the time of writing, its scope is limited to the systems and applications at the ITSM DC and partly of the DIGIT DC. Other information about CIs can still be found in MS Office repositories (XLS files as for the asset inventory, MS Access DB for the application portfolio, etc.). ITSM coordinates and collects feedback from the other stakeholders.

For more details about the policy, the procedure and the related IWP please see [6.2](#) – "IT Strategy/Conception/Evaluation – (Service Block 2)".

### **Change Management**

Change Management is the process responsible for controlling the lifecycle of all changes. The primary goal of Change Management is to enable beneficial changes to be made, with minimum disruption to IT Services by ensuring that standardised methods and procedures are used for efficient and prompt handling of all Changes, in order to minimise the impact of change-related incidents upon service quality, and consequently to improve the day-to-day operations of the organisation.

Change Management in DG TAXUD is the systematic process that coordinates all changes to CIs (hardware, software, services and documentation, as described in the ITSM Configuration Management Policy and ITSM Internal Procedure Configuration Management Working Procedures) performed on the managed IT environments of the Business Threads. Change Management is the process responsible for controlling the lifecycle of all changes.

### **Additional information**

The change management approach is not harmonised over the different business threads and multiple CABs exist. CAB material is generated manually and then uploaded into the SMT. At the time of writing, DG TAXUD does not intend to harmonise change management, but to apply a standard process with specificities for each BT.

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In the course of the **Synergia** programme, ITSM delivers services for applicative changes in the developer's tool, no matter where it is hosted or which organisation is owner.

For more details about the policy, the procedure and the related IWP please see [6.2](#) – "IT Strategy/Conception/Evaluation – (Service Block 2)".

### **Release Management**

Release Management activities aim at controlling the way changes are put into production. The process ensures that:

- Only approved, tested and documented Configuration Items are deployed into production;
- Users are properly informed and trained.

Release Management involves the following activities:

- Plan releases;
- Receive releases;
- Store into DSL and ODL;
- Perform kick-off meetings;
- Accept releases;
- Authorise releases;
- Oversee Installation of releases by Deployment Coordinators, Application Management and Project Managers into the environments that the [RfC](#) relates to.

### **Additional information**

ITSM stores all deliverables into either DSL and ODL and ensures the CMDB contains the related CIs with the correct links to DSL and ODL.

Release notes content and release versioning differs for the different X-DEV – which for ITSM increases the complexity. Not all release notes are specific about the known errors they resolve, or the information is spread over several documents, which increases the effort to find back related incidents for closure.

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For more details about the policy, the procedure and the related IWP please see [6.2](#) – "IT Strategy/Conception/Evaluation – (Service Block 2)".

Please also see [6.6](#) - Application Management – (Service Block 6) for more details on how releases are managed in the context of Application Management & [6.7](#) – "CCN Operations – (Service Block 7)" for CCN related CIs



Please refer to the current:

- ITSM Framework Quality Plan, [\[R1\]](#) - Annex 14: Configuration Management
- ITSM – Service Catalogue, [\[R3\]](#)
- The ITSM Incident Management Policy, [\[R23\]](#)
- The ITSM - Change Management Policy, [\[R24\]](#)
- The ITSM - Problem Management Policy, [\[R25\]](#)
- The ITSM - Release Management Working Procedures, [\[R26\]](#)
- The ITSM - Problem Management Working Procedures, [\[R27\]](#)

### **Service Delivery**

Services Delivery ensures that negative occurrences of service performance, unavailability, or reliability are properly and effectively identified, fully recorded, assigned to the right experts, and resolved as soon as possible. In order to ensure this, ITIL processes are implemented.

For more information, please refer to:

- [6.2](#) – "IT Strategy/Conception/Evaluation – (Service Block 2)"
- [6.5.1.1.7](#) – "Availability & Capacity & Continuity Management [[As is ITSM](#)]"
- [6.5.1.1.8](#) – "Production & Maintenance of ICT Infrastructure Management Related Plans i.e. ICT Infrastructure Plan, Availability Plan, Capacity Plan, Continuity Plan [[As is ITSM](#)]"

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#### 6.9.1.1.2 SLM (SQL, KPI, SLAs, .... Reporting [\[As is ITSM\]](#))

The goal of Service Level Management is to agree, continuously monitor and report upon IT service achievements and quality, and to instigate actions to improve service, in line with business or cost justification. Through these methods, an effective relationship between DG TAXUD and National Administrations (NAs) can be developed, leading to improved IT service quality.

In case of exceptions from expected service levels, the ITSM contractor has to notify DG TAXUD. When the responsibility of the ITSM contractor is engaged, the ITSM contractor must initiate the necessary corrective and preventive actions in order to restore quality back to the agreed and acceptable levels.


This framework process covers activities related to Service Level Management including the monthly [MPR/MSR](#). Management of the “Terms of Collaboration” ([ToC](#)) is managed by the Business Perspective process, however, in very close relationship with Service Level Management – cf. Section [6.9.1.1.3](#). The following Service Level Management activities are defined:

- [SLM](#) Maintenance;
- Create and maintain agreements;
- [SLA](#) Monitoring & Escalation;
- [KPI](#) Monitoring;
- [MPR/MSR](#);
- SLM Service Reviews.

