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Invitation to tender TAXUD/2015/AO-03

**IT SERVICE MANAGEMENT
FOR
IT SYSTEMS & INFRASTRUCTURE OPERATION
OF**

THE DIRECTORATE-GENERAL FOR TAXATION & CUSTOMS UNION

ITSM3 - Operations

Annex 2a:

Technical Annex

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Typographic conventions

The following typographic conventions are used in this document:

The following convention indicates a link

Draws attention to important information

Indicates the quantities revision mechanism linked to the pricing model

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1 Acronyms and definitions

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

⚠ Definitions of the acronyms related to the different applications (e.g. TARIC3, ART2, TTA, CS/MIS, CS/RD) are not listed. Please refer to the Baseline documentation for such definitions.

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

Acronyms and definitions	
Acronym	**Definition**
ACD	Automated Call Distribution
ACT	Application configuration tool
AMDB	Availability Management Database
BCP	Business Continuity Plan
BL	Baseline
BMM	Bilateral Monthly Meeting
BT	Business Thread (e.g. Excise, Direct Taxation, Indirect Taxation, Recovery of Claims, Customs, Transeuropean Platforms)
BTM	Business Thread Manager
CAB	Change Advisory Board
CAP	Capacity Management
CAPS	Customs Applications
CCN	Common Communications Network
CCN2	Common Communications Network 2
CCN2-DEV	Development Contractor for CCN2
CCN/TC	Common Communications Network / Technical Centre
CCN/CSI	Common Communications Network / Common System Interface
CCN/WAN	Service Provider for Common Communications Network / Wide Area Network
CDB	Capacity Management Database
CI	Configuration Item
CIRCA	Communication and Information Resource Centre Administrator
CMDB	Configuration Management Database
CMMI	Capability Maturity Model Integration
COTS	Commercial Off-The-Shelf (software packages)
CQP	Contract Quality Plan

Acronyms and definitions	
Acronym	**Definition**
CSIP	Continuous Service Improvement Programme
CSIPM	Continuous Service Improvement Programme Manager
CSISC	Continuous Service Improvement Steering Committee
CT	Conformance test
CUSTDEV	Development contractor for customs systems (currently CUSTDEV3)
DC	Data Centre
DDS	Data Dissemination System
DG	Directorate General
DG AGRI	European Commission Directorate General for Agriculture
DG ESTAT	European Commission Directorate General for Statistics
DG COMP	European Commission Directorate General for Competition
OHIM	Office for Harmonization in the Internal Market
DIGIT	Directorate General for Informatics
DIGIT/DC	Data Centre of the European Commission / DIGIT Data Centre
DLV	Deliverable
DM	Demand Management
DML	Definitive Media Library
DMZ	Demilitarized Zone
DRP	Disaster Recovery Plan
DSL	Definitive Software Library
DTM	Deliverable Tracking Matrix
EfA	Estimate for Action
EU	European Union
FAQ	Frequently Asked Questions
FAT	Factory Acceptance Test
FITSDEV	Development contractor for Fiscalis systems[1] (currently FITSDEV3)
FP	Fixed Price
FQP	Framework Quality Plan
GANTT	A chart that depicts progress in relation to time
GQI	General/Global Quality Indicator
GW	Gateway
HO Plan	Hand Over Plan
HW	Hardware
ICT	Information & Communications Technology
ICT IM	ICT Infrastructure Management (ITIL process)
IP	Internet Protocol
IPSec	Internet Protocol Security
IS	Information Systems
ISO	International Organisation for Standardisation
IT	Information Technology
ITIL	IT Infrastructure Library
ITOP	Weekly operational planning - Installation and Testing Operational Plan

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[1] Covering Direct Taxation, Indirect Taxation, Recovery of Claims and Excise

Acronyms and definitions	
Acronym	**Definition**
ITSCM	ITSM Continuity Management process
ITSM	IT Service Management
ITSM2	IT Service Management 2 (**ITSM2** Programme preceding ITSM3)
ITSM3	IT Service Management 3 (**ITSM3** Programme following ITSM2)
ITSM3 OPS	ITSM3 Operations (**ITSM3** Programme following **ITSM2 Lot 1**)
ITSM3 TES	ITSM3 Transeuropean (**ITSM3** Programme following **ITSM2 Lot 2**)
ITSM3 INT	ITSM3 Integration (**ITSM3** Programme following **ITSM2 Lot 3**)
IVR	Interactive Voice Response
IWP	Internal Working Procedures
KDB	Knowledge Database
KEL	Known Error List
KPI	Key Performance Indicator
LCMS	Local CCN Mail Server
LISO	Information Security Officer
LSYA	Local System Administrator
MOM	Minutes of Meeting
MPR	Monthly Progress Report
MSA	Member State Administration
MTTR	Mean Time To Repair
NA	National Administration
NCTS	New Computerised Transit System
OD	On Demand services
ODL	Operational Document Library
OGC	Office of Government Commerce
OIB	Office for infrastructure and logistics in Brussels
OIL	Office for infrastructure and logistics in Luxembourg
OLA	Operational Level Agreement
OLAF	Office De Lutte Anti-fraude
OPL	Official Price List
OS	Operating System
P&I	Products & Infrastructure
PERT	Program evaluation and review technique. Also called "critical path method"
PQP	Programme Quality Plan
PreCT	Pre-Conformance Test
PSAT (preSAT)	Pre Site Acceptance Test
QA	Quality Assurance
QC	Quality Control
QoS	Quality of Service
QT	Qualification Tests
QTM	Quoted Time and Means
RfA	Request for Action
RfC	Request for Change
RfE	Request for Estimation
RfI	Request for Information
RfO	Request for Offer

Acronyms and definitions	
Acronym	**Definition**
RfS	Request for Service
SAT	Site Acceptance Testing
SB	Service Block
SC	Specific Contract
SD	Service Desk
SfA	Submit for Acceptance
SfR	Submit for Review
SIPSC	Service Improvement Project Steering Committee
SMT	Service Management Tool
SLA	Service Level Agreement
SLM	Service Level Management
SMM	Service Monthly Meetings per BT
SMT	Service Management Tool
SOA	Service Oriented Architecture
SPEED	Single Portal for Entry or Exit of Data
SPOC	Single Point of Contact
SQI	Specific Quality Indicator
SSH	Secure Shell
STEERCO	Steering Committee
SW	Software
T&S	Travel and Subsistence
TAXUD	Directorate-General for Taxation and Customs Union
TCO	Total cost of ownership
TEMPO	TAXUD Electronic Management of Projects Online
TES	Trans-European System
TIP	Technical Infrastructure Plan
ToC	Terms of Collaboration
ToR	Terms of Reference
UAM	User Access Management
UPS	Uninterruptible power supply
USS	User Satisfaction Survey
UUM&DS	Uniform User Management & Digital Signature
VPN	Virtual Private Network
Working days ITSM	Working days ITSM= Monday to Friday, except 25.12 & 01.01
W-hours ITSM	Working Hours ITSM = Working Hours applicable to all Service Blocks on Working days (Mon-Fri) 07:00 – 20:00
Working days CCN	Working days CCN = Monday to Friday, except 25.12 & 01.01
W-hours CCN	Working Hours CCN = Working Hours applicable to all Service Blocks on Working days (Mon-Fri) 08:00 – 20:00
WAN	Wide Area Network
WBS	Work-Breakdown Structure
WIKI	Collaborative Web site
WP	Work package
X-DEV	Development contractors (FITSDEV, CUSTDEV, CCN2-DEV)

Table 1: List of acronyms

2 Reference documents

The documents listed below can be consulted from the baseline except for [R1] – Terms of Reference which are part of the technical specifications of this Invitation to Tender and [R4] Application & Platform Complexity Models which is Annex 10 to the Tendering Specifications.

Reference Documents				
Ref.	**Title**	**Reference**	**Version**	**Date**
[R1]	Call for tenders-ITSM3-Operations-Terms of Reference	Call for tenders-ITSM3-Operations Annex II.A	0.50	02/10/2015
[R2]	Multi Annual Strategic Plan (MASP)	MASP revision 2014	2014	08/01/2015
[R3]	DC Baseline Architecture - High Level Design	ITS-1HLD-RfA070	1.10	13/06/2014
[R4]	Application & Platform Complexity Models	Annex 10 - Application & Platform complexity models v1.10.xlsx	1.10	29/09/2015
[R5]	ITSM2 Lot 1 FQP & Annexes	ITS-1FQP-ITSM2	1.20	24/03/2015
[R6]	Capacity Plan for Commission IT Services	ITS-D17	1.00	25/07/2014
[R7]	Availability Plan for DG TAXUD IT services	ITS-1PLN-D19	1.00	13/10/2014
[R8]	IT Service Continuity Plan	ITS-1SCP-ITSC_Plan	1.00	24/06/2014
[R9]	ICT architecture for the Commission IT services	ITS-1DLV-D20-ICT	5.11	30/07/2014
[R10]	Application Architecture & Framework (and annex)	ITS-1ARD-D21	2.40	26/05/2014
[R11]	ITSM External Processes Evolutive Maintenance	ITS-1FQP-D.22	2.00	23/04/2015
[R12]	List of Application CIs (May 2015)	ITS-1MPR-Annex 36-Applications 201505	1.00	30/06/2015

Table 2: Reference Documents

3 Introduction

3.1 Foreword

The Technical Specifications of the invitation to tender (ITSM3 Operations) are split into three core documents:

A Technical Annex document – this document -, defining the ITSM3 service requirements. It also describes the Service Level Agreement (with indicators), pricing model and elements, and a preliminary list of deliverables to be provided by the contractor.

