

TAXUD/R4 – INVITATION TO TENDER TAXUD/2012/AO-06	REF: QA3 TOR
QUALITY ASSURANCE - TERMS OF REFERENCE	
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ORIGINATOR: TAXUD/R4	ISSUE DATE: September 2012	VERSION: 1.0 – EN
<p>Annex II.A - TERMS OF REFERENCE</p> <p>INVITATION TO TENDER TAXUD/2012/AO-06</p> <p>For the provision of services for Quality Assurance and Quality Control and Project Management of IT activities managed by DG TAXUD</p> <p>(QA3)</p>		

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0.4. 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 ”.

Acronym	Definition
ACT	Application Configuration Tool
AEO	Authorised Economic Operators
AN	As Needed
APM	Application Portfolio Management
ART	Activity Reporting Tool
ATP	Acceptance Test Plan
ATS	Acceptance Test Specifications
BCP	Business Continuity Plan
BL	Baseline
BMM	Bilateral Monthly Meeting
BPM	Business Process Modelling
BTI	Binding Tariff Information
CAB	Change Advisory Board
CCN	Common Communications Network
CCN/CSI	Common Communications Network / Common System Interface
CCN/TC	Common Communications Network / Technical Centre
CCN/WAN	Common Communications Network /Wide Area Network Provider
CDB	Capacity management DataBase
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

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CN	Combined Nomenclature
CO ₂	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
CS/RD	Central Services/Reference Data
CSF	Critical Success Factor
CSIP	Continuous Service Improvement Programme
CT	Conformance test
CUSTDEV2	Development contractor for customs systems
DDS	Data Dissemination System
DE	DEutsch (German)
DG	Directorate General
DIGIT	Directorate-General for Informatics
DIGIT/DC	Data Centre of the European Commission
DLV	DeLiVerable
DMZ	De Militarised Zone
DQR	Delivery Qualification Report
DRP	Disaster Recovery Plan
DSL	Definitive Software Library
DTM	Deliverable Tracking Matrix
EAS	Enterprise 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
EMCS	Excise Movement and Control System
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

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FAT	Factory Acceptance Test
FISCO	Fiscal Compliance Experts' Group
FITSDEV2	Development contractor for Fiscalis ¹ systems
FP	Fixed Price
FQP	Framework Quality Plan
FR	French
FS	Functional Specifications
FWC	Framework Contract
GQI	Global Quality Indicator
GTT	Generic Test Tool
GW	Gateway
HO	Hand-over
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
ISD	Infrastructure and Service Delivery sector
ISO/IEC	International Organization for Standardization/ International Electrotechnical Commission
ISPP	Information System for Processing Procedures
IT	Information Technology
ITIL	IT Infrastructure Library
ITSC	IT Steering Committee
ITSCM	IT Service Continuity Management
ITSM	IT Service Management
ITT	Invitation To Tender
JIT	Just In Time
KEL	Known Error List
KPI	Key Performance Indicator
LAN	Local Area Network
LISO	Local Informatics Security Officer
MA	Mutual Agreement
MCC	Modernised Customs Code
MCP	Monthly Consolidated Plan
MiniISS	Mini-One Stop Shop
MoM	Minutes of Meeting

¹ Covering Taxation and Excise

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MPR	Monthly Progress Report
MQ	Message Queue
MRN	Movement Reference Number
MS	Member State(s)
MSA	Member State (s) Administration (s)
MSR	Monthly Service Report
MTTR	Mean Time To Repair
MVS	Movement Verification System
N.A.	Not Applicable
NA	National Administration
NCTS	New Computerised Transit System
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
ODL	Operation Document Library
OECD	Organisation for Economic Co-operation and Development
OGC	Office of Government Commerce
OJ	Official Journal of the EU
OLA	Operational Level Agreement
OLAF	Organisation de Lutte Anti-Fraude / European Anti-Fraude Office
OR	On Request
OS	Operating System
PDA	Personal Digital Assistant
PERT	Programme Evaluation and Review Technique
PQP	Programme Quality Plan
preCT	Pre Conformance Test
preSAT	Pre Site Acceptance Test
PS	Project Support sector
QA	Quality Assurance
QC	Quality Control
QoD	Quality of Data
QoS	Quality of Service
QTM	Quoted Times and Means
RDP	Remote Desktop Protocol
REX	Registered Exporters
RfA	Request for Action
RfC	Request for Change
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

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SAT	Site Acceptance Testing
SC	Specific Contract
SD	Service Desk
SE	Service
SEAP	Single Electronic Access point
SEED	System for Exchange of Excise Data
SfA	Submit for Acceptance
SfI	Send for Information
SfR	Submit for Review
SLA	Service Level Agreement
SLM	Service Level Management
SMM	Service Monthly Meeting
SMS	Specimen Management System
SMT	Service Management Tool
SPEED2	Single Portal for Entry and 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
SUG	Start Up Guide
SW	Software
SWOT	Strength, Weakness, Opportunity, Threat
TA	Test Application
TARIC	TARif Intégré Communautaire /The Integrated Tariff of the Community
TAX	Taxation Trans-European Systems sector
TAXUD	Directorate-General for Taxation and Customs Union
TEDB	Taxes in Europe DataBase
TEMPO	TAXUD Electronic Management of Projects Online
TES	Trans-European Systems
TESM	IT service management for the Trans-European Systems
TIN	Tax Identification Number
TIR	Transport International Routier
TO	Takeover
ToC	Terms of Collaboration
ToR	Terms of Reference
ToS	Taxation of Savings
TS	Technical Specifications
TTA	Transit Test Application
UAM	User Access Management
UIPE	Uniform Instrument Permitting Enforcement
UNF	Uniform Notification form

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USB	Universal Serial Bus
VAT	Value Added Tax
VIA	VIES Initial Application
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
WAN	Wide Area Network
WBS	Work-Breakdown Structure
w-days	Commission's working days (Normal working days are Mondays to Fridays inclusive excepting Commission Holidays)
WebLDAP	Web Client for Lightweight Directory Access Protocol
WP	Work Package
XML	eXtensible Markup Language

Table 1: Acronyms

0.5. REFERENCES

Throughout this Call for tenders, references are made to:

ITIL: IT Infrastructure Library (ITIL) for the implementation of the IT Service Management Processes. The official ITIL website can be accessed following this URL: <http://www.itil-officialsite.com/>

At the time of writing the call for tenders, DG TAXUD is migrating from ITIL version 2 to ITIL version 3.

COBIT: Control OBjectives for Information and related Technology. Refer to <http://www.isaca.org> for the COBIT 5 specifications (defined as business framework for the governance and management of enterprise IT)

TEMPO: DG TAXUD methodology to ensure the consistent and efficient management, set-up, development, operation and support of projects and service management.

Tenderers are invited to access TEMPO through the following URL:

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

with the following parameters to sign in:

User identifier: tempogue

Password: guest900

Domain: circa

Standards

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The following standards are referred as applicable in the Technical Annex:

- CMMI Level 2;
- ISO 9001:2008 - Quality management systems – Requirements;
- ISO 19011:2011 - Guidelines for auditing management systems;
- ISO 19761:2011 - Software engineering -- COSMIC: a functional size measurement method;
- ISO 20000-1:2011 - Information technology -- Service management -- Part 1: Service management system requirements;
- ISO 20000-2:2012 - Information technology -- Service management -- Part 2: Guidance on the application of service management systems;
- ISO 27001:2005 - Information technology -- Security techniques -- Information security management systems -- Requirements.
- ISO 27002:2005 - Information technology -- Security techniques – Code of practice for information security management.
- ISO 27005:2011 - Information technology - - Security techniques - Information security risk management
- IFPUG FSM Method: ISO/IEC 20926:2009 Software and systems engineering - Software measurement method - IFPUG functional size measurement method

The Baseline: repository of DG TAXUD artefacts providing description of the current and future activities of DG TAXUD in the area of Quality assurance and Quality Control.

This document is provided on DVD-ROM as Annex XI of the Tendering Specifications and available only on written request by e-mail to: Taxud-tenders@ec.europa.eu or by mail to the following address:

European Commission,
 Directorate-General Taxation and Customs Union
 Rue Joseph II 79/Josef II-straat 79
 1000 Bruxelles/Brussel
 Belgium

The information and the documents on the DVD-ROM are the sole property of the Commission (unless otherwise specified), and are provided without prejudice and for the exclusive use of the tenderer.

A Non-disclosure Declaration (Annex IX) will need to be signed by the potential tenderers.

The QA3 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.

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

- The QA3 call for tenders (of which this document is part);
- TEMPO;
- International standard and best practises;
- All documents referenced in the call for tenders Baseline.

Notation's convention:

- all the references to the documents listed in the documentation *baseline* will be presented between square brackets [ref to document].
- The documents to be used from TEMPO are the ones to be retrieved from the TEMPO site (see URL provided here-before). In the text, references to TEMPO will be provided in italics and will include the document name together with the indication of the main section to be used from the TEMPO home page to browse to it (e.g *TEMPO:Home -> Trans-European Systems Management -> ... Trans-European Systems Reference manual*).

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INTRODUCTION	

1. INTRODUCTION

DG TAXUD manages a set of operational activities in the areas of customs, excises and taxation. These activities target the needs of users in the Commission services as well as those located in the National Administrations of the Member States and the citizens. Most of the IT systems managed by DG TAXUD are trans-European systems spanning all Member States (e.g. Transit and Excise control systems, VAT network). They have an extremely large user population in the National Administrations, in the trader community and in society as a whole. To support these trans-European systems, common functional and technical system specifications are defined. A closed and secure trans-European communication network (named CCN/CSI) as well as several applications and databases have been developed and are operated under the management of DG TAXUD. New trans-European systems are also being developed.