The availability dashboard (part of the ITSM Portal) offers an on line view of the availability of all operated applications. It also offers the TAXUD Service Level Manager a tool to "justify" "unavailabilities" in the context of the overall GQI of the contractor.

All SQI/KPI related information is also presented during the BMMs and the STEERCOs.

All raw data linked to the SQIs is delivered with the MPR/MSR bundle so that TAXUD can crosscheck whatever values needed.

	<p>This is described in the current ITSM Framework Quality Plan, <a href="#">[R1]</a></p>
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### 6.9.1.1.3 SLM ToC reporting for Applications per BT & application community [As is ITSM]


SLM has to systematically monitor and report the quality of the services:

- Delivered by the ITSM contractor to DG TAXUD and its users and monitor their compliance with the contractual OLA and applicable SLA;
- Supplied by the other suppliers of DG TAXUD (other contractors, DG TAXUD itself, 3<sup>rd</sup> parties, NAs) to ITSM contractor, and monitor their compliance with the applicable OLAs and Terms of Collaboration when available;
- Exchanged amongst the NAs and DG TAXUD, under the monitoring of the ITSM contractor, and monitor their compliance with the applicable Terms of Collaborations (or equivalent) when available.

In case of exceptions, ITSM contractor has to notify DG TAXUD. When the responsibility of ITSM contractor is engaged, ITSM contractor must initiate the necessary corrective and preventive actions in order to restore quality back to the agreed and acceptable levels.

The ITSM contractor has to deliver integrated service reports (integrating the contribution of all other processes involved in ITSM) along with relevant statistics and exception reports:

- On a monthly basis, through the Monthly Service Report (MSR) attached to the MPR;
- On a multi-month basis, on request from DG TAXUD (3 to 5 requests per year);
- On an annual basis.

	<p>This is described in the current ITSM Framework Quality Plan, <a href="#">[R1]</a></p>
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#### **6.9.1.1.4 Application & Business Monitoring (e.g. TARIC files), Statistics & Reporting community [As is ITSM]**

The ITSM contractor monitors the business usage of all the trans-European Systems (**TES**) and of DG TAXUD IT e.g. number & nature of the business transactions on DG TAXUD IT applications and across the trans-European systems (**TES**), number of messages, of hits, connected users, volumes exchanged, load profile, compliance of the users activity with expectation and agreed plans, etc.

The ITSM contractor uses the monitoring IT services provided by each application and trans-European Systems (**TES**) as well as the monitoring information and services provided by CCN.

The ITSM contractor also alerts the availability process of any business trend, which suggests unavailability and raises an incident in case use activity deviates from anticipated behaviour.

This monitoring includes also the monitoring of the CCN Dead-letter queues as described in the Internal Working Procedure, [\[R182\]](#).

The monitoring activity is performed during the working hours of the Service Desk and is left unattended outside this period.

Monthly reporting on the activity is done via the [MPR/MSR](#).

For some Business threads specific daily, weekly and monthly business reports are generated and provided to DG TAXUD.

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Examples of daily/weekly business reports are:

<b>Date</b>	<b>Subject</b>
Every working day	Joint NCTS/ECS/ICS daily activities reports
Every working day	SPEED daily activities reports
Every working day	EOS daily activities reports
Every working day	VIES/VAT Refund daily activities reports
Scheduled every Wednesday	NCTS weekly status reports
Scheduled every Thursday	ECS weekly status reports
Scheduled every Friday	SPEED weekly status reports
Scheduled every Wednesday	EMCS Phase 2 weekly reports (RfA-189b)

Some example of ad hoc Business Reports are:


<b>Business Thread</b>	<b>Subject</b>
Excise	Adding the comparison of IE801s to the TESS estimates and EcOps to the monthly statistics
Customs	ICS - IE302, IE303 and IE319 with invalid MRN / Entry Key
Customs	Dry run of ICS weekly report
Customs	Dry run of ICS weekly report
Customs	List of messages with no COD to NA-BE and with business impact (ECS)
Customs	ICS Phase 1 Mode 3 testing - organisation and attendance to conference calls, minutes of conference call and monitoring of the testing activities

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<b>Business Thread</b>	<b>Subject</b>
Customs	Enhancement of NCTS / ECS / ICS reports(weekly reports macro)

The following weekly/monthly Business reports are produced and after approval of DG TAXUD uploaded on the corresponding Interest Group of CIRCA:

- Taxation Monthly Activity Report;
- Taxation SLA statistics;
- Taxation – TEDB Monthly statistics;
- Taxation – VIES Monthly Statistics;
- Taxations – VIES/Web Monthly Statistics;
- Monthly statistics;
- EMCS Phase 2 weekly report;
- ...

	Please refer to the ITSM Service Catalogue, <a href="#">[R3]</a>
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### 6.9.1.2 VOLUMETRIC [As is ITSM]

The following volumetric data are applicable for 2010:

<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
V.9.1	Joint NCTS/ECS/ICS daily activities reports	Every working day
V.9.2	SPEED daily activities reports	Every working day
V.9.3	EOS daily activities reports	Every working day
V.9.4	VIES/VAT Refund daily activities reports	Every working day
V.9.5	NCTS weekly status reports	Every Wednesday



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<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
V.9.6	ECS weekly status reports	Every Thursday
V.9.7	SPEED weekly status reports	Every Friday
V.9.8	EMCS Phase 2 weekly reports	Every Wednesday

Table 36: Volumetric Data ITSM - IT Service Management – (Service Block 9)

### 6.9.1.3 AS IS SITUATION CCN

#### 6.9.1.3.1 IT Service Management - Operations (Service Support & Service Delivery [As is CCN])

The Service Management processes is implemented to improve the CCN service delivery and, in turn, the customer satisfaction. The processes focus on the entire lifecycle of a service including: service design, development, transition, operation, ongoing support, continual service improvement and availability. It also helps to deliver the business efficient and effective services. A good management of the service processes is fundamental for CCN to address the growing complexity of its infrastructure.