A Terms of Reference document, ref ToR [R1], providing an overview of the current services that need to be taken over by the **ITSM3 Operations** contractor and more importantly also provides volumetric information and insights on expected evolutions in the medium and long term.

The Framework Quality Plan & Annexes (FQP) of the incumbent ITSM2 Lot1 contractor [R5]. These documents provide an exhaustive and detailed description of the services provided by the incumbent ITSM2 Lot 1 contractor as they must be taken over without degradation of service by the **ITSM3 Operations** contractor. These documents are supported by the Internal Working procedures that can be found in the baseline.

3.2 Scope

The present invitation to tender relates to the provision of IT Operations and IT Service Management for DG TAXUD IT systems (ITSM3).

The core of the services corresponds to the technical and operational support of the infrastructure, platforms (middleware) and IT applications; this involves testing, deployment, monitoring, configuration and administration of hardware and software components.

The main objective of ITSM3 is to ensure IT Service continuity, through a standardised catalogue of services, continuously adapted in response to TAXUD evolving business and policy needs. These translate into growing capacity, availability and security requirements.

In addition to technical and operational services, this invitation to tender covers other needs:

- Service desk
- IT service management processes
- Security management services
- Provision of training sessions, workshops and translations
- Project Management office and related support services
- Takeover from the incumbent ITSM2 Lot 1 contractor and Handover at the end of the contract
- Maintenance and development of necessary Tooling to support the services included in the contract

- Service strategy and transformation processes, as to ensure Continual Service Improvement (CSIP); taking into account the expected long duration of the contract, this is to re-align IT services to evolving business and policy needs of TAXUD, making best use of available technologies and methodologies.

All the above must be supported by Coordination services, given the number of actors involved with DG TAXUD IT systems (contractors, National Administrations, Commission DGs and agencies, etc.).

3.3   Context

DG TAXUD operates almost one hundred (100) IT applications, based on standard application platforms. They interact with users and applications from EU Member States (MS) and third countries (e.g. United States), via interoperability platforms (e.g. CCN/CSI).

DG TAXUD IT systems run in DG TAXUD data centres (fully operated by the ITSM2 Lot 1 contractor) or in premises operated by other stakeholders. These are mainly DG DIGIT, and in specific cases National Administrations (NA) of Member States or other EU Commission bodies.

DG TAXUD IT is currently going through a major transformation in the context of Customs systems, in order to implement the strategic plans defined in the Customs Policy (refer to MASP [R02]). This transformation materialises through a new generation of systems being developed (CDMS, CCN2, UUM&DS), and that will come into operation in parallel to the Handover/Takeover from ITSM2 to ITSM3.

3.4   Relationships with stakeholders

ITSM3 will closely interact with several stakeholders like DG DIGIT or other EC Directorate Generals, Agencies or Offices (ESTAT, OHIM, OLAF, etc.), CCN WAN operator, X-DEVs contractors or National Administrations. The objective is that the overall service gets satisfactory for the end user, who will interact with ITSM3, and does not need to know who is working behind the scene.

ITSM3 will operate DG TAXUD data centres and will interact in a transparent way with DG TAXUD, through a catalogue of services, either continuous or on-demand, monitored by indicators, and making abstraction of activities behind.   These services need to be implemented in a standardised way, while providing a certain degree of flexibility to cover business needs.

The Handover/Takeover from ITSM2 to ITSM3, parallel to new systems being put in operation (CDMS, CCN2, UUM&DS, etc.) is considered a major risk. It will be mitigated through early involvement of the future ITSM3 Operations contractor into the operational activities of ITSM2, and through involvement of the future ITSM3 Operations contractor into the final transition phases of the new systems to operation. These activities will start before

the actual Takeover, and shall include shadowing activities of ITSM2, that will allow for a better preparation of the Takeover Plan.

Later transformations (after the Takeover) will result from further implementation of the TAXUD policies, most specifically the Customs Policy, via the Multiannual Strategic Plan (MASP). The ITSM3 Operations contractor will engage at an early stage of related projects, as to ensure operational readiness and adaptation to all potential changes.

3.5 Contractual coverage of Services

3.5.1 CONTINUOUS SERVICES

Continuous Services are the services which take place on a daily basis. They are covered by a Fixed Price (FP) for the duration of a Specific Contract (SC). Please refer to 6.2–"Description of the Price Elements" for a list of the covered services.

Throughout the contract, Continuous Services might have to undergo changes, either because of major TAXUD organisational changes or because of major technology/architecture changes.

Any significant change affecting the Continuous Services will be handled under Service Strategy & Transformations – (Service Block 02) following a Service Change Management process managed by the ITSM3 Operations contractor.

3.5.2 ON-DEMAND SERVICES

On-Demand services take place on explicit request by DG TAXUD and should be covered by a Fixed Price (FP) per defined unit of service, in the context of a SC. Please refer to 6.2– "Description of the Price Elements" for a list of the covered services.

3.5.3 PER PROFILE SERVICES

Per Profile services take place on explicit request by DG TAXUD and should be covered by a Fixed Price (FP) per profile, in the context of a SC. Please refer to 6.2–"Description of the Price Elements" for a list of the covered services. These services correspond to activities which cannot be covered by Continuous or On-Demand services, and will be used on an exceptional base.

3.6 Service Blocks

ITSM3 services are divided into six categories, each one containing one or more Service Blocks (12 in total):

- Basic Services
- Strategic & Transformation Services
- Tools Development Services

- Project Management Office (PMO) Services
- Takeover/Handover Services
- Ad-hoc Services
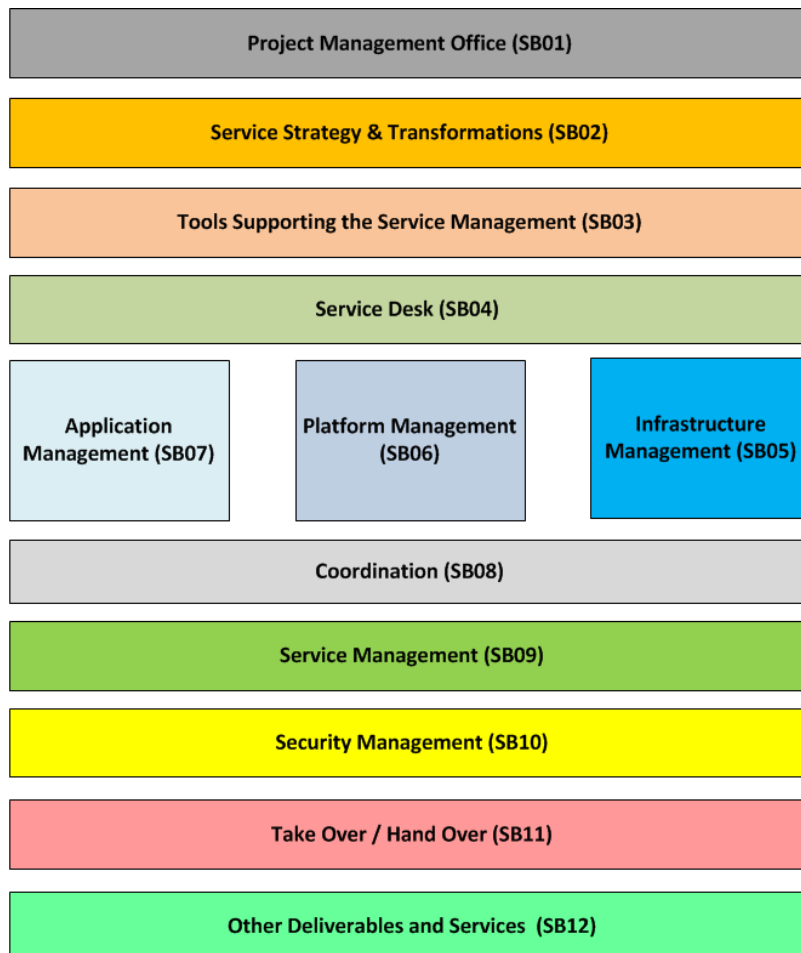
Figure 1 – ITSM3 Service Blocks

3.6.1   BASIC SERVICES

These are the core services. They include the provision of infrastructure, platform and application services (SB05, SB06, SB07) and the supporting processes:

- SB04 - Service desk,

- SB08 - Coordination Management,

- SB09 - IT Service Management

- SB10 - Security Management

Details about what is included in the Basic Services can be found in Sections 4.2.4, 4.2.5, 4.2.6, 4.2.7, 4.2.8, 4.2.9 & 4.2.10). Basic Services shall be described and communicated to

users through the Service catalogue, governed and provided via the Framework Quality Plan (FQP) [R5].