All the trans-European information systems have a legal basis and they receive budgetary support from two programmes, Customs 2013 and Fiscalis 2013, and their successors (Customs 2020/Fiscalis 2020).

To promote consistent and efficient development of projects and applications, DG TAXUD has created, develops and maintains the TEMPO methodology for projects and services. Large parts of the IT development and operations activities are outsourced to external service providers. The 2012 IT budget estimation amounts to 61,500,000 Euro, out of which 10% is devoted to the Quality Assurance activities. DG TAXUD wants to ensure continuous quality and maturity improvement, that the different projects are well managed, deliverables made on time and within budget, services delivered according to expectation, that an overall quality is achieved and that the cooperation between DG TAXUD and its service providers is optimal, within the framework of its methodology TEMPO.

DG TAXUD has put in place a Quality Assurance (QA) contract which helps with the monitoring and the assurance that the projects are conforming to the quality principles defined and applied in the pertinent SLA/OLA and quality plans, on the basis of the TEMPO methodology. The QA contractor performs dedicated QA, QC or other quality oriented tasks.

Because of the expiration of the QA framework contract in place, DG TAXUD has to establish a new Framework Contract (FC) to outsource its Quality Assurance and Quality Control activities. The QA framework contract will now also include "*Assistance à maître d'ouvrage*" (support to project management from a customer perspective).

The ToR of this Call for Tenders provides:

- a description of the scope of this Call for tenders;
- background information.

Refer to the Annex II.B - Technical Annex for the full description of the work packages, for the codification of the Work Breakdown Structure (WBS) of the activities to be performed, including a list of services and deliverables, associated with a list of reference Specific Quality Indicators (SQI).

In case of conflict between the terms of reference (this document) and the Technical Annex, the latter prevails.

DG TAXUD invites the bidders to take note of the full content of TEMPO which constitutes the reference base the QA contractor will have to apply and maintain, and to take note of the Baseline which adds additional useful information.

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2. SCOPE OF THIS INVITATION TO TENDER

2.1. SCOPE

This Invitation to Tender is for one Framework Contract of a duration of three (3) years, with option for maximum two (2) extensions of one (1) year, to cover the provision of services to DG TAXUD in the field of Quality Assurance and Quality Control and Project Management for its current and future IT projects and operations mandated by the Customs 2013 programme, the Fiscalis 2013 programme, and their successors Customs 2020 and Fiscalis 2020 programmes under preparation, in the scope of DG TAXUD activities.

The QA3 contractor will be a key player to assist DG TAXUD fulfilling its customers' expectations whilst relying entirely on external contractors to provide the necessary IT services.

The QA3 contractor is expected to take all necessary steps so that it gives "reasonable assurance" to DG TAXUD that the services and deliveries from the other contractors comply with expectation, and that the corresponding processes are well-defined and applied. Furthermore, the QA3 contractor is expected to assist DG TAXUD for the continuous improvement of the IT maturity, and to provision the TEMPO methodology accordingly. The QA3 contractor is expected to support and advice DG TAXUD in its IT project management activities (*assistance à maître d'ouvrage*).

The work packages defined in the Annex II.B - Technical Annex of the Tendering Specifications defines the specific services to be provided by QA3 contractor.

2.1.1. QA3 SERVICES

The main services and deliverables of the QA3 contract are:

- take-over from the current QA contractor in charge of the quality assurance / quality control activities;
- Coordination with involved parties (meetings);
- Maintain and evolve the TEMPO methodology, including training;
- Provide QA/QC services, including reviews of deliverables from other contractors, coordination of the review process, QC of the Service Level Management (SLM) processes of other contractors, QC of testing activities;
- Perform audits (quality / security / ad hoc) of other contractors;
- Technical support and support to continuous improvement of IT maturity (DG TAXUD, contractors);
- Project Management support to DG TAXUD in its role of customer;
- Hand-over at the end of the contractual period to the Commission or any specified third parties on its behalf.

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The detailed requirements to be fulfilled by the QA3 contractor are described in the Annex II.B - Technical Annex of the Tendering Specifications which includes the work packages, the corresponding deliverables and the quality indicators.

2.1.2. TAKE-OVER (WP .2)

QA/QC activities for the different DG TAXUD IT projects are currently performed by an incumbent QA contractor.

Take-over activity is normally part of the first specific contract to be signed. It is foreseen the QA3 contractor will take over all QA/QC activities for all business threads in one go.

By default, the take-over period is 6 months.

The Annex II.B - Technical Annex provides the detailed requirements for the Take-Over (see WP.2 and related deliverables).

2.1.3. HAND-OVER (WP.5)

At the end of the contractual period, the QA3 contractor will hand over to DG TAXUD, or any specified third parties on its behalf, in accordance with instructions to be given by DG TAXUD, the whole of the QA3 services, the whole of the live and historical data and information supporting the services provided, the up-to-date version of any common tools developed/maintained by QA3 contractor, free of any rights, unless otherwise agreed by the Commission.

Up-to-date version of the FQP, services process and procedures descriptions must be available as well to support the hand-over.

The Annex II.B - Technical Annex provides the detailed requirements for the hand-over (see WP.5)

2.1.4. QA3 SERVICES AND DELIVERABLES

The Annex II.B - Technical Annex provides the detailed requirements (see WP.0, WP.1, WP.3, WP.4, WP.9. and WP.A). Additional background information is provided in section 3.7 "QA/QC Services".

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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 European Union (EU) policies for customs, taxation and excise duties. Actually, this comprises direct and indirect taxation, tariff strategy, e-Customs, the future Union 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 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 publication of** the most relevant information (including customs tariff, balances of tariff quotas, VAT number identification, etc.), contained in its IT systems on the Commission's Europa website.

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 exceeding 120 million requests in 2011.

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3.1.2. IT SYSTEMS

Most of the IT systems of DG TAXUD are trans-European systems spanning all Member States (MS) of the EU. The users are the National Administrations, the EU traders' 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).

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.

All the IT systems have a legal basis² and receive budgetary support from EU programmes, currently Customs 2013 and Fiscalis 2013 for which they represent a significant part of the expenditure. The Customs 2013 and Fiscalis 2013 programmes will be replaced by the Customs 2020/Fiscalis 2020 programmes, which are proposed for the period 2014 – 2020. Information on the [Portofolio of the IT systems] is provided in the Annex XI _ Baseline.

The development of an IT system constitutes a major project to be run over several years.

The bidders are invited to read the full description of the trans-European systems lifecycle under TEMPO: *TEMPO:Home -> trans-European System Management -> ... trans-European Systems Management Reference manual*

An extract from this documentation is provided here below to introduce the notion of the lifecycle, the respective phases of the Trans-European System development project and the deliverables.

2 For example, in 2008 important legal acts for IT systems were the so-called “VAT package”, the future Modernized Customs Code (renamed Union Customs Code since then) and the e-Customs decision on a paperless environment for customs and trade.

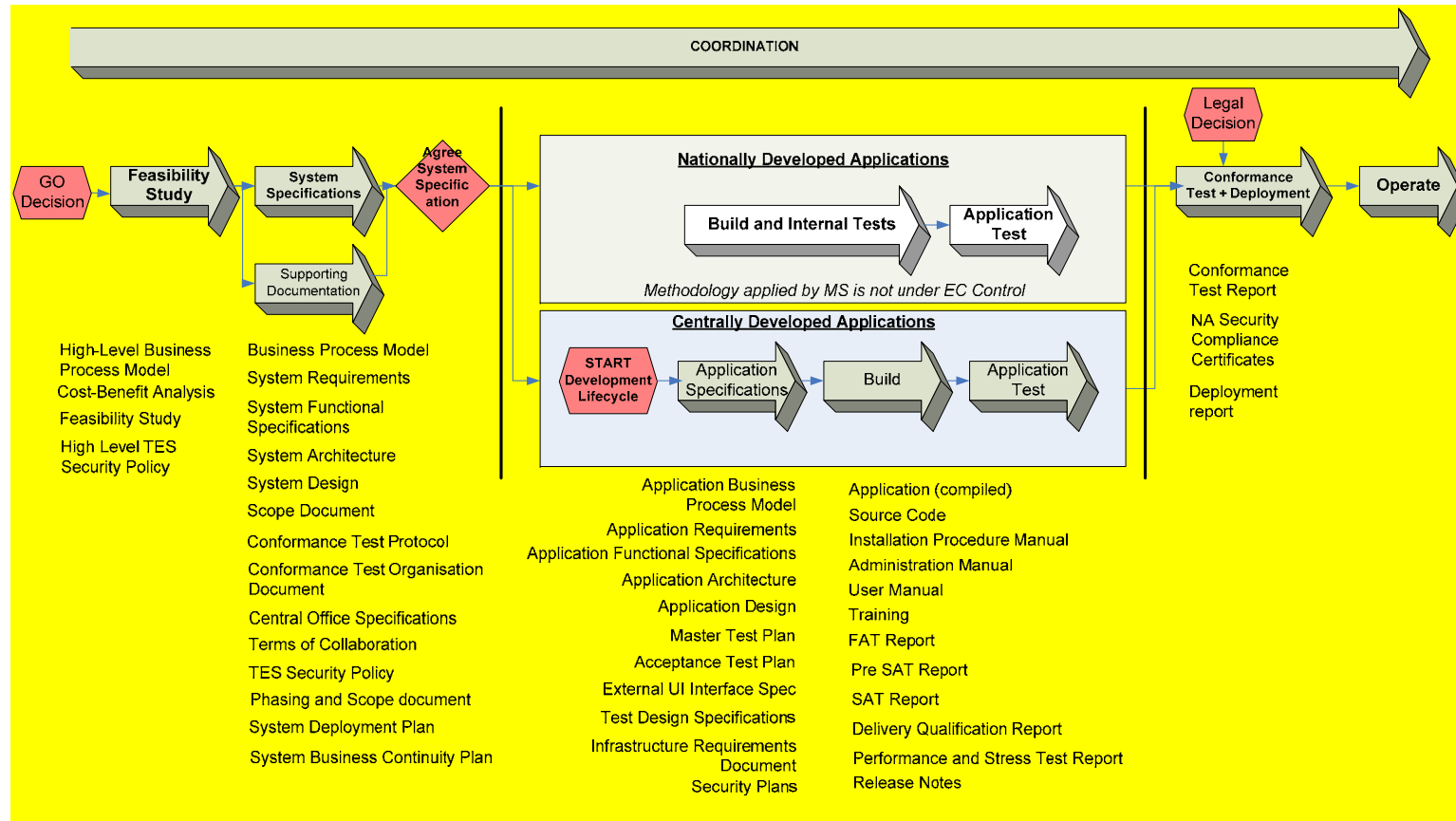


Figure 1: Trans-European System Development Lifecycle

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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 New Computerised Transit System (NCTS)** which provides a fully computerised Customs regime for goods which enter into the Common Transit, *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 (EMCS)** allows for the monitoring and control in real-time of the movement of excise goods (alcohol, tobacco and energy products).