To summarise, these processes are designed to:

- Ensure that CCN services are aligned to the needs of customers and users;
- Improve CCN availability and stability of services;
- Improve CCN communication within IT and with users.

The Service Management Processes can be broken down into 2 core groups (service support and service delivery) with Security Management as an independent process.

Incidents that are handled by the CCN/TC contractor can initiate a chain of processes: Incident Management, Problem Management, Change Management, Release Management and Configuration Management. This chain of processes is tracked using the CCN Configuration Management Database (CMDB), which records each process, and creates output documents for traceability (Quality Management). The CCN/TC service desk plays a major Communication role by keeping the customer informed of progress and advising on possible workarounds.

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The release management process on CCN is described in the Framework Quality Plan and includes:

- Major CCN software releases and major hardware upgrades, normally containing large amounts of new functionality, some of which may make intervening fixes to problems redundant;
- Minor CCN software releases and hardware upgrades, normally containing small enhancements and fixes, some of which may have already been issued as emergency fixes;
- "Emergency" CCN software and hardware fixes, normally containing the corrections to a small number of known problems;
- **Security management** is required to maintain and improve the CCN security systems to keep CCN infrastructure at the expected recommended levels;
- **Capacity management** which is required to improve the quick deployment of the CCN infrastructure, to absorb new application development and (un)expected production workload changes;
- **Service Continuity Management** improves the system availability and reduces CCN costs of maintaining a production-ready recovery site(s) with no impact on project schedules;
- **Service Level Management** is responsible for:
  - Ensuring that the agreed CCN services are delivered when and where they are supposed to be;
  - Improving overall infrastructure availability in compliance with the expected quality levels. A good application of change, Problem, and Release Management processes drastically improves the overall CCN service level delivered to the users. The CCN Service Level Manager relies on the other areas of the Service Delivery process to provide the necessary support, which ensures the agreed services are provided in a cost-effective, secure and efficient manner (liaising with Availability Management, Capacity Management, Incident Management and Problem Management to ensure that the required levels and quality of service are achieved within the business needs).
- The CCN/TC contractor is responsible for monitoring and maintaining the following deliverables:
  - Contractual OLA towards the Commission;
  - SLAs with the NAs;
  - Terms of Collaboration in the context of the SPEED infrastructure deployed to provide CCN services for third countries (currently Russia).

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OLA reports are provided on a monthly and quarterly basis. The contractual OLA Reporting is done on a monthly basis, via the MPR/MSR.

Taken altogether, these systems management processes provide CCN the framework it needs to successfully carry out the tasks the CCN/TC is responsible for. It is useless to remind that to apply these processes in a production CCN environment, a solid coordination across teams is critical. A separate quality assurance (QA) process that runs in parallel is a way implemented on CCN to test changes and increase the chance that the changes are implemented reliably.



Please refer to the:

- The current CCN/CSI Framework Quality Plan and annexed working procedures, [\[R2\]](#)
- CCN service Level Agreement, [\[R40\]](#)
- Terms of collaboration for the SPEED computerisation project, [\[R153\]](#)
- CCN/TC monthly progress report, [\[R154\]](#)

#### 6.9.1.3.2 [SLM \(SQI, KPI, SLAs ...\) reporting \[As is CCN\]](#)

##### SLA

The CCN/TC contractor collects, analyses and reports on the Service Quality Indicators (SQIs, known KPIs in ITIL), and report to the Commission. The contractor delivers integrated service reports on a monthly basis, through the Monthly Service Report (MSR) attached to the MPR.

The CCN/TC contractor assesses the compliance of the measured availability with the applicable quality level agreements. The CCN/TC contractor informs the Commission about all cases of non-compliance. When the NAs' responsibility, or that of a third party, is engaged, the Service Desk must inform the responsible party and the Commission, and propose solutions to restore the availability to the agreed levels. The CCN/TC contractor is responsible for monitoring and reporting on all the quality level agreements maintained by him, and on all CIs maintained by him that may impact the quality level agreement of any other contractors.

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## OLA

The OLA defines the level of service needed to support customers. It needs to be monitored to ensure that service delivery objectives are met.

These customers are currently identified as:

- The NAs. The CCN/TC contractor assists DG TAXUD in producing and maintaining the Terms of Collaboration and OLA with the NAs. The CCN/TC contractor has been requested to produce TOCs. The CCN/TC contractor is also requested to review the TOCs produced by other contractors or by the Commission;
- The users within DG TAXUD, including also the other Directorates General;
- The citizens, via Europa Website.

The CCN/TC contractor supports DG TAXUD in meeting its OLA obligations.