3.6.2 STRATEGIC AND TRANSFORMATION SERVICES

These services allow minor and major evolutions of the services provided under the contract and present in the Service Catalogue (extension of the scope of existing services or creation of new services). These evolutions are managed under SB02, they are initiated via Service Change Requests in the context of Continual Service Improvement (CSIP), designed and implemented via transformation projects. The proposed evolutions can be of different natures: technical, procedural, methodological, operational. The expected quantity and diversity (in size and nature) of these evolutions will justify a project portfolio management activity, which will be also addressed as part of SB02.

Details about Strategic & Transformation Services can be found in Section 4.2.2.

3.6.3 TOOLS DEVELOPMENT SERVICES

These services relate to the assessment, development or purchase, evolutive or corrective maintenance, customisation and integration of the tools supporting the services included in ITSM3; they are covered under SB03 (Section 4.2.3). The medium/long term evolution of these tools will be handled as part of Strategic & Transformation Services (SB02).

3.6.4 PROJECT MANAGEMENT OFFICE SERVICES

The importance of these services may not be underestimated, as they cover the overall management of the resources and organisation, providing both continuous and on-demand services. They should not be understood as a separate activity, but as one which is strongly embedded within all services.

PMO Services are covered under SB01 and details can be found in Section 4.2.1.

3.6.5 TAKEOVER AND HANDOVER SERVICES

The importance of a proper Takeover and Handover is paramount for the overall success of the contract. This involves the Takeover of existing operations, but also the acquisition of the knowledge, the management of the inflight projects and the capacity to engage for future transformations.

DG TAXUD gives special importance to the Takeover phase, by dedicating a long period of time for its execution, and introducing a preparatory phase. The ITSM3 Operations contractor will have to:

- Endorse the responsibility of operations

- Demonstrate capacity to ensure Business Continuity

- Acquire the necessary explicit and implicit knowledge

- Receive and secure the existing IT Assets

- Engage on the inflight projects

- Prepare for future transformations

On the other hand, taking into account the length of the contract, the Handover phase must be considered as a continuous effort all along its duration, in order to be ready when the time comes for handing over some or all services.

Takeover and Handover services are covered under SB11 and details can be found in Section 4.2.11.

3.6.6   AD-HOC SERVICES

These services allow DG TAXUD to order extra services which are not covered elsewhere. They are either specified under SB12 (Section 4.2.12) (related to translations, training, workshops) or linked to e.g. specific projects or special operations.

3.7   Service Objectives

3.7.1   CONTINUITY OF SERVICE

Continuity of services is the key element for DG TAXUD IT operations. DG TAXUD and business stakeholders (National Administrations, Traders, end-users, etc.) heavily rely on the availability of systems and services. By providing a bid, the ITSM3 tenderer commits to ensure continuity of all services described in the FQP & Annexes and in the IWPs of the incumbent ITSM2 Lot 1 contractor. (see [R5]) by the end of the Takeover period. At the end of the Takeover, services must be provided at the same high level of quality as currently provided by the incumbent ITSM2 Lot 1 contractor.

As highlighted under "Takeover and Handover services", the ITSM3 tenderer should devote sufficient resources and staff to ensure a smooth transition, to maintain and improve the necessary tools, monitoring and techniques, as to ensure continuity and availability of TAXUD IT systems.

The **ITSM3 Operations** contractor will not only have to provide **IT related support and services** but must understand the business that IT supports and add to the **business value** of all services provided (also including the Service Desk).

In order to achieve the services described in the present invitation to tender with the required level of maturity and quality, the ITSM3 Operations contractor shall follow ITIL best practices.

The activities around the different services can be split into different service lifecycle stages (based on ITILv3):

- *Service Design*: covers the processes of service catalogue management, availability management, capacity management, continuity management and security management

- *Service Transition*: covers the processes of change management, knowledge management, release and deployment management, service asset and configuration management

- *Service Operation*: covers the processes of event management, incident management, problem management, request fulfilment, access management

- *Continual Service Improvement (CSIP)*: measuring user satisfaction and service quality, identifying potential improvements in the services.

The above are crowned by *Service Strategy*, which provides the overview to identify and follow the strategic evolutions. Service Strategy also provides the instruments to coherently manage the design, development and implementation of the changes to the services, derived from the evolutions identified through *CSIP*.

Activities related to *Service Strategy*, *Service Design, Service Transition* and *Continual Service Improvement*, are carried out in project mode within SB02 - Service Strategy and Transformation under the service change management process and in continuous alignment with processes such as availability management, capacity management, continuity management and security management (SB09- Service Management and SB10- Security Management). This is supported by a project management office (SB01 – PMO Services), ensuring adequate management of the projects in isolation and as part of a portfolio, as well as ensuring resources and contractual coverage.

Service Operations activities and the deployment of changes to the infrastructure, platforms and applications involve services under:

- SB04-Service Desk

- SB05-Infrastructure Management

- SB06-Platform Management

- SB07-Application Management

- SB08-Coordination

- SB09-Service Management

- SB10-Security Management

Each service stage can be viewed as a more or less delimited lifecycle but it is important to ensure the global coherence, which is secured in a continuous mode under SB02 - Service Strategy & Transformation.

3.7.2   INCREASED SERVICE LEVEL

Continual Service Improvement is a key activity of SB02 - Service Strategy & Transformation, in order to improve efficiency and quality of services. This is achieved by surveying user satisfaction and measuring services quality across all service blocks. This goes hand in hand with *Service Strategy,* which maintains a long term strategic view for the future of TAXUD IT Service Management and drives the change management process and services lifecycle.

The provision of IT Operations and IT Service Management is supported by tools, which development, customisation and maintenance are covered under SB03 – Tools Supporting the Service Management. However the business case, vision, requirements and architecture will be covered under SB02 - Service Strategy & Transformation.

Activities which are not covered by other services blocks, will be carried out under SB12 - Other Deliverables and Services. This includes activities which are conducted in project mode, on demand of TAXUD IT. These projects will be followed-up under SB02 - Service Strategy & Transformation , will contribute to the evolution of Service Catalogue, and will also be supported by the portfolio management activity.

4 Service Requirements

4.1.1 CONFIGURATION ITEMS

Some Basic Services corresponding to the management and support of IT Configuration Items (CIs), which provide direct services to the end users, are:

- IT Applications (covered under SB07)

- Platform instances (covered under SB06)

- Infrastructure Services (covered under SB05)

IT Applications and Platform instances are considered as CIs providing a basic service and hence associated to a Service Window and Quality of Service (QoS, see hereunder). QoS is measured through Key Performance Indicators (KPIs) and Service Quality Indicators (SQIs). See [R12] for a list of IT applications CIs covered (as of May 2015) by the incumbent ITSM2 Lot 1 contractor. The ITSM3 Operations contractor will have to additionally cover platform and infrastructure CIs.

IT components that make up the Infrastructure Services are considered as Assets and not as CIs. As such they can be part of the operational Configuration Management Database (CMDB), but will not be linked to a QoS or Service Window, or only indirectly (e.g. as part of a network or storage infrastructure).

Other Basic Services (SB04/08/09/10) have their own Quality indicators (KPIs and SQIs), as described in Section 5.2.

All services are subject to detailed reporting in the MPR.

The ITSM3 Operations contractor must provide the technical support for all applications, platforms, infrastructures and their components as needed by all SBs (except SB02) in the scope of the contract.

For the bespoke components, the Commission will provide the contractor with the necessary knowledge (training & documentation) to allow him to set up this technical support and will also offer an access to a second level support at no supplementary cost for the contractor.

The delivery technical support for all COTS & Hardware or Software products operated in the context of the contract at the moment of Takeover must be included in the tenderer's offer as part of the infrastructure, platform or application support offered in Service Blocks 05, 06 & 07. This includes for example (non-exhaustive list):

- SB05:
    - Infrastructure HW (Storage devices, machines, …);
    - VM (VMWare, Oracle Virtual Environment, …);
    - OS (Solaris, Linux, AIX, Windows, …);
    - Operational tools (Tivoli, Oracle Enterprise Manager, HP SMT …) ;
    - Networking and/or security devices and software (Bluecoat, Netscreen, …);

- SB06:
    o Middleware (Oracle WebLogic, Oracle database, Oracle Fusion, SAS, …);
- SB07:
    o Other applications and tools (ARIS, RAM, RTC, RFT, ...);

For the other COTS added anew to DG TAXUD operational environments along the duration of the contract, the contractor will acquire the necessary knowledge as well as the second level support from COTS vendor via the acquisition channel (even if the COTS itself is purchased via a different acquisition channel).

This technical support must be available for consumption in the context of any activity covered by the contract.

The QoS of the technical support, including the second level support, must be in line with the QoS required to serve the business need.