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, 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). Currently, a new version of SPEED (namely SPEED2) is under development, and is expected to be in production in 2013.

All these activities rely on a secure and reliable communication between the Member States and the Commission. This is realised thanks to a private common communication network (CCN) that TAXUD has developed and operated for more than 10 years across the European Union and which transports and exchanges a massive amount of messages and information (1,2 billion of messages have been exchanged in 2011 (18% increase against 2010) and 3,3 terabytes of application data (30% increase against 2010).

In particular, in the context of EU enlargement, connecting the candidate countries 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. In coming years, this network will move towards an interoperability-enabler interconnecting more services.

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3.1.3. GOVERNANCE

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.

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, Union 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.

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 2009-2011. The Union 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, the development of an IT Master Plan and of a reference enterprise architecture of customs systems.

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 2009-2011 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:

- A batch of **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.

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- A batch of **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 exchange of electronic forms for the recovery of claims, for mutual assistance in the field of direct taxation, and for Council Regulation (EC) No 1798/2003³ and Commission Regulation (EC) No 1925/2004⁴ in VAT was deployed as well. Also, common projects were launched concerning e.g. exchange of eForms, self-testing services, statistics and exchange of administrative information. In 2011 a new version of the Taxes in Europe Database (TEDbV2) was deployed as well as a new release of Recovery e-Forms for Council Directive 2010/24/EU⁵.
- The new Import Control System (ICS), 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.
- Also a new **version of CCN** was put in production, as well as a **new service management tool (Synergia)**.

DG TAXUD may anticipate an **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 e-Customs Decision and the Union Customs Code, the operation of the EMCS in its full capacity (due to its expansion into Phase 3), 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 the Eastern neighborhood.

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

Further details are available from the [Portofolio of the IT systems] in the Annex XI -Baseline, together with the [overall planning information]. This represents the information which is available at the time of writing the call for tenders which may differ from the status of the projects at the time of take-over by the QA3 contractor.

Information on the SMT tool [Synergia] is available from the Annex XI - Baseline.

3.3. IT ORGANISATION OF 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.

³ OJ L 264/1, 15.10.2003

⁴ OJ L 331/13, 05.11.2004

⁵ OJ L84/1, 31.03.2010

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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 departments and Member State 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.

Units R4 and R5 are sub-divided into sectors as follows:

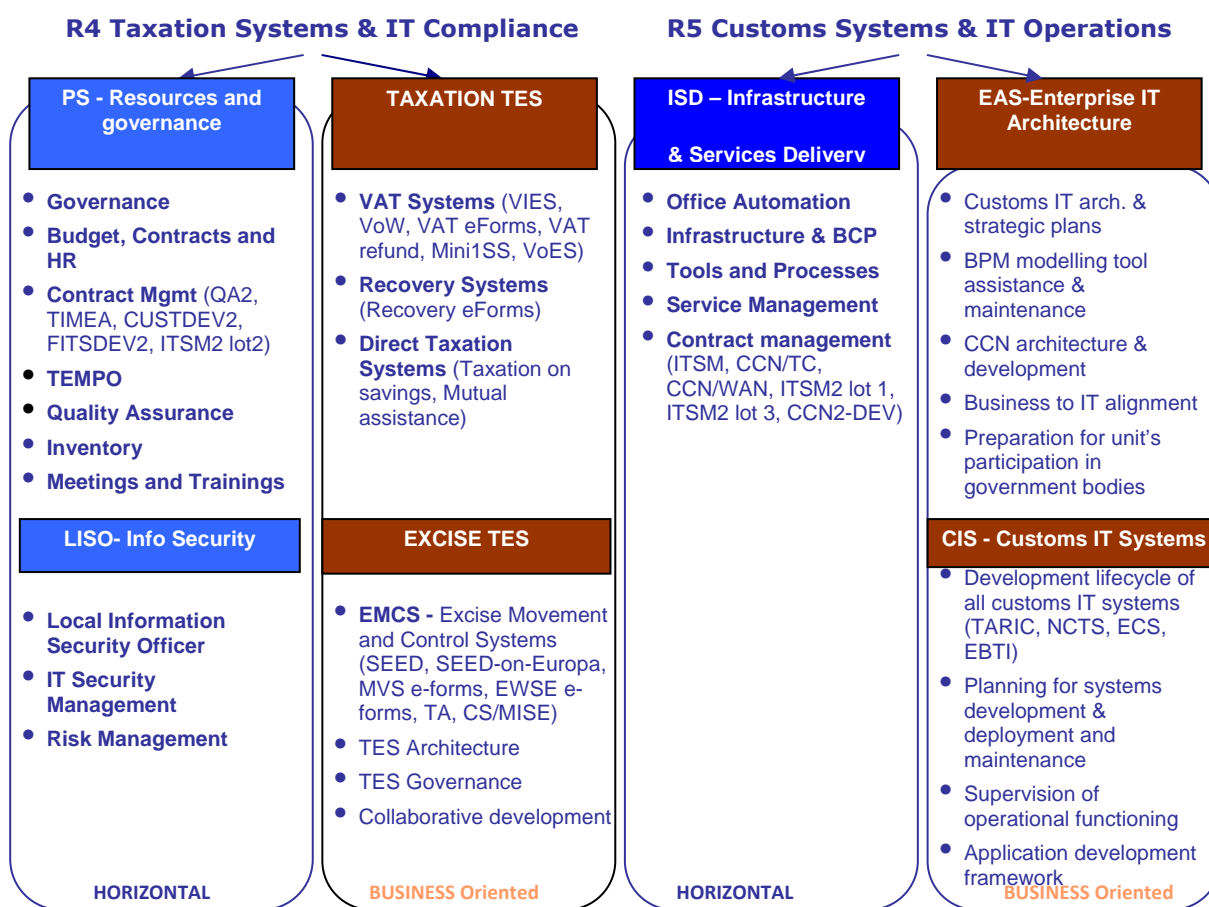


Figure 2: IT organisation in DG TAXUD

The **Unit R4** is divided into four sectors:

- **Resources and governance sector (R4/PS):** is a “horizontal” sector involved with governance, budget, contracts and project management, and human resources. R4/PS provides services to all the other sectors of IT units R4 and R5. R4/PS manages the QA2 framework contract, the development contracts (FITSDEV2 and CUSTDEV2), and the new ITSM2 Lot2 contract. R4/PS will manage also the QA3 framework contract;
- **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

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systems related to monitoring and controlling in real-time the movement of excise goods (alcohol, tobacco and energy products) for which duties still have to be paid. 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. It is responsible for Taxation & Excise TES Architecture and governance and for exploring the potential of collaborative development amongst the Member States;

- **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 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 eForms 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 compliant with the EC 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 into three sectors:

- **Infrastructure and 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 BPM modelling tool.
- Maintaining in the BPM modelling tool, 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 operationally is 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 UCC, etc.

In addition to the above, DG TAXUD **Unit A3**, in the Customs area, is in charge of **UCC 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 Union Customs Code and its implementing provisions. Unit A3 is a policy-oriented unit which is a direct consumer of IT services, e.g. it interacts with the CUSTDEV2 contractor for development of business process models, and with QA contractor for the related QC services.

The QA3 contractor will have to interface with and provide QA/QC services to all the sectors of units R4 and R5, and to unit A3. It is to be noted that some changes in this organisation may occur during the course of the QA3 framework contract and the QA3 contractor will have to accommodate (e.g. new IT organization, other policy-oriented units directly involved), to which.

3.4. IT CONTRACTORS OF DG TAXUD

3.4.1. DG TAXUD IT VALUE CHAIN

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.

Currently, units **R4** and **R5** rely on several **external contractors** to perform their duties (refer to Figure 3 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 provider for building infrastructure (Data Centre Building Facilities);
- One common network provider (CCN/WAN2);
- One network technical centre (CCN/TC) in charge of the CCN/CSI developments and operations;
- One quality assurance/control contractor (QA2);

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- Several consulting contractors to perform strategic studies and analyses.