The OLA (agreement between DG TAXUD and the National Administrations) is being reviewed at the time of writing by DG TAXUD to align with the new changes occurring on the CCN project. The current version of the OLA is provided in [\[R41\]](#).



Please refer to the:

- CCN OLA report between DG TAXUD and the national administrations, [\[R41\]](#)
- CCN/TC monthly progress report, [\[R154\]](#)

### **6.9.1.3.3 SLM ToC reporting for Applications per BT & application community [As is CCN]**

The Terms of Collaboration currently in place between DG TAXUD and Russian federation in the context of the [SPEED](#) project define the mutual obligations of the NAs and DG TAXUD around the services delivered by the CCN/CSI.

This ToC does not contractually bind neither DG TAXUD nor the Russian administration but gives at least the opportunity to define a framework to operate

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the SPEED project. No specific Service level reports are currently provided related to the service level achieved.

#### 6.9.1.3.4 Application & Business Monitoring (e.g. TARIC files), Statistics & Reporting community [As is CCN]

The CCN/TC contractor is responsible for the monitoring of the CCN/CSI components and resources located in the Community domain at each CCN/CSI site, i.e. the CCN gateways, the Community LAN and other components in the Community domain, i.e. the encryption device, routers, telecommunication devices, etc as well as the CCN components currently located at the CCN/TC. The CCN/CSI components deployed on CCN are monitored and managed to ensure the continuity of service. When a component failure occurs, measures must be taken in order to minimise as much as possible the impact of the failure.

Please refer to [6.5](#) – "ICT Infrastructure Management – (Service Block 5)" for a description of the monitoring tools used. Some extracted monitoring features are provided on the CCN/TC portal, which is accessible, by the CCN local system administrators.

#### 6.9.1.4 VOLUMETRIC [As is CCN]

The following volumetric data are applicable for 2010:

ID	Work Item	Volume Estimates
V.9.9	Business applications for which the CCN/TC provides traffic daily volume of data exchanged between the NAs	50
V.9.10	ToC maintained by the CCN/TC	1
V.9.11	Number of SLA reports provided by the CCN/TC (OLA between DG TAXUD and the National administrations)	12 per year
V.9.12	Number of SLM reports provided by the CCN/TC	12 per year
V.9.13	Number of contractual OLA provided by the CCN/TC	1 for each specific contract
V.9.14	Number of weekly incident reports provided	4 per month every Monday

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<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
	by the CCN/TC	
V.9.15	Number of service availability report (SAR) provided by the CCN/TC	Every day

Table 37: Volumetric Data CCN - IT Service Management – (Service Block 9)

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## 6.10 Security Management – (Service Block 10)

### 6.10.1 Definition

This Service Group covers the following services:

- Security Management
- Production & Maintenance of "Security Plan"
- Production & Maintenance of [BCP](#) and [DRP](#) Plans including their testing
- Crisis Management

This function encompasses all security requirements included in ISO 27002:2005. It includes the identification of the ITSM project's information assets and the development, documentation and implementation of policies, standards, procedures and guidelines. The approach shall be based on a formal approach as described in ISO 27001:2005, relying strongly on a Risk Management process. It is also its task to produce recommendations and report them to DG TAXUD.

DG TAXUD reserves the right to perform security audits of the contractor's organisation at the Contractor's premises. DG TAXUD may elect to contract with a third party to perform these audits. The contractor commits himself to co-operate fully with DG TAXUD during the audits. In particular, each contractor undertakes to authorise access to the complete project information located at his premises no later than two weeks after the request of DG TAXUD and to answer any questions from DG TAXUD during those audits.

The Security Management services also cover all activities required to comply with EC policies and regulations with regards to IS security, personal data protection, physical and personnel security.

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### 6.10.1.1 AS IS SITUATION ITSM

#### 6.10.1.1.1 Security Management [\[As is ITSM\]](#)

Security Management ensures all Security policies and guidelines are properly created and maintained. Regular Security Assessments are also taking place to ensure the policies and guidelines are adhered to. The policies and guidelines relates to numerous areas e.g. user management, network security, access control to systems, office automation security, incident handling or security awareness.

The whole of the IT Security Management must be geared towards addressing the high level Business security risks while the security controls must address prevention/reduction, detection/repression, correction/recovery, evaluation and reporting. The ITSM contractor is reporting security-related activities to DG TAXUD IT through the Monthly Progress Report and during a monthly bilateral meeting with DG TAXUD LISO. The ITSM contractor must ensure that all security related items and issues are constantly monitored and that evolutive maintenance of the existing plans takes place.

The ITSM Security Manager reviews every incident that is flagged as security incident by the ITSM Service Desk and takes necessary actions.

In the context of ITSM change management the ITSM Security Manager performs an impact assessment for each RFC.

Beside policies and procedures, the ITSM contractor produces the following deliverables and maintains them on a regular basis:

- The Security plan for Central IT services, addressing all taken over threads and the ITSM thread, addressing also Risk Assessment & Analysis, Security Policy, Security Controls and the Security process itself (update at least yearly, via [RfS](#));
- The Security Conventions authorising its remote access to EC Central IT systems hosted at DIGIT (update upon request; at least at each Specific Contract renewal) and the access between the different computing environments at the Commission.