4.1.2   SERVICE WINDOW & QOS

⚠️ Service Window does not exclude December, 25th and January, 1st for ITSM3 Framework Contract (FWC).

The required Service Window is chosen from three (3) distinct periods of time for which the availability of the CIs shall be considered for the measurement of KPIs/SQIs:

5d-13h Service Window – From Monday to Friday, including Public Holidays, from 07:00 to 20:00
7d-13h Service Window – All days of the year including Public Holidays, from 07:00 to 20:00
7d-24h Service Window – All days of the year including Public Holidays, 24 hours a day

All the above service windows are currently offered by the incumbent ITSM2 Lot 1 contractor.

The required Quality of Service is chosen from three (3) distinct modes (QoS) that are linked to CIs (infrastructure, platform, application) and are measured on a monthly basis by KPIs/SQIs:

Normal (N) - QoS availability target value of: 99.6% and a limit value of 99.3%; Recovery Time Objective (RTO) target value of 60 minutes and limit value of 240 minutes
Extended (E) - QoS availability target value of: 99.8% and a limit value of 99.5%; RTO target value of 30 minutes and limit value of 120 minutes
High Availability (HA) - QoS availability target value of: 99.9% and a limit value of 99.7%; RTO target value of 0 minute and limit value of 30 minutes

The environments of a CI (in the sense of production, conformance, backup, testing, training or development) to which a Quality of Service and a Service Window apply, are defined as "Serviced Environments". By default, the Serviced Environments are only production, conformance and backup environments. However there might be exceptions (e.g. testing, training), in that case they have to be explicitly defined by DG TAXUD.

"5/13-N" level of service has to be considered as the minimum level of service for all CIs regardless of their nature. It must be noted that availability levels taken into account for the calculation of SQIs will exclude consequences of events that are not under the ITSM3 Operations contractor's responsibility. However every unavailability must be detected and addressed as an incident by the ITSM3 Operations contractor and will be measured/reported through KPIs.

Whenever a CI is necessary for the correct functioning of another, it will inherit the level of service as its required minimum (e.g. if an application has QoS of HA and Service Window of 7d-24h ("7/24-HA"), then the minimum QoS and Service Window for the platform instance where it is deployed will also be HA-7/24.

The ITSM3 Operations contractor must take all necessary measures to ensure that the Quality of Service within the given Service Window is measured for every CI via the appropriate monitoring. The necessary monitoring services must have a level of service at least equal to that of the CIs that they monitor. The unavailability of monitoring services that lead to the lack of measurement of the availability for one or more CIs shall be considered as unavailability of the impacted CIs.

DG TAXUD has set up two data centres with high availability infrastructure that – combined with new information systems architecture – target to offer high availability, fault tolerant services (Service Oriented Architecture type) to the Member States and other IT stakeholders. The infrastructure architecture of the data centres is described in the Data Centre High-Level design document [R3].

High Availability level of service is not covered by the incumbent ITSM2 Lot 1 contractor, however, it will be the target level of service for certain systems in the coming years. The **ITSM3 Operations** contractor will implement the improvements required to reach the new levels of service for all systems that may require them. The transformations for these improvements will be introduced during the Takeover period as a request for change within the context of the Service Strategy. Also during Takeover, the detailed design will be realised. The implementation will take place after the end of the Takeover period and should be completed within one (1) year time.

The **ITSM3 Operations** contractor will be responsible for the continuous reporting based on availability of the related SQIs and KPIs (see Section 5.1.1). Monitoring mechanisms must be based on the existing monitoring infrastructure at DG TAXUD DCs (based on Tivoli, Oracle Enterprise Manager and Cisco tooling).

4.2   Service Requirements per service block

4.2.1   PROJECT MANAGEMENT OFFICE – (SERVICE BLOCK 01)

The services under this service block can be considered as the glue that brings together all activities of the **ITSM3 Operations** contract. It should ensure a proactive and solid management of all activities and projects, coordination with TAXUD for their definition and implementation and consolidate the reporting in a coherent and structured way.

4.2.1.1   Governance

The tenderer should take note of the distinct nature between services provided in operational mode (continuous services) and those in project mode (on demand services). The organisation and its management must reflect this distinction and be able to manage each on the appropriate way while ensuring their continuous alignment and mutual coherence.

The **ITSM3 Operations** contractor will be responsible for the management of the **ITSM3 Operations** services ensuring sufficiently staffed, appropriate and dedicated management resources for both services on operation mode and those on project mode while also maintaining an overall layer of management at contract level.

4.2.1.2   Coordination & Reporting

Currently the coordination of the **incumbent ITSM2 Lot 1 contractor** with DG TAXUD is mainly performed through meetings.

The **ITSM3 Operations** contractor will be responsible for implementing and managing the **coordination methods and instruments** including the meetings and in combination with an interaction/governance model – which will become the basis for the governance of the contract.

The following types of meetings have been identified:

- Meeting type **#1** - Management meeting - (e.g. **ITSM3 Operations** Steering Committee meeting, Service Strategy & Transformations STEERCO meeting, Synergia Monthly meeting, Bilateral Monthly Meeting, etc.)
- Meeting type **#2** - Multilateral meeting (e.g. All TAXUD sectors and DG TAXUD contractors, etc.)
- Meeting type **#3** - Operational meeting - (e.g. contractual, technical, etc.)
- Meeting type **#4** - Ad hoc meetings

As for the organisation of the meetings, operational and ad hoc meetings could be held not only at DG TAXUD premises, but as well via (Video/Web/Tele) Conference calls.

For all of the above, the ITSM3 **Operations** contractor will be in all cases, at the very least, in charge of meeting material and minutes of meeting.

The current services defined in the FQP & annexes [R5] and the Operational and Internal Working Procedures provided in the baseline are applicable, including the following:

- All contractual information must be available to DG TAXUD via a restricted area of a project portal to be provided by the **ITSM3 Operations** contractor – existing portals as described in the FQP [R5] plus the documentation included in the baseline corresponding to Operational and Internal working procedures together with baseline folders related to Service Block 03 should be reused;
- The **ITSM3 Operations** contractor shall during the course of the contract, propose and implement improvements to the Demand Management process in order to make it more efficient and integrated with the Service Catalogue;
- The MPR and annexed service statistics must report at contract level covering all Business threads and drill into details per Business Thread; they should also be available to DG TAXUD via a restricted area of a project portal to be provided by the **ITSM3 Operations** contractor.
- The **ITSM3 Operations** contractor shall continuously adapt and improve the structure of the service statistics so that different blocks can easily be reviewed by the responsible DG TAXUD teams;
- The risk register must be available to DG TAXUD via a restricted area of a project portal to be provided by the **ITSM3 Operations** contractor;
- The **ITSM3 Operations** contractor's internal QA becomes SPOC for all recommendations, findings, communication directly or indirectly received by the QAC contractor, and ensures dissemination and implementation of those within the **ITSM3 Operations** contractor;
- The **ITSM3 Operations** contractor's internal QA will actively contribute to the services life cycle (Design/Transition/Operation/Continuous Improvement) and Service Strategy and will be the guarantor of the respect of the involved processes.
- The **ITSM3 Operations** contractor internal QA will actively contribute to quality by taking necessary steps to assure quality of (ex-ante) and to control quality (ex-post), e.g. for the testing and deployment phase;
- The **ITSM3 Operations** contractor internal QA performs two (2) Internal Audits per year over all services within the scope of the FWC and of the alignment with the FQP and the Service Catalogue. One (1) additional internal security audit shall be realised yearly for the relevant services. This is complemented by a yearly self-assessment performed by the **ITSM3 Operations** contractor's staff;
- The **ITSM3 Operations** contractor produces and maintains action lists tracking at least the actions assigned to the **ITSM3 Operations** contractor during meetings. The action lists must reflect the status of the action implementation at any time. The action lists must be available to DG TAXUD via a restricted area of a project portal to be provided by the **ITSM3 Operations**.

The **ITSM3 Operations** contractor will be responsible for assessing and improving the maturity level of the tasks and services to be provided in the context of this service block.

4.2.2   SERVICE STRATEGY & TRANSFORMATIONS – (SERVICE BLOCK 02)

4.2.2.1   Overview

The following activities fall under this service block:

1. Deliver the Service Strategy as a continuous activity and manage the processes and services documentation, including:
   a. Maintenance of Documentation;
   b. Service Strategy & CSIP;
   c. Service Change management process;
   d. Portfolio Management;
   e. Maintenance of the Catalogue of Services;
   f. Maintenance of IT Continuity Plan;
   g. Continuous management, coordination and technical support of all the SB02 activities in proximity[2] and close coordination with DG TAXUD.

   The continuous activities above will be provided as a continuous service in operation mode, based on a fixed price and shall start and be active from the moment the FWC enters into force. They will take place in parallel and will act as **support to the Takeover activity,** especially to assume the inflight projects.

2. Deliver transformations as projects:
   a. Design the strategic and tactical evolution of all infrastructure, platform, service management tools, service management process provided within the ITSM3 Operations contract and;
   b. Implement the related transformations.