The IT value chain of DG TAXUD is depicted below:

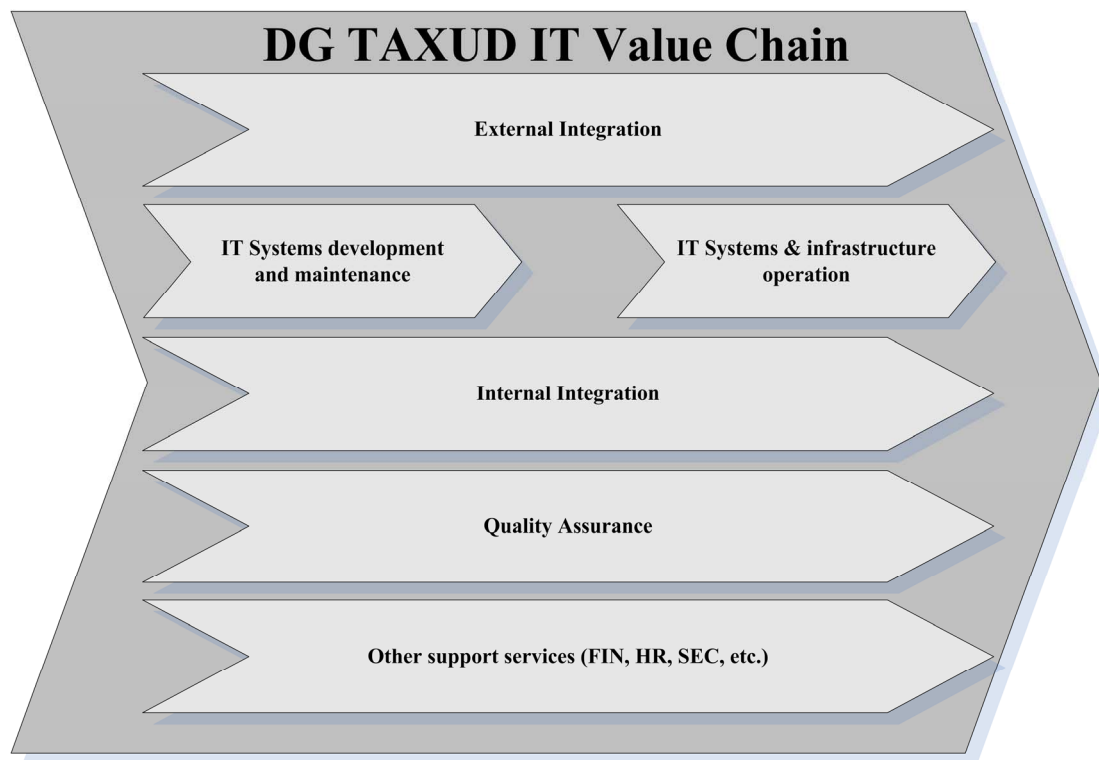


Figure 3: DG TAXUD IT Value Chain

External Integration is defined as the set of activities that are needed to integrate DG TAXUD's IT systems with those of the National Administrations (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.

Quality Assurance and other support services (FIN, HR, SEC, etc.) are activities, 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

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services and deliverables supplied to DG TAXUD by all its suppliers including conducting regular security and quality audits of them. Other support services concern financial aspects, human resources and secretariat.

3.4.2. AS-IS DG TAXUD CONTRACT ORGANIZATION OVERVIEW (JULY 2012)

The existing structure of DG TAXUD contracts⁶ 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, the Data Centre (DC) Building Facilities and the Data Centre service of DIGIT.

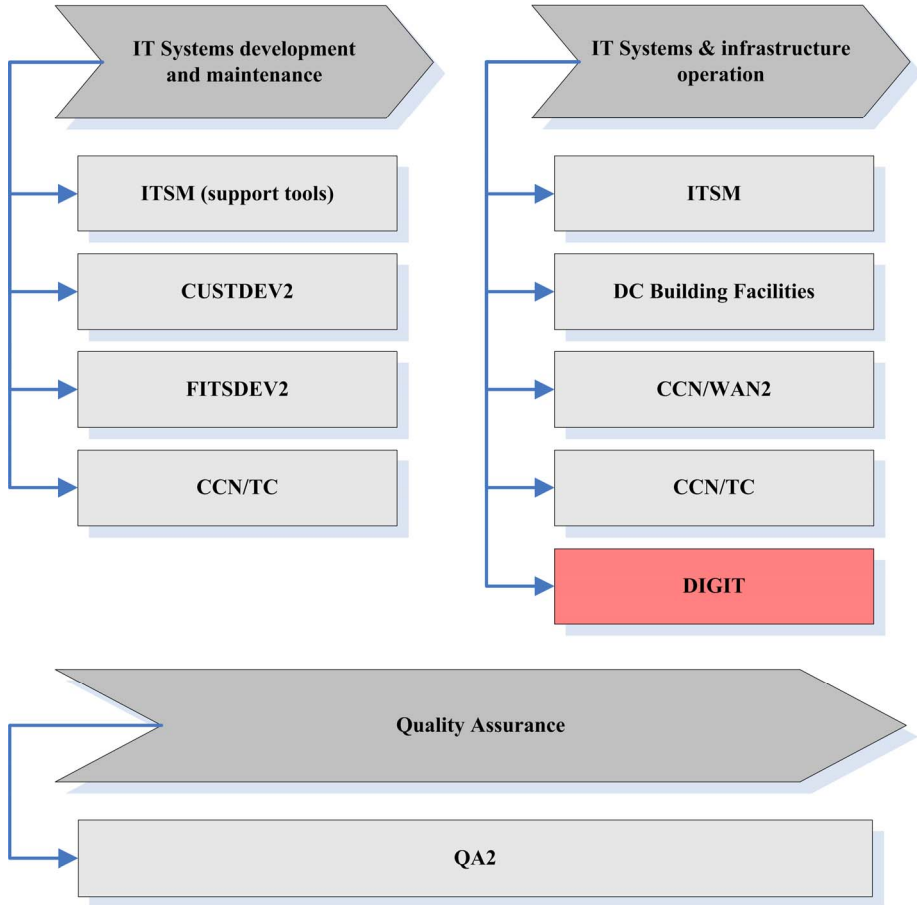


Figure 4: DG TAXUD's Current Contracts

⁶ With the exception of DIGIT as there is no contract between DG TAXUD and DIGIT but a Memorandum of Understanding.

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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" of which some are also used by other contractors (referred to as Synergia).

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.

DC Building Facilities is the contract that provides the locations for the two Tier IV level Data Centres in Luxembourg that will be used by DG TAXUD. All infrastructure hosted by ITSM and CCN/TC will be regrouped in these Data Centres, and will be operated by the future ITSM2 lot 1 contractor.

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 Commission's Data Centre (DIGIT/DC) which hosts part of the DG TAXUD information systems.

The **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.

3.4.3. TO-BE DG TAXUD ORGANIZATION OVERVIEW

Customs and tax administrations face major challenges that will require continued and improved support of IT. The introduction of the Union Customs Code (UCC) as of 2013 and the e-Customs initiative are examples of these business challenges.

In order to respond to these challenges, it is considered necessary:

- To continue the consolidation of its IT service management, so as to increase the effectiveness and efficiency of the services it supplies to its beneficiaries. In order to do so, the IT service management call for tender TAXUD/2010/AO-13 (ITSM2) that was published in the Official Journal⁷, comprised three (3) lots for the execution of services for five (5) years:
 - **ITSM2 Lot 1** - IT service management, covering applications management, operations, hardware infrastructure and building infrastructure for both CCN and central applications; Lot1 integrates IT systems and infrastructure

⁷ [Official Journal S 189-308057](#), 01.10.2011,

See also http://ec.europa.eu/taxation_customs/common/tenders_grants/tenders/archives_en.htm

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operation, merging the previously repeated CCN/TC operation and ITSM operations.

- **ITSM2 Lot 2** - trans-European systems management. This lot will provide support services for the coordination of implementation of trans-European systems in Member States.
- **ITSM2 Lot 3** - Operations integration and control. This lot aims at providing advice for IT architecture, service management, service control, service improvement, change management and benchmarking.
- To renovate CCN so as to modernise the existing facilities and create the new facilities necessary for the support of the existing political and operational objectives (**CCN2-DEV**). The CCN2-DEV framework contract shall provide essentially 3rd level support, maintenance services and development services for the existing CCN/CSI and future CCN2 Platform Infrastructure. A call for tender TAXUD/2011/AO-13 has been published in the Official Journal⁸.
- To ensure continuity of the developments contracts and plan the current CUSTDEV2 and FITSDEV2 framework contracts will be replaced by the **FITSDEV3** and **CUSTDEV3** framework contracts.

⁸ Official Journal S 112-184877, 14/06/2012

See also http://ec.europa.eu/taxation_customs/common/tenders_grants/tenders/index_en.htm

The target organization to be reached during 2013-2014 represents the current vision of DG TAXUD, without prejudice to further evolution as the need may arise.