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Please refer to the:

- ITSM Framework Quality Plan, [\[R1\]](#)
- ITSM Service Catalogue, [\[R3\]](#)

#### 6.10.1.1.2 Production & Maintenance of the "Security Plan" [\[As is ITSM\]](#)

The Security Plan defines the Information Security Management System (ISMS), as defined in ISO/IEC 27001:2005, for the DG TAXUD's Central IT Services managed by the ITSM Contractor.

The ISMS concerns the IT systems that support DG TAXUD's Central IT Services and that are hosted at ITSM premises and at the [DIGIT](#) data centre.



Please refer to the ITSM Security Plan for DG TAXUD IT Services, [\[R16\]](#)

Currently, ITSM is managing security with the following set of internal procedures at minimum:

- Security Incident Handling Procedure;
- User Access Management;
- Security quantities Reporting;
- Training session security;
- VPN policy internal procedure;
- VPN Policy acceptable use policy for the end user;
- Acceptable use policy for the Digit Token (cf. Security Convention type 1);
- Email Policy;
- INTERNET use Policy, [\[R182\]](#).

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### 6.10.1.1.3 Production & Maintenance of BCP and DRP Plans including their testing [As is ITSM]

The IT Service Continuity management (ITSCM) process has the following objectives:

- Reduce business risks by minimising the impact on the business and operational interference in case of manifestation of a disaster;
- Increase the ability to recover services efficiently, from an end-to-end business perspective, in order of business priority;
- Facilitate a proactive (rather than reactive) approach to continuity management;
- Reduce the duration of interruption of services (duration of downtime).

This process includes the preparation, implementation, invocation and maintenance of disaster recovery measures for IT services and their supporting components, including their regular testing.

Disaster recovery Plans (DRP) are also under the responsibility of ITSCM. The DRP takes care of planning and coordinating the technical, financial and management resources, needed to ensure continuity of service after a disaster.

In 2010, DG TAXUD has initiated multiple test scenarios that should deliver assurance to DG TAXUD of the capacity of the ITSM contractor to continue or restore its services and/or infrastructure and that should lead to the identification of potential improvements. These test activities cover the continuity of operations of Central IT systems hosted in DIGIT (server failure or CCN Gateway failure), the continuity of the Service Desk, Application management and Infrastructure management and the continuity for systems hosted at ITSM contractor. These testing activities are now performed on a regular basis.



Please refer to the ITSM IT Service Continuity Plan for Commission IT Services and the associated DRP, [\[R80\]](#)

Currently, ITSM is managing continuity with the following set of internal procedures, [\[R182\]](#):

- Procedure for the recovery of IT Systems;

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- Procedure for the recovery of Network Infrastructure Systems;
- Procedure for the recovery of hardware components;
- Procedure for the recovery of software components;
- Procedure for the recovery of applications;
- Procedure for the recovery of data and volume groups;
- Procedure for the recovery of Utilities and HVAC;
- Procedure for the recovery of serious security incidents;
- Procedure for the recovery of Service Desk operations;
- Procedure for the recovery of third party services;
- Procedure for the DIGIT gateway failover;
- Procedure for the continuity of DIGIT hosted systems;
- Procedure for the continuity of Service Desk activities;
- Procedure for the continuity of Application Management activities;
- Procedure for the continuity of Infrastructure Management activities.

#### **6.10.1.1.4 Crisis Management [\[As is ITSM\]](#)**

Crisis management is covered in DRP (See Section [6.10.1.1.3](#)).

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### 6.10.1.2 VOLUMETRIC [\[As is ITSM\]](#)

The following volumetric data are applicable for 2010:

<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
V.10.1	Security plan for Central IT services - update	1
V.10.2	Security Convention - update	9
V.10.3	Supervision of ITSCM / DRP exercises	18 scenarios

Table 38: Volumetric Data ITSM - Security Management – (Service Block 10)

### 6.10.1.3 AS IS SITUATION CCN

#### 6.10.1.3.1 Security Management [\[As is CCN\]](#)

The CCN security management is currently a shared task between the CCN/TC who is responsible for the CCN infrastructure and the National administrations who are invited to implement the required security measures at the national level under their responsibility.

The CCN/TC contractor is responsible for implementation of the CCN/CSI security policy by providing the CCN/CSI client application platforms in National domain with a coherent set of generic security mechanisms (secure access and transport service from/to the client applications) that helps those application platforms to meet their own security objectives. The CCN/CSI must protect NAs against intrusion via their CCN connection and must prevent unauthorised access from a National Domain to the Community-Domain. Note that CCN/TC relies on some security features provided by the CCN network operator.

The security policy of CCN/CSI complies with the "subsidiary" model, placing the security management of the access to each of the CCN resources either at the level of the [NAs](#) or at the level of DG TAXUD and its sub-contractors (Common-Domain). In all cases, the parties connected to CCN (including National Administrations, contractors) are responsible for the strict limitation and monitoring of the access to their entry point to the CCN network. This is of high importance considering the operational role of CCN in anti-fraud systems in the area of Taxation and Customs Union.

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Once a year, the CCN/TC contractor is assigned the task of launching an internal security campaign to detect any security breaches in the national administrations and to ensure their compliance with the security rules.