Benefits that result from the transformations must be transferred to DG TAXUD **either:**

- **by reducing the cost of the continuous services** achieved by an amendment to the FWC, defining the updated prices; the new prices will be applicable for the next SC following the signature of the amendment to the FWC; **or**
- **by improving the level of service** – at the same cost – witnessed by measurable indicators registered and reported within the Service Catalogue.

D**uring the Takeover phase**, the continuous activities of SB02 will already be activated in the form of a SC in order to elaborate the Service Strategy & Vision for the improvements to be implemented along the duration of the FWC. For very specific transformations, also certain projects may be launched for the detailed design of solutions though not for actual implementation during the Takeover. Please refer to section 4.2.11.1 for a description of the Takeover requirements.

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[2] See Section 9 "Staffing & Infrastructure Requirements" for the definition of proximity profile.

4.2.2.2 The SB02 "Service Strategy & Transformation" process and associated transformation lifecycle

The Service Block 02 has to be delivered by the ITSM3 Operations contractor following the process depicted in Figure 2.
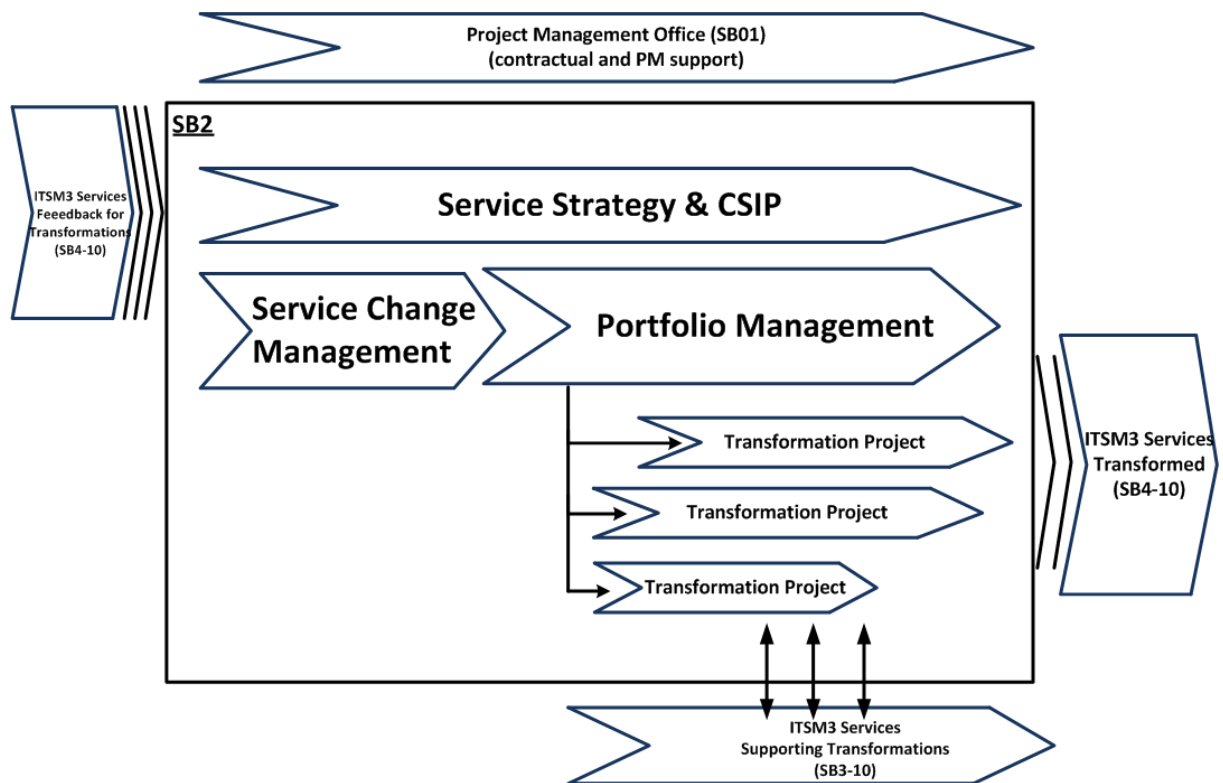
Figure 2 – Transformation processes diagram

In the context of Service Strategy & CSIP activity (cf. 4.2.2.4) the **ITSM3 Operations** basic services (SB04 to SB10) are continuously surveyed to identify improvement requirements or opportunities. Potential improvements may also come from the teams providing the services, form the services consumers or from other involved stakeholders.

The Service Strategy & CSIP will assess the potential improvements and, according to priorities defined in consultation with DG TAXUD, will prepare Business Cases and High Level Design of proposed solutions and submit them to the Service Change Management Process.

In the context of Service Change Management (cf. 4.2.2.5), an impact analysis of the proposal is made together with a draft Technical Annex of the project and an eventual bill of material that identify also the contractual and financial impact. Based on those, the Service Change Advisory Board (SCAB) takes a go/no-go decision on implementation of projects and on their sizing and submits the approved ones to the Portfolio Management process.

In the context of Portfolio Management, (cf. 4.2.2.6) the projects are introduced in a *Master Plan of Transformations* and, in liaison with the Project Management Office of Service Block 01, resources are assigned to the projects taking into account and updating the Capacity Plan.

The *Master Plan of Transformations* contains all the information on the realised, ongoing and planned transformations including contractual, timeline, resources, status and risks information about all projects. It is maintained continuously up to date and will be available to DG TAXUD at any moment at its request and delivered formally every quarter.

The timely completion of transformation projects is measured against the last version of the *Master Plan of Transformations* delivered to DG TAXUD.

The Portfolio Management activity or service will also maintain a global operational overview and planning that allows anticipation, planning and resourcing of operational actions that ensure service continuity.

The transformation projects are then realised according to the *Master Plan of Transformations* (mentioned above) and will always consist of:

- an initial **inception phase** resulting in an inception report, a technical annex of the implementation activities, a draft detailed design and a bill of material;
- a **realisation phase** resulting in a final detailed design, the purchase or build of all necessary assets and an operations implementation or migration plan(s) and
- a **transition phase** resulting in an implementation report and in the transformed service in place properly documented in the Service Catalogue, the FQP and any other impacted documentation;

The above activities will have as main outcome, the periodic or continuous maintenance of the key documentation of the ITSM3 Operations contract as the Framework Quality Plan, the Service Catalogue, the Capacity Plan, IT Service Continuity Plan, the Projects Portfolio, etc.

The main outcomes of each sub process are presented in Figure 3 and are summarised below (please refer to the baseline for a current version of those documents below already provided by the incumbent ITSM2 Lot 1 contractor and refer to section 11.3 of the present document for a provisional list of deliverables).

- *Service Strategy* sub process leads to the delivery of general, but in most cases critical, deliverables that cover a broad spectrum of subjects directly related to or complementing the service provision. These documents are those listed in section 4.2.2.3.
  Also as outcome of the **Service Strategy** sub process are the business cases, requests for change and high level designs of proposed transformations.
- *Service Change Management* sub process maintains a global Service Change registry covering all the requests for change, their overall description and impact and their status. For each request for change an impact analysis is delivered.

- *Portfolio Management* sub process will maintain the Transformation Master Plan and the portfolio documentation (programs and projects description, dependencies, status, risks, etc.), the reporting on status and planning. This sub process will also contribute to the Capacity Planning being affected by the incoming projects.

- The *Transformation Projects* will deliver in the context of each project an inception report, a Technical Annex & Bill of Material describing in detail whatever actions and infrastructure are required for the implementation all together with an implementation plan. Once the inception is completed and the project enters in implementation phase a detailed design needs to be provided and approved. As the deployment of the solution is being executed, implementation reports have to be provided. Finally and as part of the project all impacted ITSM3 documentation (FQP, CMDB, Service Catalogue, Internal Working Procedures, etc.) will have to be updated.
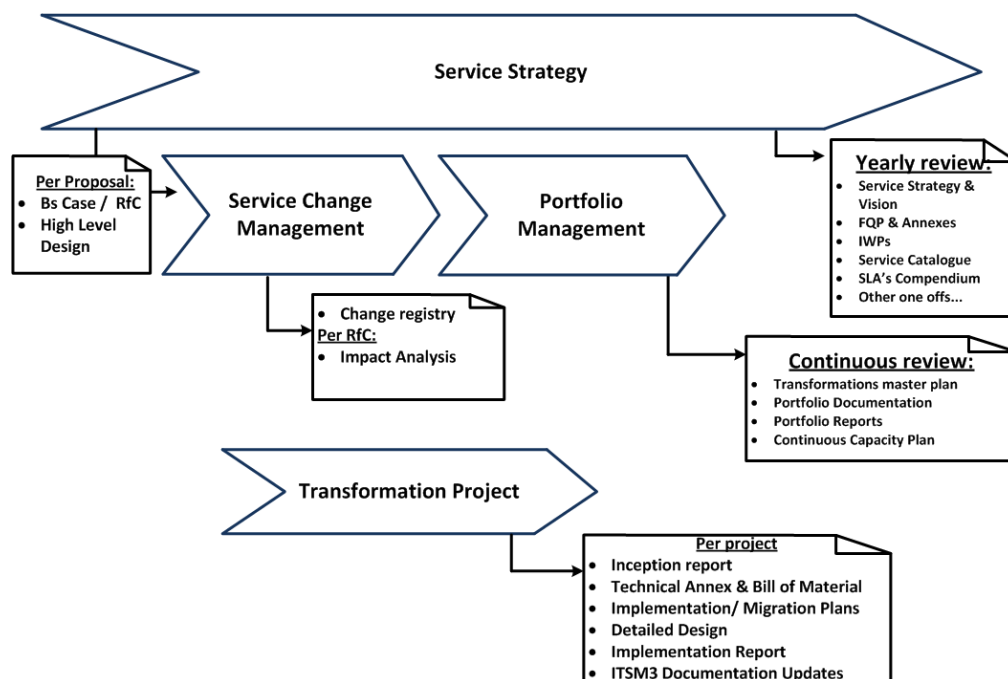
Figure 3 – Transformation processes outputs