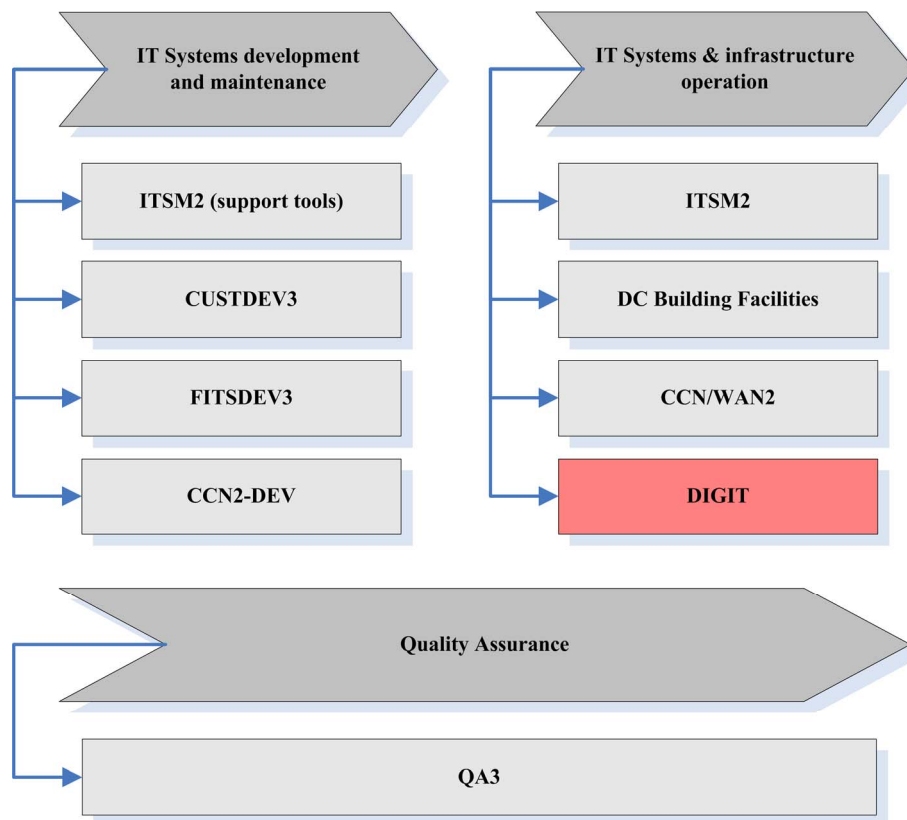


Figure 5: Support Contracts' Target Situation at DG TAXUD

With regards the other layers of the IT value chain:

- **External integration** will be supported by the ITSM2 Lot 2 contractor
- **Internal integration** will be supported by the ITSM Lot 3 contractor.

3.5. STRATEGY FOR QUALITY MANAGEMENT

"**Quality management** is a method for ensuring that all the activities necessary to design, develop and implement a product or service are effective and efficient with respect to the system and its performance."⁹ In the context of DG TAXUD IT activities, quality management includes as well activities related to the IT service management, once a product/service is operational.

Quality management is composed of two complementary sub-layers:

- The Quality Assurance (QA) sub-layer which defines the quality framework in which the project takes place; it is based on the TEMPO Quality Methodology;

⁹ Definition from Wikipedia, the free encyclopedia.

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- The Quality Control (QC) sub-layer performs the verification and validation of the quality of the deliverables produced by the contractors during the project within the quality framework defined by the QA sub-layer.

In order to produce quality deliverables (documents, software, services, etc.) it is necessary to implement both quality sub-layers. The QA must be followed and reflected by the QC in order to be effective. The QC is almost impossible without the QA defining the QC scope and objectives but also the means to reach them. This implies that the QA and QC functions are mutually dependent.

DG TAXUD has TEMPO as a quality driven methodology and requires the contractors to abide by the quality principles defined in TEMPO. These quality principles are specifically described, enforced and monitored through the PQP, FQP, CQP, as well as via the Specific Quality Indicator (SQI) and SLA/OLA mechanisms.

DG TAXUD has put in place a QA contractor who helps with the monitoring and the assurance that the projects are conforming to the quality principles defined and applied in the pertinent SLA/OLA and quality plans, on the basis of the TEMPO methodology. The QA contractor performs dedicated QA, QC or other quality oriented tasks.

The bidders are invited to read full description of the Quality Management strategy under TEMPO: TEMPO:Home -> Quality Management -> ... Quality Management Reference manual.

3.6. CONTRACT AND DEMAND MANAGEMENT

QA Services are ordered in accordance with the following:

- The Framework Contract (FWC) 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, rules for reimbursement of travel expenses.
- After the Framework Contract is signed, orders will be placed in the form of Specific Contracts (SC) concluded in performance of the Framework Contract. They specify the list of services and deliverables concerned for a given period and the way these will be ordered:
 - The "**Fixed Price**" contracts: are the services and deliverables which may start at the signature of the Specific Contract with an overall sum;
 - The "**On-Demand**" contracts: are the services with a unit price which may be ordered by means of a "Request for Actions – RfA". Once an 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;
 - The "**Quoted-Time-and-Means**" contracts: 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;

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The mechanism of "On-Demand" services enables DG TAXUD to better align the services (and budget) with the needs; given the high number of service quantities to be monitored, it implies that a proper "demand and delivery management" process is put in place to: (a) closely follow-up the quantities available, services consumption and related ordering, and (b) closely follow-up the quantities formally accepted and ready for invoicing.

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

The tenderers must refer to the Annex III - Price List of the Tendering Specifications to get the pricing strategy to be used for QA3 contractor.

The description of the ordering processes (specific contracts, RfAs, triggers) is available from TEMPO (*see TEMPO:Home -> Contract Management -> Specific Contract Management Referenced Manual*).

3.7. QA/QC SERVICES

This section provides information on the QA/QC services provided to DG TAXUD. This information does not repeat the work specifications described in the Annex II.B - Technical Annex, but it comes in support. It also introduces related documents to be retrieved either from TEMPO or from the Annex XI - Baseline.

To ease comparison, the section is organised using the numbering of the QA3 work packages. It is based on the current QA activities. It also takes into account the future contractual situation for the IT service management services (in particular ITSM2 Lot 1 and Lot 2 contracts) which must be the reality for the QA3 contractor.

3.7.1. INTRODUCTION

All activities and deliverables from DG TAXUD IT activities' contractors are under quality control of the QA contractor.

The [Framework Quality Plan] of the incumbent QA contractor is available from the Annex XI - Baseline; it provides information on the way the QA services are implemented by the incumbent contractor. Its annexes provide templates and examples.

The training material available from TEMPO (*TEMPO: Home -> Training*) is addressed to DG TAXUD's staff and contractors. It is prepared by the QA contractor and covers most of the QA/QC processes. It constitutes as well a good information base.

Most of the activities of the incumbent QA contractor will be continued under the new QA3 contract. Some of them might be upgraded in terms of requirements. The Technical Annex of the QA3 contract provides the full set of requirements to be fulfilled. It keeps the same numbering of the work packages as applied today and described in the FQP of the incumbent QA contractor.

The Technical Annex of the QA3 contract also includes new and additional work packages:

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- WP.4.6 Extended technical meetings with the Commission and/or other 3rd parties involved in the related projects
- WP.9.7.2 Management of the user groups under CIRCA/CIRCABC (and any of its successors) for use within the review cycles
- WP 9.10 Project Management support

To be noted: WP 9.7.1 in the QA3 contract corresponds to WP 9.7 of the FQP of the incumbent QA contractor.

The sectors from the IT units (R4, R5) and A3 unit rely on the QA/QC services. It is to be noted that processes and procedures with regards to QA/QC services may present some differences according to which sector is concerned. The QA/QC services are also subject to continuous improvement process. In this context, the QA3 contractor has to be ready to accommodate the status of the QA/QC services as they will be delivered at the time of take-over and to be ready to accept any remaining differences in the processes applied by the individual sectors by that time. The reference will in any case be the specifications as described in the Annex II.B - Technical Annex.

The Annex XI - Baseline includes the [QA quantities engaged] since the start of the previous QA Framework Contract overall and per sectors. There is one sheet per Specific Contract (of duration of 1 year) which records the quantities which we engaged on a monthly basis (for activities under fixed price, on-demand, and quoted times and means).

To be noted: the volumes are expected to grow in the future, especially with the development activities in Customs area.

The Annex XI - Baseline includes the [Example of technical documentation from other contractors], i.e. documentation which is issued by the other contractors.

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3.7.2. WP.0 PROJECT MANAGEMENT

The QA3 contract is managed administratively by the PS sector.

The PS is in charge of demand and delivery management, in particular following consumption information provided by the QA3 contractor, ensuring that quantities of standard QA/QC services (i.e. services with a unit price) are always available to be triggered and used by the QA/QC customers (the sectors of units R4 and R5, unit A3 and any other TAXUD units in the future that will require services from QA). The PS orders additional quantities by issuing RFAs. In case there is a need for support activities (priced in terms of man/days) an RFE/RFA process is performed. The QA contractor meets the PS sector on a weekly basis, to review the status of the RFEs/RFAs, the quantities consumed / to be ordered, any contractual aspects needing follow-up.

The PS also follows-up and coordinates the QA/QC services with the sectors (during progress meetings and on a daily basis).

The QA3 contractor provides QA/QC services to all sectors of units R4 and R5 and to unit A3. It constantly interacts with them on technical matters and services in relation with the QA activities.

From an operational point of view, the QA3 contractor is organised around SPOCs (Specific Points Of Contacts), i.e. dedicated staff to a specific sector / business thread who ensures the interface between TAXUD and the respective QA teams, whilst keeping the business knowledge:

- the LISO (Local Information Security Officer in Unit R4): in charge of all security and continuity aspects;
- the IT operation (currently assigned to Unit R5 ISD sector) in charge of the ITSM and CCN, including development of ITSM service management and tools and CCN/CSI development by CCN/TC (later CCN2-DEV)
- the Customs Business (currently assigned to unit A3): responsible for the BPM and some of the system functional specifications, looking for support for coordination with the Member States;
- the Customs IT systems (currently assigned to unit R5 CIS sector);
- the Taxation IT systems (currently assigned to Unit R4 Tax sector);
- the Excise IT systems (currently assigned to Unit R4 EMCS sector);
- the TEMPO methodology management (currently assigned to Unit R4 PS sector);
- the QA contract management and the audit of contractors management (currently assigned to the unit R4 PS sector);

The monthly *progress meeting* is organised on a monthly basis and lasts half a day. Details of the monthly progress reports are to be found in the annex of the [QA2 Framework Quality Plan] in the Annex XI -Baseline.