The baseline security measures, i.e. the minimal set of security measures that are taken to secure the CCN/CSI computer and data communications systems can be grouped as follow:

- Confidentiality, integrity and availability of the network services by implementing network encryption, malware detection and intrusion detection;
- Identification and Authentication functions related to CCN users management, the management of the routing, encryption and other network devices and the management of the CCN/CSI gateways at the operating system and application level;
- Access and Access Control functions to control the physical, logical and network access to the CCN/CSI computer and data communications systems. All access to the Community Domain network backbone must be granted only through the gateways;
- Audit, Accounting and monitoring functions to monitor any security events, prevention or detection of unauthorised change to the computer and data communications system configuration;
- All incidents, including security incidents, are subject to an incident management procedure and reported to DG TAXUD and/or national domains as appropriate. Any additional specific security measures needed to improve the security of CCN/CSI computer and data communications systems and prevent the incident to occur again;
- All deployed software must subscribe to CCN/CSI security policies and security plans, conventions of systems development, testing and acceptance;
- All computer and data communications systems used for production processing in CCN/CSI are subject to a formal change control procedure which is used to ensure that only authorised changes are made so that security is maintained during the change The CCN/TC dedicates a team of highly trained security specialists to provide DG TAXUD with the highest level of security support;
- All computer operations are performed according to strict operating procedures, based on the least privilege principle (i.e. normal operations should not use highly privileged user account - as "root"). All operators must be accountable for their actions. All computer and data communications systems must be hardened.

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Section: Security Management – (Service Block 10)	

To summarise, the CCN/TC contractor is responsible to:

- Provide a Security team and a Security Officer responsible for the day-to-day security on the CCN environment and to ensure that the security policies are implemented;
- Conduct reviews of the CCN measures and where relevant provide advises and recommendations, report weakness and actual or potential CCN security incidents;
- Provide support to run external security audits on software, system and CCN infrastructure including [SPEED](#);
- Ensure that appropriate security training & awareness programs are developed and maintained and coordinate the security with the project stakeholders involved in CCN/CSI;
- The CCN/TC contractor is responsible to ensure the continuity for its own services. CCN/TC performs the failover tests exercises included in the CCN IT Service Continuity improvement. This requires the execution of multiple failover scenario exercises for the underlying services paradigms of CCN/CSI services (Sync, Async, HTTP, HTTPS) and CCN Mail. The CCN/TC addresses the continuity of critical services in case of a continuity related event through 5 scenarios:
  - Recovery of the central LDAP after complete loss;
  - Operation continuity without central LDAP (could be a table top exercise);
  - Table top exercise on Service Desk unavailability;
  - Table top exercise on unavailability of key operational people;
  - Table top exercise on unavailability of key operational infrastructure (CCN/TC network or data centre).



Please refer to the CCN/CSI General Security Policy, [\[R101\]](#) and the CCN/CSI Baseline Security Checklist, [\[R102\]](#)

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#### **6.10.1.3.2 Production & Maintenance of "Security Plan" [\[As is CCN\]](#)**

A security plan has been elaborated by DG TAXUD with the support of the CCN/TC, which aimed at:

- Building a consistent security level across the whole CCN infrastructure;
- Guarantee better security to all NAs participating to CCN/CSI by delivering security operations with a high level of quality;
- Production of CCN/CSI Policy and "Baseline Checklist" (BSCK) related to common security measures with regard to computer and network operation, physical and environmental security;
- Deployment of the "Baseline Checklist" document across all CCN sites;
- Provision of CCN awareness Security Training sessions by the CCN/TC contractor.

Currently, the CCN/TC is managing security with the following set of internal procedures at minimum:

- CCN/CSI security risks assessment;
- CCN/TC security procedures;
- CCN/CSI Baseline Security Checklist;
- Encryption Device Management Procedures;
- CCN Gateway Management Procedures, [\[R51\]](#).

#### **6.10.1.3.3 Production & Maintenance of BCP and DRP Plans including their testing [\[As is CCN\]](#)**

Business continuity and disaster recovery is a key requirement of the CCN network and have been considered since many years on technical side by increasing the resilience and on procedural side by developing plans and procedures. Several iterations have been performed and have led to the development of a complete set of documents that requires continuous update to reflect infrastructure or business continuity requirements changes. This set includes:

- Business Impact Analysis, BCP, DRP;
- Several disaster recovery tasks and procedures;
- Several test plans and test reports.

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<b>Section: Security Management – (Service Block 10)</b>	

In 2010, DG TAXUD has initiated multiple test scenarios that should deliver assurance to DG TAXUD and/or NAs of the capacity of CCN/CSI itself, and the CCN/TC in particular, to resume normal operations should a disruptive event take. These test activities cover the continuity of operations of CCN gateways located in DIGIT or in NA, continuity of CCN/TC operations, continuity of the SPEED platform, continuity of LCMS (mail servers) and coordination of issues bound to CCN-WAN unavailability. They are performed on the real production infrastructure, with the support of all involved parties.

In that frame, a BCP Lab has been implemented at the CCN/TC in order to perform failover tests that aim for training CCN/TC operators and for periodic improvement cycle of the CCN IT Service Continuity, without impacting the normal production or test activities.