4.2.2.3 Maintenance of Documentation

The existing Framework Quality Plans (FQP) of the incumbent ITSM2 Lot 1 contractor will be used as input for Takeover; a new FQP will be produced by the **ITSM3 Operations** contractor at the end of the Takeover of ITSM2 Lot 1 services. At each major event, but at least once per year, the FQP will be revised and updated by the **ITSM3 Operations** contractor.

The IWP must be updated in synchronisation with the FQP to ensure continuous alignment of both sets of documents and processes.

The **ITSM3 Operations** contractor will as well provide a revised and updated version of the FQP every twelve (12) months until the end of the **ITSM3 Operations** FWC. For SCs, **no Contract Quality Plans (CQPs) will be produced**, the FQP will be updated instead;

The services and the deliverables described in the FQP & Annexes [R5] for Service Block 02 are applicable with the **following specificities**:

- At each major event including the conclusion of any transformation project, but at least once per year, all impacted processes, policy and procedure-related documents and agreement (Service level Agreement - SLA, Service Catalogue, etc.) will be revised and updated,. The **ITSM3 Operations** contractor will as well provide a revised and updated version of those documents twelve (12) months before the end of the **ITSM3 Operations** FWC;
- Updated IWP will remain synchronised with updates of documents subject to a review cycle to have one (1) complete set of related documents at a time;
- Missing documentation related to processes, policies and procedures for all ITSM processes will be identified, produced and completed during the Takeover and from then on will be part of the document set to support;
- The **ITSM3 Operations** contractor will take into account specific aspects of the existing Business Threads (BTs) and user communities in all documents and, where agreements can be reached, it will harmonise them;
- The **ITSM3 Operations** contractor needs to take over , and complete an entire set of measurable End-to-End (E2E) SLAs related to the operations lifecycle twelve (12) months before the final end of the FWC;

The **ITSM3 Operations** contractor will be requested to produce, maintain and continuously implement a global encompassing and integrated IT continuity plan. This plan must integrate the IT continuity provisions for all interoperability and application Platforms (CCN, CCN2, SPEED2, UUM, TATAFng, etc.), for DG TAXUD's Customs, Direct Taxation, Indirect Taxation, Recovery of Claims and Excise applications and for the corresponding National Administration's applications. It must integrate DG TAXUD's IT continuity plans as well as DIGIT's and the Member States' IT continuity plans. It shall address technology, governance and organisation. In other words, it shall bring together all IT continuity elements in a harmonised, actionable European-wide IT continuity plan.

The contractor shall produce an initial set of deliverables that will be maintained in the context of Service Block 02; these will be either anew or based on documentation taken over (and/or tools) which compile the essential knowledge and documentation covering the provision of the services. The list of deliverables to be produced is:

- Service Strategy & Vision
- Service Catalogue
- Service Change Management process
- FQP and Annexes
- SLA/OLA per business thread and user community
- Service Level Agreements Compendium
- IT Service Continuity plan

- Availability Plan for IT Commission Services
- External processes & procedures documentation
- ICT architecture for the Commission IT services
- Capacity Plan for IT Commission Services
- Application Architecture & Framework
- ITSM Processes Documentation

From the list above, the Service Strategy & Vision, the ITSM Processes Documentation and the Change Management Process have no previous existing version which can be handed over by the ITSM2 Lot 1 contractor. For these cases, a transformation project must be defined and a high level design provided as part of Service Block 02 services during the Takeover period (see also Table 5: Takeover key acceptance criteria).

The list of documents that precedes, except for the ITSM Processes Documentation will be delivered at the end of the Takeover activity and verified as part of the Takeover FAT; after the Takeover they will be revised / maintained with a periodicity of maximum one year (see Reference documents [R4] to [R11]).

The **Service Catalogue[3]** and the **ITSM Processes Documentation** are the corner stone of this Service Block. They complement the **FQP** while keeping their own life cycle and ensure a full description of the **ITSM3 Operations** services and processes including the organisational and tooling aspects together with the interfacing with other stakeholders. They (as the rest of the FQP documentation) also must align and be fully coherent with the contractor's Operational and Internal Working Procedures..

The **ITSM3 Operations** contractor will produce and maintain at least two categories in the service catalogue. One will address DG TAXUD's audience, the other the National Administrations. Within the **Synergia** programme, user groups will be offered an electronic service catalogue tailored to the services they are entitled to obtain. DG TAXUD must be able to extract the full Service Catalogue and the subscribed groups.

The **ITSM3 Operations** contractor will provide an **online** access to the service catalogue with extended search and navigation features. As described in the Terms of Reference [R1] a project is ongoing on ITSM2 Lot 1 to provide these features; **ITSM3 Operations** will take over this Service Catalogue as is and propose improvements.

The Service Catalogue must maintain a consolidated view of **ITSM3 Operations** services to be continuously kept up to date and used operationally both by the contractor and the consumers of the services. The Service catalogue must not only contain all the necessary information for the users to request and consume the services and for the operators to provide

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[3] DG TAXUD expects to notably improve the service catalogue from the currently maintained by ITSM2 Lot 1. It should be noted however that actions are being taken at the moment of writing to apply most of these improvements which might or might not be completed at the moment of Takeover . Please refer to the ToR for a description of the on-going project improving the Service Catalogue.

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these services, but also information on dependencies, processes, and metrics (or reference to them) that measure the service quality including where they are reported. The integration with a CMDB view of the CIs, tools and systems is necessary.

It should be noted that the tool supporting the Service Catalogue should also be used by other entities than **ITSM3 Operations** to publish and allow consumption of their services. The content related to other entities services is **not** to be maintained under this Service Block 02, however **ITSM3 Operations** will be required to provide tool support to these entities under the context of SB03 – Tools Supporting the SM and SB07 – Application Management.

The **ITSM3 Operations** contractor will be required to maintain a consolidated view of **ITSM3 Operations** processes and procedures (the aforementioned **Processes Documentation**) and continuously keep them up to date to be used operationally both by the contractor and the consumers of the services as a support to the Service Catalogue. This activity must make use of a modelling tool[4] and integrate with an IT systems view of the automated functions and processes.

4.2.2.4 Service Strategy & CSIP

The **Service Strategy & CSIP** activities will cover the **identification and high-level design** of transformations of any nature (technical, procedural, organisational, methodological, etc.) that may improve **ITSM3 Operations** services and processes according to DG TAXUD strategic goals and objectives. These transformations and their association to DG TAXUD goals shall consolidate in a roadmap that conforms to the strategic view on the evolution of TAXUD IT services and operations.

Service Strategy & CSIP is considered as an inherent function performed in close coordination with the management of the **ITSM3 Operations** contractor and key output of Service Block 02. Implementation of Service Strategy & CSIP is a key responsibility of the **ITSM3 Operations** contractor. Implementation is measured by outputs that are directly linked to improvement of services measured by the reported KPI or SQI of the improved services.

The **ITSM3 Operations** contractor will be required to maintain a consolidated high-level view of **ITSM3 Operations** services and their strategic evolution. The contractor should maintain a strategy that provides a global coherent view with goals, objectives and a roadmap of transformations to be engaged in the medium and long term responding to TAXUD requirements. To this, the inclusion and integration with an IT Enterprise architecture view of the SMT tools and systems must be added.

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[4] DG TAXUD uses ARIS for Business Processes modelling and management though is not as of today used for the documentation of Service Management processes while a different tool (still to be defined at the moment of writing this ITT) is being envisaged for Enterprise Architecture management and System Processes modelling.

⚠ The service strategy and CSIP activity must lead to real improvements to the services in quality and/or reduction of costs to DG TAXUD within the context of the contract.

Service Strategy & CSIP analyses the existing organisation, identifies potential improvements, provides and assesses proposals including their impact and high level design. Improvement identification will also be based on the analysis of operational risks of existing processes and their metrics. This analysis is made with direct participation of the teams involved in the provision and consumption of services.