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The monthly progress meetings are complemented by weekly meetings with PS on demand and delivery management (including follow-up of RFEs and RFAs, follow-up of quantities, any contractual aspects needing discussion/decision, overall operational status).

Informal steering meetings are organised on a quarterly basis between the QA3 contractor and DG TAXUD (the Head of Unit R4, the PS sector leader and the QA contract manager). The aim is to review progress and the level of quality of the main services provided, to address any risk perceived at QA side or at the level of the other contractors, to review contractual status, to address any issues, and to enable free exchange of views.

A new report has been added for QA3 contractor, this is the acceptance report which is meant to ease administratively on TAXUD side the acceptance of the QA3 deliverables. It is described under WP 0.8 (see Annex II.B - Technical Annex). This report is to be delivered by QA3 contractor prior to any acceptance letter can be delivered by DG TAXUD.

The specifications for the Deliverable Tracking Matrix (DTM) are available from TEMPO (*see TEMPO:Home -> Tools ->... DTM example*). An extract of the DTM used by the QA contractor [QA DTM] is available from the Annex XI - Baseline.

The SQIs (specific quality indicators) are computed in the DTM for the QA document deliverables and in another specific sheet for the SQIs related to the coordination of the reviews (WP 9.7.1) and for other services.

3.7.3. WP.1 SET-UP AND MAINTENANCE OF RESOURCES

The QA3 contractor manages the TEMPO dissemination environment which is available from CIRCA/CIRCABC (see WP 9.8).

CIRCA/CIRCABC is a groupware service offered by the Commission to share documents with external parties. CIRCA/CIRCABC enables to assign a community of users to a given interest group, and to further manage the access to document and library folders within that interest group. It is available from Europa web site.

A mission critical function for the QA has revealed to be the dispatching of e-mail messages (IN/OUT), especially in the context of its coordination of the review cycles of the documents provided by the other contractors (see WP 9.7). Indeed, with WP 9.7, the contractor is the main responsible for the proper follow-up of the review cycle of document deliverables from other contractors, it represents DG TAXUD, so any incidents in the dispatching (e.g. wrong reviewers selected, delays to launch the review cycle) has direct contractual impact. The QA contractor relies on CIRCA/CIRCABC to perform the management of the review cycles under WP 9.7.

The QA3 contractor may organise conference calls, e.g. in the context of testing activities (conformance testing, pre-SAT, etc.).

3.7.4. WP.3 TRAINING/WORKSHOP/DEMONSTRATION, MISSIONS AND CONSULTANCY

The TEMPO trainings provided by the QA3 contractor are available from TEMPO (*TEMPO:Home -> Training*).

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The QA3 contractor is also requested by DG TAXUD to attend some training sessions provided by the other contractors (development contractor, operations contractor) e.g. in the context of hand-over/take-over activities or training sessions to Member States representatives. This may help the QA3 contractor to understand the technical aspects of the application / systems developed and so to improve its own QA/QC services. Work package 3.2 is thus an important activity for the QA3 contractor to improve its maturity on the IT systems of DG TAXUD.

Training video recording is a new requirement applied for QA3 contractor.

The QA3 contractor can also be requested to perform ad-hoc missions on-site at the premises of a 3rd party (external contractor, National Administration, Partner Administration, etc.) involved in TAXUD IT systems. A mission normally involves one QA representative and may last in average 2 working days (travelling time excluded)

3.7.5. WP.4 COORDINATION WITH INVOLVED PARTIES

This work package provides to the QA3 contractor for an important mean to: (a) improve its maturity on the IT systems of DG TAXUD and keep close contact with DG TAXUD and the other contractors (use of technical meetings and extended technical meetings), (b) have a platform for better coordination (Service Monthly Meetings) and (c) to follow-up the discussion and decisions taken by the management/technical committees (Committee meetings).

3.7.6. WP.9.1 MAINTENANCE OF THE PROGRAMME QUALITY PLANS

- The following PQP are available and will need maintenance:
- the [CUSTOMS PQP] (see Annex XI - Baseline)
- the [Excise PQP] (see Annex XI - Baseline)
- the [Taxation PQP] (see Annex XI - Baseline)

The PQP template has been developed by the incumbent QA contractor and is available from TEMPO (*TEMPO:Home -> Quality Management -> Quality Planning*).

3.7.7. WP 9.2 AUDITS OF OTHER CONTRACTORS

The audit process is a process which lasts several months (refer to the planning of WP 9.2 deliverables in the Annex II.B - Technical Annex of the Tendering Specifications).

DG TAXUD expects that each contractor is audited once a year and a half (quality audits) to check compliance of the procedures to the contractual requirements and the applicable quality plans. Security audits are performed on ad hoc basis. Due to the internal organisation of the contractor (which may be a consortium) to be audited and its geographic set-up to provide the services, it may be required to visit several sites during one audit.

The standard Audit process followed by the QA3 contractor is summarised in an "audit fact sheet" available from TEMPO (*TEMPO:Home ->Quality Management -> Quality Assurance / Quality Control*). The Templates for Audit Plan and Audit Report are available from TEMPO at same location.

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A security audit reference manual is also available from TEMPO (*TEMPO:Home Security Management -> Security Audits*).

3.7.8. WP 9.3 QUALITY MANAGEMENT

This is a new activity compared to the current QA activities. This work package is devoted to the continuous improvement of the quality of the IT activities amongst DG TAXUD and its contractors, on the basis of the analysis and recommendation made by the QA3 contractor.

It is based on overall quality measurement and analysis by the QA3 contract with feedback to DG TAXUD and its contractors in a context of continuous improvement process. The concept of the Quality Managers Meetings (QMM) together with the QMM forums launched under the current contract is kept and re-used as a way to address the communication with the other stakeholders.

3.7.9. WP 9.4.1 QUALITY CONTROL OF THE DOCUMENT DELIVERABLES FROM OTHER CONTRACTORS

DG TAXUD approach is that all document produced by a contractor for review by DG TAXUD (except documents containing financial and/or company confidential information) are to be reviewed by the QA contractor.

WP 9.4.1 is a very important activity for TAXUD but also for QA3 contractor since it will enable the QA3 contractor to follow the whole life cycle of an IT system/application from studies to development, testing and operation, and to have access to the whole technical documentation. For example, at the time of QC of a SAT (see WP 9.6.2), the test plan used by the ITSM2 contractors during the SAT has been reviewed previously by QA contractor under WP 9.4.1.

The Technical Annex now distinguishes between two types of review:

- full scope review, where the QA3 contractor is involved in all meetings during the document elaboration phase so it can master the full scope of the review to be performed, and proceed with after-review meeting with DG TAXUD to align comments strategy for next similar review.
- quality only review, where the QA3 contractor is involved at the document review time and restricts its review to a quality check.

Documents to be reviewed currently exist in different formats:

- *.doc, *.txt
- *.mdb
- *.ppt
- *.xls
- *.mpp
- *.vsd

ARiS models available from the BPMool

Rules for page counting are described in the FQP.

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3.7.10. WP 9.4.2 QUALITY CONTROL OF THE SERVICE LEVEL MANAGEMENT PROCESSES OF THE OTHER CONTRACTORS

The focus for the QA3 contractor is currently the Service Level Management processes of the three (3) contractors in charge of operations (CCN-WAN2, CCN-TC and ITSM). In the future, operations will be provided by CCN-WAN2, ITSM2 Lot 1 and ITSM2 Lot 2¹⁰ contractors.

The SLM processes of the X-DEV contractors might as well be added later on, if DG TAXUD decide so.

The Annex XI - Baseline includes example of [QC of Service Level Management reports].

3.7.11. WP 9.5 QUALITY CONTROL OF THE CONFORMANCE TESTING AND WP 9.6 QUALITY CONTROL OF THE FAT, PRE-SAT/SAT AND QUALIFICATIONS

The acceptance of the developed software deliverables is based on the conclusions of the testing reports, which are a synthesis of the comparison between the results of the testing sessions and the acceptance criteria. Both testing sessions and acceptance criteria are defined in advance in documents (Test plans, test strategies, test protocols, etc.) that have been accepted through the formal review process in which QA3 contractor is involved. After conclusion of the tests, the results are recorded in a report by the contractor in charge of the testing activities; this report is submitted to the formal review cycle as well.

It is to be noted that, on the one hand, document deliverables related to the testing activity (such as test plans, test reports, etc) will be submitted for acceptance to DG TAXUD following a formal review cycle, and the QA3 contractor reviews the documents (QC) during such review cycle. On the other hand, the QA3 contractor provides a QC service on testing activities from the other contractors.

Testing documentation is available from TEMPO: *TEMPO:Home* -> *TEST*. It details two approaches currently in use: (a) by the CIS sector of TAXUD unit R5, and (b) by the other sectors of TAXUD unit R4/R5. Currently QA accommodates both approaches. In a context of continuous process improvement, testing approach may further evolve in the future towards harmonisation between the two approaches.

The Annex XI - Baseline includes summary of testing activities under [QC of Testing] tables, and provides example of [QC of FAT/SAT/pre-SAT/qualifications/CT testing reports].

3.7.11.1. WP 9.5 QUALITY CONTROL OF THE CONFORMANCE TESTING (CT)

The QA3 contractor attends the CT activity in the premises of the IT service management contractor in charge of the CT.

Two types of conformance testing (CT) campaigns may be distinguished:

- 1) CT for Trans-European systems (as defined under ITSM2 Lot 2):

¹⁰ See IT service management call for tenders TAXUD/2010/AO-13 (ITSM2) that was published in the Official Journal S 189-308057, 01.10.2011. See also:
http://ec.europa.eu/taxation_customs/common/tenders_grants/tenders/archives_en.htm

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They will be referred to as CT category 1 to 4 and concern the conformance tests mode 2 as described below. By default, all Member States are concerned by such a CT campaign.