Currently, the CCN/TC contractor is managing continuity with the following set of internal procedures and planning at minimum:

- Local gateway switching procedure;
- Switch CCN gateway from/to Brussels/Luxembourg DIGIT sites;
- Switch SPEED bridge;
- Business continuity requirements analysis - final report;
- Business continuity plan;
- Disaster recovery plan;
- Disaster recovery tasks and procedures;
- Business continuity plan roadmap;
- Business impact analysis;
- Business continuity plan guidelines;
- Business contingency plan guidelines;
- CCN national site disaster recovery plan;
- Contingency gateway - deployment procedure;
- CCN production gateway switching procedure to central backup site;
- LCMS failure to central backup server.



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#### 6.10.1.3.4 Crisis Management [\[As is CCN\]](#)

The CCN environment implies a management of a variety of systems, which provide mission critical functions (connectivity functions, LCMS access, specific software written to fulfil the sending of messages using different protocols). Although many threats and vulnerabilities can be mitigated, some of the threats cannot be prevented. Therefore, it is important that CCN related actors develop contingency plans to ensure as less interruption as possible of its business functions and continued services in case of a disaster event.

The main objectives of the contingency plan are:

- To provide guidelines on the establishment of policies and procedures to be used for the CCN actors in the event of a contingency to protect and ensure functioning of the various CCN assets/components. This includes establishing an operational capability to process pre-designated critical applications/processes, recovering data from off-site backup data sets, and restoring the affected systems;
- To minimise the number of decisions during a contingency, by already having a decision process and the procedures to use;
- To set up a mechanism to identify resources needed to execute the contingency defined actions, mainly identifying the technical knowledge such resources need to perform the required tasks;
- To start identifying actions to be undertaken by pre-designated teams;
- To provide a method to identify critical components (according to the BIA workshop input) to be recovered first in case of disaster;
- To foresee the definition of the process for testing and maintaining contingency plans and awareness for contingency teams;
- To ensure communications between all CCN related actors such as NAs, DG TAXUD, DIGIT DC, CCN/TC, OBS, ITSM and all related suppliers.



Please refer to the Business Contingency Plan Guideline, [\[R81\]](#)

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#### 6.10.1.4 VOLUMETRIC [As is CCN]

The following volumetric data are applicable for 2010:

<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
V.10.4	Security Audits TBC	Typically 1 per year for CCN and 1 per year for SPEED

Table 39: Volumetric Data CCN - Security Management – (Service Block 10)

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Section:Transition – (Service Block 11)	

## 6.11 Transition – (Service Block 11)

### 6.11.1 Definition

This Service Group covers the following services:

- Setup and maintenance of contractor resources
- Take-Over
- Hand-Over



*The description of the services provided by the incumbent ITSM and CCN/TC contractors is not relevant.*

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Section:Other Deliverables & Services – (Service Block 12)	

## 6.12 Other Deliverables & Services – (Service Block 12)

### 6.12.1 Definition

This Service Group covers the following service(s):

- Translations
- Trainings & Workshops & demonstrations
- Building/Hosting of trainings & e-learning facilities
- Other Deliverables & Services

#### 6.12.1.1 AS IS SITUATION ITSM

##### 6.12.1.1.1 Translations [\[As is ITSM\]](#)

The contractor has to manage and deliver translations, on request from the Commission, from one source language to one or two other languages, amongst **DE**, **FR** and **EN** (any combination could happen).

For **EN**, it is the British English language and spelling (not **US**).

Planning for the delivery of translations is mutually agreed between DG TAXUD and the ITSM contractor.

**⚠ Note:** This Service was so far never used during the ITSM contract.



Please refer to the:

- ITSM Framework Quality Plan, [\[R1\]](#)
- ITSM Framework Quality Plan – Annex 12 – Incident Management, [\[R1\]](#)
- Internal Incident Management Working Procedure, [\[R79\]](#)
- ITSM Service Catalogue, [\[R3\]](#)

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#### 6.12.1.1.2 Trainings & Workshops & demonstrations [\[As is ITSM\]](#)

The **training and workshops** could be attended by **10 to 40 delegates** from the NAs, suppliers from DG TAXUD or from any 3<sup>rd</sup> party designated by DG TAXUD. A training/workshop session could have a duration of **1 to 3 days**. The training/workshops takes place at a **location** specified by DG TAXUD, which can also be in the ITSM contractor's premises.

The **demonstration** could be attended by any party invited by DG TAXUD. The attendance may range **from 1 to 100** participants. A demonstration lasts for **½ to 1 day**.



Please refer to the:

- ITSM Framework Quality Plan, [\[R1\]](#)
- ITSM Framework Quality Plan – Annex 25 – Business Perspective, [\[R1\]](#)
- ITSM Service Catalogue, [\[R3\]](#)

#### 6.12.1.1.3 Building/Hosting of trainings & e-learning facilities [\[As is ITSM\]](#)

The ITSM contractor will, if requested to, provide Hosting Facilities and infrastructure for the training/workshop.

This includes:

- Meeting room at the ITSM contractor's premises (**up to 40 persons**);
- Training rooms (**up to 40 persons**);
- Workstation (minimum one per two participants);
- Beamer.

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Please refer to the:

- ITSM Framework Quality Plan, [\[R1\]](#)
- ITSM Service Catalogue, [\[R3\]](#)

#### 6.12.1.1.4 Other Deliverables & Services [\[As is ITSM\]](#)

This covers all activities in the scope of the contract but not specified elsewhere. These activities will be defined and ordered via RfE/RfA and ordered on a case-by-case basis via the SC / RfA procedure initiated by DG TAXUD.