An important input of the service strategy are the business or policy initiatives and the resulting IT projects which may require the adaptation of the operational ITSM services; to ensure full anticipation and preparation of the operational requirements, major IT Projects (specially development of new systems) will have associated a transformation project under SB02.

As part of this activity but also across all activities/services in the scope of the contract,, the **ITSM3 Operations** contractor shall – throughout the lifetime of the contract – fully exploit synergies between all operational activities and will propose harmonisations of tools/techniques/services wherever appropriate in order to reduce cost and improve efficiency.

The **ITSM3 Operations** contractor will take over, build-up, maintain and continuously increase all knowledge (as part of a coherent knowledge management[5] strategy) in order to provide all services ever more independently (reducing the need for DG TAXUD and other involved parties to intervene in the provision of the services), according to the processes outlined and towards operational excellence. Deliverables must indicate this evolution.

The following is expected as the key, but not complete input, to the Service Strategy & CSIP function:

- Service Catalogue;
- Process metrics;
- Major IT projects;
- Yearly satisfaction survey;
- Audits;
- FQP of the incumbent ITSM2 Lot 1 contractor;
- Steering Committee feedback;
- Yearly benchmarking exercise;
- Risk register.

Also as input for the **Service Strategy & CSIP** activities, **ITSM3 Operations** must continuously and closely survey the actual execution of the services, processes and

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[5] See Section 4.2.9 for service requirements on Knowledge Management and Terms of Reference [R1] on ongoing solutions being developed in relation to Knowledge Management

interactions and follow the reporting to identify risks, flaws and opportunities that can be addressed via transformations. Other sources of input will be via regular consultations with DG TAXUD and other stakeholders but also via internal consultations.

Implementation proposals other than *minor improvements* (cf. 4.2.2.8) will be provided as project proposals that will include a high-level design of the solution and will be supported by a business case that is the fundamental element of the request/(s) for change that are submitted to the Service Change Advisory Board (see 4.2.2.5). The business case will address the:

- Key risk the project mitigates;
- Total value proposition (effectiveness and efficiency);
- Total cost of ownership.

The **ITSM3 Operations** contractor will be required to bring business value into their services, acquiring the understanding of DG TAXUD policies and objectives, adapting to them, supporting them and not limiting themselves to provide IT services.

4.2.2.5 Service Change Management

The **Service Change Management** process and activities will record in a change request registry the requests for change derived from the Service Strategy & CSIP proposals or from other sources; and make an assessment of impact and complexity that will be submitted to the Service Change Advisory Board organised by **ITSM3 Operations** and chaired by DG TAXUD. The Board will decide on the implementation or not of the requested changes.

Requests for change may arrive not only from the Service Strategy and CSIP but also from DG TAXUD or other external stakeholders or from internal teams.

During the course of the contract, **ITSM3 Operations** can suggest the use of tools either common or integrated to ensure the coherence of all initiatives and favouring existing tools already used within DG TAXUD. This should also take into account that, whatever tool which is implemented, will become DG TAXUD property (the code in case of developed software and the licences in case of COTS) and must be fully[6] deployed and managed within Commission Data Centres.

All services requests for change or transformations of **ITSM3 Operations** services need to be managed within the Service Change Management activity, reflected in the Service Catalogue and reported in a quarterly activity report – the acceptance of the quarterly activity report will be bound to the progress made.

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[6] Exceptions to this rule must be duly justified and explicitly requested to and approved by DG TAXUD which takes the final decision.

The **ITSM3 Operations** contractor will be responsible for Service Change Management and for ensuring a continuous and managed view of all the requested changes, their impact and implementation proposals including the organisation of a change management board for this specific purpose. This should integrate with the changes on the SMT tools and systems (Synergia change management).

4.2.2.6 Portfolio Management

DG TAXUD expects that the **ITSM3 Operations** contractor assumes the management of the transformation and other services on projects mode (e.g. new CI, evolution of existing CI) in a way that it can at any moment provide and make use of a clear visibility on current and future actions to be able to:

- Anticipate changes and new projects,
- Evaluate proposed transformations from a PM and contractual perspective
- Identify and manage risks
- Plan the activities, manage dependencies and share the plan with other stakeholders (e.g. TAXUD, S-DEV, QA)
- Mobilise the necessary resources both human and material in due time and with appropriate skills for human resources
- Deliver the projects and services without any service disruption
- Preserve and report on all related PM artefacts (projects list & planning, risk, register, business cases, deliverables, etc.)

It is important to note that the portfolio of projects affecting TAXUD IT systems operations and services cover a spectrum larger than those strictly under the responsibility of the **ITSM3 Operations** contractor. However, it is the responsibility of the **ITSM3 Operations** contractor to maintain an overall operational planning in the context of the Portfolio activity that allows a full view of initiatives, projects and actions directly or indirectly affecting the present and future operations of TAXUD IT.

The **ITSM3 Operations** contractor will be responsible for the management of the **ITSM3 Operations** services in project mode and the related **portfolio of projects** and actions including the identification and management of dependencies with external projects and/or with the **ITSM3 Operations** operational services and processes.

4.2.2.7 Management, coordination and technical support

The ITSM3 Operations contractor shall continuously keep a core service (covered by price element P.2.2 cf. section 6.2.4) that will provide management, coordination and technical support to the Service Strategy & CSIP and the Service Change management activities while managing and implementing Transformation projects in continuous mode. This core service will ensure sufficient capacity to support the different technical areas: processes, methods, infrastructure, applications, platforms, security, etc. This team can be increased in resources to

cope with large or numerous projects but will in all circumstances be independent of those involved on activities of service blocks other than SB02.

This core service must be delivered in proximity[7] of DG TAXUD as to ensure a close alignment between DG TAXUD expectations and the SB02 deliveries (in particular the transformation deliveries).

4.2.2.8 Transformation Projects

Once a change is approved, the transformation project is launched in project mode within the context of this SB02. This activity under SB02 covers the detailed design and the effort implied in the implementation of the transformation as far as it is not already covered by other services within the contract.

Within the context of this Service Block the tenderer will realise the following:

- Service Design: new services or transformation of existing services;
- Service transformation: plan and implement the service transformation in cooperation with the involved **ITSM3 Operations** internal teams, with DG TAXUD and with external parties.

The contractor shall realise the design and implementation of the above as changes, foreseen in the Service Strategy and approved by a Service Change Advisory Board[8] (SCAB) (organised by **ITSM3 Operations** and chaired by DG TAXUD).

During Takeover, on demand transformation projects will be requested only involving design activities and not implementation of transformations. In addition, the SCAB will be launched already during the Takeover period in order to advance potential changes necessary due to the change of contract or other eventuality related to inflight projects.

⚠️The contractor shall continuously keep a minimum core service (covered by price element P.2.6 cf. section 6.2.8) that will provide technical support to the Service Strategy & CSIP and the Service Change management activities while managing and implementing Transformation projects in continuous mode. This core service will ensure sufficient capacity to support the different technical areas: processes, methods, infrastructure, applications, platforms, security, etc. This team can be increased in resources to cope with large or numerous projects but will in all circumstances be independent of those involved on activities of service blocks other than SB02.

The changes will be catalogued as minor, simple, medium or major transformations by the SCAB according to the assessment made within the change management process; based on the effort estimated in a validated impact analysis according to the following scale:

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[7] See Section 9 "Staffing & Infrastructure Requirements" for the definition of proximity profile.
[8] At present, the SCAB is not operational at DG TAXUD. For its implementation in the context of ITSM3 this board could be represented by the Steering Committee or delegated to the BMM meetings.

- Estimated effort below **1 man-month** of any profile (less than 1 FTE for 1 month): *minor improvement*
- Estimated effort over **1 man-month** effort and less than **12 man-months** of any profile (0.1 to 1 FTE for 1 year): *simple improvement*
- Estimated effort over **12 man-months** of any profile and less than **36 man-months** of any profile (1-3 FTE for 1 year) : *medium improvement*
- Estimated effort over **36 man-months** of any profile and less than **60 man-months** of any profile (3-5 FTE for 1 year): *major improvement*

Whenever the implementations effort of a change is over 36 man-months or no agreement on the required effort is reached, it may be split in phases that distribute the effort or launched in the context of a RfA or SC based on price per profile.

Transformation projects will be launched as continuous services in the context of Price Element P2.6 or as On-Demand/QTM services in the context of price elements 2.7 to 2.9 to cover peaks over the defined threshold of (10 minor, 5 simple, 2 medium and 1 major active transformations).

A transformation is considered active from the moment the work has started until the date of delivery according to a planning previously and explicitly agreed with DG TAXUD.

The implementation effort considered shall not include services supporting the implementation which are covered in the context of service blocks of the contract other than SB02 Transformation Projects (e.g. project management [SB01], Service Strategy [SB02], tools development [SB03], service desk [SB04], infrastructure management [SB5], application or platform management [SB06&7], service management [SB9], security management [SB10], etc.), neither software nor hardware provisioning.