The aim of the conformance test is to obtain a technical assurance that the NA is ready to enter the Trans-European System without risk of disturbing the parties already in operation on the system.

The life cycle in which the conformance fits, is of three and in some case four successive steps:

- local conformance test (mode 1): the NA tests its compliance against itself, without implication of any contractors;
- conformance test (mode 2): the NA test its compliance against the conformance test environment of the Commission, under the supervision of the contractor in charge of the IT services management (ITSM2 Lot 2). This is the testing activity of relevance for the QA3 contractor;
- international conformance test (mode 3): the NA tests its conformance against other voluntary NAs, with the assistance of the ITSM2 Lot 2 contractor (plan, coordinate, monitor, support, report) if required. This third test is optional or mandatory as defined by the TAXUD business sector with the NAs;
- international end-to-end test (mode 3+): the economic operators from one NA test with the ones from another NA thus achieving an end-to-end test. The ITSM2 Lot 2 contractor provide assistance (plan, coordinate, monitor, support, report) if required. This mode is optional.

The overall plan, co-ordination, follow-up and support for the four steps are part of the deployment process to be performed by the ITSM2 Lot 2 contractor.

For conformance test mode 2, the ITSM2 Lot 2 contractor verifies the technical compliance of the national applications against the applicable technical system specifications, using a conformance test protocol delivered by the Application Development party responsible for specifying the system.

The conformance test mode 2 is made of two successive tests:

- a pre-conformance test: During the pre-CT, the NA runs the full set of tests as specified in the conformance test specification, with the support of the ITSM2 Lot 2 contractor,
- and the conformance test itself: during the CT the NA reruns the same full set of tests under the control of the ITSM2 Lot 2 contractor and the QA3 contractor.

On the basis of the report of the conformance test from the ITSM2 Lot 2 contractor and the report of the QA3 contractor, the Commission will:

- allow the NA to enter into operation;
- allow the NA to enter into operation with restriction;
- not allow the NA to enter in operation with the tested application.

Experience suggests that the conformance tests mode 2 are of 4 categories:

- Category 1: checking the connectivity to a Web application;
- Category 2: checking the compliance of file format;
- Category 3: checking the compliance of an application to a light request/response protocol and message structure;
- Category 4: checking the compliance of an application to a complex conversational protocol and message structure.

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of which the most used are CTs of category 3 and 4.

Experience suggest that conformance tests mode 2 require each NA to go through from 30 to 400 tests cases per conformance test and last in elapsed time per NA, due the number of test cases and NAs involved:

- category 1: less than a day;
- category 2: few days to few weeks;
- category 3: few weeks to few months;
- category 4: 1 to several months

Experience suggests also that for categories 3 and 4, the duration drops dramatically to few days/weeks after 5 to 10 NAs go through the conformance tests, as the conformance test environment (application/script/test data) and associated technical support reach full maturity, exiting their own “after-care” period.

Experience suggests that mode 3 are performed in few days after the end of mode 2 test and before the entry in operation, while mode 3+ tests involve 2 to 5 NAs over a few months with a limited number of activities.

It is to be noted as well that automated testing for CTs is being put in place in particular for Taxation and Excise. It is expected to increase the quality of the testing service and consequently reduce the elapsed time per NA by 20%.

2) CT for applications (as defined under ITSM2 Lot 1):

These CT normally belong to the CT category 3 defined in the previous section, are currently managed by the Unit R5 CIS sector and occur when a given application has a system-to-system interface implementation, which can/must be used by the National Administrations. In this case, conformance testing can be organised between a specific National Administration and the ITSM2 Lot 1 contractor.

The type of tests to be performed depends on the type of interface/protocol, which is implemented: push, pull or request/reply.

The scope of the conformance tests consists of the NA executing the agreed set of conformance test scenarios and test cases, under the supervision of the ITSM2 Lot 1 contractor.

3.7.11.2. WP.9.6.1 QUALITY CONTROL OF THE FAT OF A SOFTWARE DELIVERABLE

The Factory Acceptance Test (FAT) is meant to test as completely as possible any application software release provided by the contractor in charge of its development before it can be submitted for deployment to the contractor in charge of IT service management. The FAT is performed by the development contractor at his premises. Once the FAT is successful, the software release is passed to the IT service management contractor for further testing under the operational environment.

When an application is taken over for further development, maintenance, operation or support by a new contractor (hand-over / take-over activities), a FAT will as well take place to verify the set-up of the necessary infrastructure and services by the new contractor.

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The QA3 contractor goes on-site, possibly with DG TAXUD representatives, once a FAT has been performed to verify the result of the FAT and advice DG TAXUD on the "go" or "no go" decision to proceed further with the testing to be performed under the production environment.

3.7.11.3. WP.9.6.2 QUALITY CONTROL OF THE PRE-SAT/SAT OF A SOFTWARE DELIVERABLE

After a successful FAT (Factory Acceptance Testing), the application has to go through Pre-SAT and/or SAT activities, or to qualification activities which are led by the ITSM2 contractors (ITSM2 Lot 1, and ITSM2 Lot 2 for the functional testing).

1) Pre-SAT

The aim of the Pre-SAT is to ensure that the release can be installed without issues and that the application runs without any problems. This must allow the ITSM2 contractors ITSM2 Lot 1, and ITSM2 Lot 2 to continue with the SAT activities independently.

Consequently, the Pre-SAT involves all parties (the development contractor, the operational contractor and the QA3 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 Pre-SAT, in order to achieve full readiness for SAT.

The scope of the Pre-SAT consists of:

- 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 Pre-SAT.

At the end of the Pre-SAT, the ITSM2 contractors (Lot 1 and Lot 2) organise and lead the Pre-SAT closing meeting. The other participants are DG TAXUD and 3rd parties (QA3 and X-DEV). The scope of the Pre-SAT closing meeting is to discuss the incidents logged during the Pre-SAT and to allow DG TAXUD to take the "go" or "no go" decision to continue with the SAT activities.

Experience suggests that a pre-SAT lasts on average from a few hours to a week, according to:

- the effectiveness the co-ordination between development and service management,
 - the history and;
 - the size and complexity;
- of the software to be tested.

During the pre-SAT, QA contractor attends the meetings and trainings organised by the IT service management contractors (ITSM2 Lot 1 and ITSM2 Lot 2).

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2) SAT

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 Pre-SAT.

The scope of the SAT consists of:

- The installation and configuration of the application (according to the Installation Guide)¹¹;
- 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.

At the end of a SAT, the ITSM2 contractors (Lot 1 and Lot 2) organise and lead the SAT closing meeting. The other participants are DG TAXUD and third parties (QA3 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.

Experience suggests that a SAT lasts on average from a few hours to a week.

QA contractor attends the SAT activity in the premises of the IT service management contractors from which the tests are run (ITSM2 Lot 1, and ITSM2 Lot 2 for the functional testing).

3.7.11.4. WP 9.6.3 QUALITY CONTROL OF THE QUALIFICATION OF NEW RELEASES, SERVICE PACKS, PATCH OR HOT-FIXES

The Qualification process is performed by the ITSM2 contractors (Lot1 and Lot2). It 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.

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.

Experience suggests that a qualification takes from a few hours to one day according to the number of problems addressed.

¹¹ This step is skipped if it agreed with DG TAXUD to keep the PreSAT installation.

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QA3 contractor attends the qualification activity in the premises of the IT service management contractors from which the tests are run (ITSM2 Lot 1, and ITSM2 Lot 2 for the functional testing).

3.7.12. WP 9.7 SUPPORT TO THE REVIEW PROCESS

This includes:

- WP.9.7.1: co-ordination of the review cycle of document deliverables from other contractors;
- WP.9.7.2: Management of the user groups under CIRCA/CIRCABC (and any of its successors) for use within the review cycles

1) WP 9.7.1

In WP 9.4.1 the QA3 contractor acts as a reviewer, whereas with WP 9.7.1 the QA3 contractor supports DG TAXUD by coordinating, amongst all nominated reviewers, the whole review cycle of the document deliverables from the other contractors.

The review cycle to be co-ordinated by the QA3 contractor (and referred to as T1/T2/T3 review cycle) is described in TEMPO, see Deliverables lifecycle reference manual (*TEMPO:Home -> Contract Management -> Specific contract management -> Deliverables Lifecycle Reference Manual*). See also the [FQP] of the incumbent QA contract available from the Annex XI - Baseline for the details of implementation of the review cycle.

By default, document deliverables undergo the full review cycle. A special agreement exists with DG TAXUD for some types of ITSM documents (i.e. installation reports, installation plan, environment reports) that the review cycle is closed after T2 in case there are no comments. This specific case represents currently 24,5% of the review cycle coordinated by QA3 contractor.

DG TAXUD is using a tool – Comments database, developed in MS-Access which is used to log all review comments and the author's positions, produce the review meeting decision report, and produce the verification of the implementation of the comments. The Comments database is available from TEMPO (*TEMPO:Home -> Tools -> Comments database*). This tool is maintained by the QA contractor.

Communication between contractors and DG TAXUD is normally done via e-mails and tasks.

2) WP 9.7.2

WP 9.7.2 (Management of the user groups in CIRCA/CIRCABC) is performed according to the User Account Management requirements as described in TEMPO (*TEMPO:Home -> Security Management -> User Account Management*).

The [CIRCA reviews administration manual] is available from the Annex XI – Baseline.