#### 6.12.1.2 **VOLUMETRIC** [\[As is ITSM\]](#)

The following volumetric data are applicable for 2010:

<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
V.12.1	# Training/workshop/ Demonstration – Preparation, performance, reports, performance	40
V.12.2	# Training/workshop/ Demonstration – Hosting Facilities and infrastructure:	37
V.12.3	Working group meeting/training/Workshop – Preparation of material	14

Table 40: Volumetric Data ITSM - Other Deliverables & Services – (Service Block 12)

TAXUD/R5 – INVITATION TO TENDER TAXUD/2010/AO-13	REF: ITSM2-Lot1-As is
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Section:Other Deliverables & Services – (Service Block 12)	

### 6.12.1.3 AS IS SITUATION CCN

#### 6.12.1.3.1 Translations [\[As is CCN\]](#)

This service has not been yet triggered by the incumbent CCN/TC contract.

#### 6.12.1.3.2 Trainings & Workshops & demonstrations [\[As is CCN\]](#)

The training and workshops could be attended by **10 to 20** delegates/per session from the NAs, suppliers from DG TAXUD or from any 3<sup>rd</sup> party designated by DG TAXUD.

The trainings support the national system administrator, the local security officer and the development team responsible for the design and development and maintenance of national applications.

**2 training** sessions are organised on a yearly basis each session is organised to cover **5 topics** in the area of CCN system administration and development. NAs are invited to register to the training sessions published in the CCN/TC catalogue.



Please refer to the CCN training bundle [\[R146\]](#), [\[R147\]](#), [\[R157\]](#), [\[R158\]](#), [\[R159\]](#), [\[R160\]](#), [\[R161\]](#), [\[R162\]](#), [\[R163\]](#), [\[R164\]](#), [\[R165\]](#), [\[R166\]](#), [\[R167\]](#), [\[R168\]](#) containing the following documentation:

- CCN/TC Training Package - (CCN/CSI-TRA-CTC-00-MABX)
- CSI Training Package module 1 (C) - (CCN-CTRA-CSI-MOD1 + ENT)
- CSI Training Package module 2 (C) - (CCN-CTRA-CSI-MOD2 + ENT)
- CSI Training Package module 3 (C) - (CCN-CTRA-CSI-MOD3 + ENT)
- CCN/CSI Course Notes: VIES Exercises (C) - (CCN-CTRA-CSI-VIESEXE)
- CCN/CSI Course Notes (Solutions): VIES Exercises (C) - (CCN-CTRA-CSI-VIESEXE-SOL)
- CCN/CSI Course Notes: NCTS Exercises (C) - (CCN-CTRA-CSI-C-NCTS (Exe))
- CCN/CSI Course Notes (Solutions): NCTS Exercises (C) - (CCN-CTRA-CSI-NCTS-SOL-EN3.00)

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- JAVA Training Package module 2 - (CCN-CTRA-JAVA-MOD2)
- JAVA Training Package module 3 - (CCN-CTRA-JAVA-MOD3)
- CCN/CSI Courses Notes: VIES Exercises (Java) - (TRA-CSI-(VIES)-Java-01-d03)
- CCN/CSI Courses Notes (Solution): VIES Exercises (Java) - (SOL-TRA-CSI-(VIES)-Java-01-d01)
- COBOL Training Package module 3 - (CCN-CTRA-COB-MOD3)
- CCN/CSI Intranet Services Course Notes - (CCN-CTRA-INTRANET)
- CCN Intranet training Exercises support - (CCN-CTRA-INTRANET-EXE)
- Local Administration System Training Course.pdf - (CCN-CTRA-ADM-SYST)
- Local Administration ADM3G Training Course.doc - (CCN-CTRA-ADM-ADM3G)
- Local Administration ADM3G Training Course.ppt - (CCN-CTRA-ADM-ADM3G)
- CCN/CSI Security Training Program - (CCN-CTRA-SECURITY)

#### 6.12.1.3.3 Building/Hosting of trainings & e-learning facilities [\[As is CCN\]](#)

The infrastructure and associated operational needs (like material move, set-up) for hosting training and workshops are also provided by the contractor. This includes, amongst others, meeting rooms (up to **20 persons**), training rooms, PCs (minimum **one per two participants** when applicable), beamer, etc.

#### 6.12.1.3.4 Other Deliverables & Services [\[As is CCN\]](#)

This covers all activities in the scope of the contract but not specified elsewhere. These activities will be defined and ordered via RfE/RfA and ordered on a case-by-case basis via the SC / RfA procedure initiated by DG TAXUD.



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<b>Section:Other Deliverables &amp; Services – (Service Block 12)</b>	

**6.12.1.4 VOLUMETRIC [As is CCN]**

The following volumetric data are applicable for 2010:

<b>ID</b>	<b>Work Item</b>	<b>Volume Estimates</b>
V.12.4	Number of CCN training sessions/year 5 sessions in autumn and 5 during spring period.	10  - Introduction to CCN (1 session)  - CSI programming (1 session)  - CCN administration (1 session)  - Integration of Web app. Into CCN intranet (1 session)  - CCN security (1 session)

Table 41: Volumetric Data CCN - Other Deliverables & Services – (Service Block 12)

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