User Access Management statistics

	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Description	11	11	11	11	11	11	11	11	11	12	12	12

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Registered CIRCA Users	377	389	394	399	410	414	389	395	397	410	417	398
Requests to add users	7	15	8	7	13	7	10	11	3	13	13	3
Requests to remove users	2	3	1	1	0	2	35	5	1	0	6	22
Requests to reset passwords	5	1	0	0	1	3	2	0	0	0	0	0
Requests to add users without CIRCA usernames	0	0	0	0	0	0	1	0	0	0	0	0
Description	Apr 12	May 12	Jun 12									
Registered CIRCA Users	404	414	415									
Requests to add users	9	12	9									
Requests to remove users	3	0	3									
Requests to reset passwords	0	1	0									
Requests to add users without CIRCA usernames	0	0	0									

3.7.13. WP 9.8 MANAGEMENT AND MAINTENANCE OF TEMPO METHODOLOGY

DG TAXUD acts as an integrator of major Trans-European IT systems with a wide user population within Member State and third country administrations, and for which DG TAXUD projects are outsourced and are developed and implemented by external contractors. In this complex environment, therefore, an IT methodology assumes even greater importance to ensure delivery of the right systems at the right time and at the right cost.

To ensure the consistent and efficient management, set-up, development, operation and support of projects, DG TAXUD uses the TEMPO methodology for the complete project and service life cycle. See general information on TEMPO available from *TEMPO:Home -> Introduction*.

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Tempo is a repository of 325+ documents providing reference manuals, lifecycle documents, guides and techniques, and example of best practices in the multi-contractor environment of DG TAXUD.

TEMPO is made accessible from the Web environment CIRCA/CIRCABC. The TEMPO hosting environment may evolve in the future. Results from a [study on TEMPO hosting alternatives] and [Statistics on TEMPO usage] are available from the Annex XI - Baseline.

Under CIRCA/CIRCABC, the documents are stored in the library of the TEMPO interest group and they are organised within a hierarchy of folders.

There are currently two interest groups defined for TEMPO:

- "Tempo+" is mainly available for Commission staff;
- "Tempo" is available to Member States Administrations, TAXUD/A3 contractors and other external companies.

In addition, the QA3 contractor can also use a "Tempo test" interest group and a "Tempo archive" interest group for testing of new TEMPO releases and archiving respectively.

In the context of this call for tenders, the access is provided to one interest group (Tempo). See section 0.5 "References" for the access details.

Information about CIRCA is provided via the help button available once logging to a CIRCA interest group has been performed. CIRCA training for IG leaders and users are available at the Commission; the QA3 contractor will be able to follow these trainings in the context of the takeover activity.

The future evolution of TEMPO as a methodology is dealt with in a document called [TEMPO Strategic and Tactical Plan]; this document is maintained by the QA3 contractor. It is available from the Annex XI - Baseline. See as well information published in TEMPO: TEMPO:*Home* -> *Introduction*.

In terms of service management, the [FQP] of the incumbent contractor, available from Annex XI – Baseline, provides a description of the TEMPO processes as applied today.

3.7.14. WP 9.9 TECHNICAL SUPPORT TO DG TAXUD AND WP 9.10 PROJECT MANAGEMENT SUPPORT

These work packages materialise the need for additional support to the IT activities of DG TAXUD, which are not included in the "standard" work packages (WP.9.1 to WP 9.8). The Annex II.B - Technical Annex lists the current areas of activity concerned.

From a global perspective and taking the Deming Cycle (Plan – Do – Check – Act) as reference:

- WP 9.9 "Technical support to DG TAXUD" concerns several support activities related to the Check and Act steps of the cycle

Review cycles are also used for deliverables which consist of models published by the other contractor on a BPM tool (ARIS) instead of CIRCA/CIRCABC. The standard T1/T2/T3

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cycle is applied with additional activities requested from the QA3 contractor. This is a new activity for the QA3 contractor which may still evolve in the coming months. The review coordination as such is performed under WP 9.7, additional activities are performed under WP 9.9. Same approach will be followed with QA3 contract. Documentation on BPM management is available from TEMPO (*TEMPO:Home -> BPM*).

- WP 9.10 "Project management support" concerns support activities related to the Plan and Do steps of the cycle; this was applied e.g. in the context of the Unified Customs Code (UCC) project to support the A3 policy unit, in the context of the preparation of the hand-over/take-over of IT service management activities, for the set-up of a BMP tool to be used in the context of UCC.

Additional information is available from the Annex XI - Baseline:

- a [Service catalogue for support services]
- [extract from the last Request for Estimates (RFEs) for support services] issued by DG TAXUD near the incumbent QA contractor and which shows the requirements for the support services.

3.7.15. WP 9.W RESPONSE TO REQUEST FOR INFORMATION (RFI)

This is a "standard" work package in all contracts of DG TAXUD, which gives the opportunity to the contractor to provide information/clarification on matters in relation with the scope of the contract, upon request from DG TAXUD.

Experience suggest that an RFI represents in average an effort of 2 hours on the QA3 contractor side.

3.7.16. WP.A OTHER DELIVERABLES AND SERVICES IN THE SCOPE OF THE CONTRACT

This is a "standard" work package in all contracts of DG TAXUD, which gives the opportunity to DG TAXUD to order activities which have not been formalised and identified as such with a pre-defined work package but which fits into the scope of the contract.

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3.7.17. QUANTITIES OF THE QA CONTRACT

The following table describes the quantities consumed by the incumbent QA contract until June 2012. The figures are organised per work packages and per yearly contracts (SC0x). The first contract SC01 concerned the take-over, the last contract (SC05) is on-going so figures are given for 3 months only. The work packages in the table below are those applicable to the QA2 incumbent contract. Refer to the [QA2 tender] in the Annex XI - Baseline for more information.

QA contract: Quantities consumption			Quantities					
Work Package	Description	Quantity unit	SC01	SC02 (12 months)	SC03 (12 months)	SC04 (12 months)	SC05 (3 months)	Total Consumption
WP.0.1	FQP	FQP	1	0	0	0	0	1
WP.0.3	CQP	CQP		1	1	1	1	4
WP.1.6	Infrastructure	month	1	12	12	12	3	40
WP.2	Take-over plan, take-over QA/QC: FAT report	Take-over	1	0	0	0	0	1
WP.3.1.3	TEMPO training/material/performance/minutes/evaluation	TEMPO training	0	14	20	14	0	48
WP.3.2.1	Train/Wshp/Demo -preparation material/performance	Train/Wshp/Demo	0	3	10	6	1	20

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WP.3.2.2	Train/wsh/demo – Attendance	Train/wshp/demo	0	13	95	27	8	143
WP.3.2.3	Training/workshop/demo - Hosting Facilities and infrastructure: Meeting room 20 persons in Contractor's premises	Hosted Train/Wshp/Demo	0	0	0	0	0	0
WP.3.2.4	Train/wsh/demo – Agd Bri Min Evalu	Train/wshp/demo	0	11	10	15	5	41
WP.3.3	Missions Mat Perf Agd Bri Rep Eval	Mission	0	16	29	14	6	65
WP.4.1	Technical Meetings - Attend Min	Meeting	0	1106	913	650	241	2910
WP.4.2	Service Monthly Meeting - Attend	Meeting	0	51	39	35	5	130
WP.4.5	Mgmt Cttee mtg – Mat & Perf	Meeting	0	1	0	1	0	2
WP.4.5	Mgmt Cttee mtg – Attend	Meeting	0	27	32	20	4	83
WP.4.5	Mgmt Cttee mtg – Agd Bri Min	Meeting reporting	0	0	3	1	1	5
WP.5	Hand-over report	Hand-over	0	0	0	0	0	0
WP.9.1	Programme Quality Plan (PQP)	PQP	0	0	0	1	0	1
WP.9.2	Audit plan agd audit report rev of position	Audit	0	5	4	8	4	21
WP.9.4.1	QC reports of deliverables	Page	0	127,650	87537	70500	27953	313640
WP.9.4.1	QC reports of deliverables	Review comment	0	21850	18000	14964	5045	59859

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WP.9.4.2	QC of SLM processes/Monthly QC reports of the SLM processes of other contractors	Contractor.month	0	36	36	36	10	118
WP.9.4.3	Planning monitoring contractors DLVs/consolidated DTM	Month.business_t hread	0	12	0	0	0	12
WP.9.5	On site QC in the premises of CT responsible contractor	CT campaign cat 1.NA	0	0	0	0	0	0
	CT QC report	CT campaign cat 2.NA	0	1	0	0	1	2
	Daily CT report to EC	CT campaign cat 3.NA	0	99	26	118	17	260
		CT campaign cat 4.NA		124	42	33	7	206
WP.9.6.1	QC of FAT	FAT	0	71	54	68	33	226
WP.9.6.2	QC of Pre-SAT/SAT reports	pre-SAT/SAT	0	88	59	50	42	239
WP.9.6.3	QC of Qualifications report	Qualifications	0	122	117	140	59	438
WP.9.7	Coordination of review process	DLV review	0	2920	3292	3164	1301	10677
WP.9.W	Reply to Rfl	Rfl	0	12	31	60	40	143

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WP.3.1.1 WP.9.8.1 WP.9.8.3 WP.9.8.4 WP.9.8.5	TEMPO: Maintenance of training material, maintenance of TEMPO, new TEMPO releases, TEMPO CAB attend minutes, Service TEMPO e-publishing, newsletter	Month	0	12	12	12	3	39
WP.0.1 WP.0.3 WP.3.1.2 WP.9.1 WP.9.3 WP.9.8.2 WP.9.8.6 WP.9.9 WP.A	Evolutive v FQP PQP CQP TEMPO training mat, project evaluation, Technical support/other services deliverables in the scope of the contract	man.day of Pqa profile	0	928	2323	2257	1238	6746
		man.day of Ptech profile	0	609	219	467	293	1588
		man.day of Paud profile	0	42	22	111	0	175

Table 2: Quantities consumed by incumbent QA contractor