4.2.3 TOOLS SUPPORTING THE SERVICE MANAGEMENT – (SERVICE BLOCK 03)

Service Block 03 covers the necessary development activities to deliver, customise and maintain the necessary tools for the provision of the ITSM services. This service block acts very closely and in support to the transformation activities of Service Block 02.

Service Block 03 covers the Synergia programme but also other tools supporting the activities as for example the RAM tools used for knowledge management, for software delivery and release (RQM, RFT, etc.) or for monitoring.

⚠ The tools developed, maintained or customised under this Service Block 03 shall be assigned a Service Window and Quality of Service according to their criticality and supported by **ITSM3 Operations** in the context of Service Blocks 06 or 07. These tools will, in some or all cases, not be used exclusively by the **ITSM3 Operations** contractor.

Synergia programme

DG TAXUD has set up in 2010 the **Synergia** programme to further build on an ever better working relationship between DG TAXUD IT, the Stakeholders, the Suppliers and Users. The

Synergia programme is a major transformation project to improve efficiency and achieve operational excellence. The programme strives towards a shared coherent set of processes supported by automated workflows and excellent Service Management Tools. The tools implemented by the **Synergia** programme and the related projects are a key output of Service Block 03.

The **ITSM3 Operations** contractor will take over the existing ITSM2 Lot1 Service Management related tools and from then on maintain them under corrective and evolutive maintenance. Please refer to the FQP & annexes [R5] for a description of the services provided, the current situation of the tools and to the Terms of Reference [R1] for the ongoing evolutions and the expected transformations for the future.

⚠ It might be necessary to implement a new evolutive release and/or some configuration and data maintenance during the Takeover period provided under the responsibility of ITSM2 Lot1 to allow for adjustments to the new **ITSM3 Operations** contractor. However, these should be minimised and non-essential evolutions will be implemented after the services under Service block 03 are taken over by the **ITSM3 Operations** contractor.

The services and the deliverables applicable include the following:

- Throughout the FWC, the **ITSM3 Operations** contractor will ensure and implement harmonisation and/or integration of the service management related tools;
- The **ITSM3 Operations** contractor will continue the **Synergia** Programme as is and will develop the programme roadmap and vision in the medium and long term in coordination with the Service Strategy activity. This will result in better ITSM services and alignment proposals aimed at achieving the vision;
- All environments for **ITSM** Tools should be available in TAXUD DCs.

The development of service management tools shall be strictly separated (functions/team) from its operation (i.e. a complete segregation of duties).

As mentioned in Section 4.2.2 the **ITSM3 Operations** contractor will develop and maintain a vision and a roadmap for **ITSM3** Service Management related tool improvements supporting the evolution of the ITSM tools portfolio towards modern Service Management related tools. This activity should ensure full coherence of both Service Block 02 and Service Block 03 activities.

Certain initiatives that might implement tools to cover totally or partially some of the above needs, have been or will be launched in the coming months following the date of publication of the call for tenders.

In addition to the above, a series of projects shall be defined for the support of the Software Development Life Cycle of TAXUD systems which include:

- System specifications documentation & modelling
- Testing documentation & automation
- Deployment automation

- Definitive Software Library

These projects description and that of the existing tools and their support to the IT processes at DG TAXUD is provided in the Terms of Reference [R1].

If implemented, the tools shall be included and integrated into the Synergia programme; they will be deployed at TAXUD Data Centres and become the property of DG TAXUD (the code in case of developed software and the licences in case of COTS).

4.2.4   SERVICE DESK – (SERVICE BLOCK 04)

4.2.4.1   <u>Service Desk</u>

⚠ There shall be one **Common Service Desk** managed by the **ITSM3 Operations** contractor which will be responsible for receiving and dispatching the calls internally and/or externally (e.g. ITSM3 TES[9], DG TAXUD, DIGIT, X-DEV, NAs…) while assuring end-to-end follow-up of all calls.

The **ITSM3 Operations** Service Desk will act as the **Single Point of Contact** (SPOC) according to ITIL for all users, stakeholders and third parties authorised by DG TAXUD.

The services and the deliverables defined in the FQP & Annexes [R5] are applicable with the following observations:

- The Service Desk function will **<u>not be</u>** restricted to IT related matters only, neither to the specific **ITSM3 Operations** services, nor to registered users. **ITSM3 Operations** Service Desk will thus log any interaction of any registered entity and perform its function as intermediary between resolver and issuer. For specific types of calls, specific procedures may be produced and maintained and stakeholder-specific reporting may be produced;
- The priority ranking of calls handled by the ITSM2 Lot 1 Service Desk defined in section 4.2.4.2, will be used;
- The **ITSM3 Operations** Service Desk will provide proxy services to all internal and external support teams who do not dispose of direct update rights in the SMT, (part of the **<u>Synergia</u>** Programme), or where DG TAXUD decides to revoke those rights from a support team;

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[9] **ITSM3 TES** refers to **ITSM3 Transeuropean** and it is the programme following **ITSM2 Lot 2**

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- The **ITSM3 Operations** Service Desk must send all events related to the unavailability of **CIs** or **IT Assets**[10] under the **ITSM3 Transeuropean** responsibility, e.g. Member States or central applications from the **CS/MIS** application, to the third party or actor assigned by DG TAXUD for that CI or IT asset and specifically to the **ITSM3 Transeuropean** contractor who is responsible for monitoring the business transactions of the Transeuropean systems;
- The **ITSM3 Operations** Service Desk must prioritise 1st Level incident management for all services within the scope of the operations of the **ITSM3 Operations** FWC, and focus on an ever increasing measurable 1st call resolution rate. 1st call resolution rates might be measured distinctly for different types of calls to cater for operational involvement of the **ITSM3 Operations** contractor as a whole;
- Contribution to problem candidate identification is also the responsibility of the **ITSM3 Operations** Service Desk for all services within the scope of the **ITSM3 Operations** FWC;
- The **ITSM3 Operations** Service Desk must take over request fulfilment, including the provisioning of any new standard, routine and pre-approved requests for services that are identified during the FWC;
- The **ITSM3 Operations** Service Desk must have the capacity to provide and promote information through e.g. production and maintenance of newsletter, FAQs, forum content, etc.
- The **ITSM3 Operations** Service Desk will hourly monitor the ITSM support queues in the DIGIT SMT environment until a more automated bridge between the DIGIT SMT and the DG TAXUD SMT is operational.

The **ITSM3 Operations** contractor will be requested to provide a **Self-Help and Self-Healing Facility** (i.e. an automated facility to enable users to reset passwords or resolve their own problems via a web-based toolset …), taking into consideration the evolvement of the available Service Management related tools.

The **ITSM3 Operations** contractor will be requested to provide an intelligent state-of-the art telephony solution, supporting a toll-free **"800" line** in each National Administration. Telephone switch functionality, intelligent routing, automated call distribution (ACD), interactive voice response (IVR), automated e-mail response management and interactive chat tools will be set up with a view to operational excellence and user-friendliness. Within the **Synergia** programme, a connection to the SMT must be foreseen.

The **ITSM3 Operations** contractor will be requested to provide and develop as much as possible **automated services** to make the Service Desk more efficient like remote management capabilities, automated service request and provisioning solutions, real-time and on-line monitoring solutions, fully real-time and on-line reporting solutions all accessible to DG TAXUD.

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[10] See Section 4.2.5 for a definition of IT Assets in the context of the **ITSM3 Operations** services.

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The **ITSM3 Operations** contractor will be requested to provide a knowledge base for the Service Desk activities that enhances the effectiveness and efficiency of the Service desk most especially towards higher 1st line incident solving and user satisfaction. This must be integrated within a Global Knowledge management solution.

4.2.4.2   Service Calls Resolution Time

The following table indicates the required Acknowledge or Response Time and the Resolution Time of service calls according to their level of priority.

Priority	ACK (response time)	Resolution Time
P1: Critical	30min	5h
P2: High	30min	13h (1 day)
P3: Medium	30min	39h (3 days)
P4: Low	30min	65 h (5 days)

Table 3: Response times and Resolution times according priorities

The assignment of priority to Service Calls is done according to their impact and urgency applying the following table:

Urgency	Impact	Low	Medium	High
Low		P4	P3	P2
Medium		P3	P2	P1
High		P2	P1	P1

Table 4: Priority calculation table

Please refer to the Internal Working Procedure for Incident Management (see Internal Operational Procedure ITS-1PRC-021 in the baseline) and specifically to Annex H of that document for more detail information on service calls prioritisation and for criteria for assigning urgency and impact levels.

4.2.5 ICT INFRASTRUCTURE MANAGEMENT – (SERVICE BLOCK 05)

4.2.5.1 Scope

The services to be provided under this Service Block cover:

- All infrastructure necessary for the operation of the applications covered under Service Block 07;
- All infrastructure necessary for the operation of the platforms instances covered under Service Block 06;
- Infrastructure as a service provided directly to DG TAXUD or another stakeholder indicated by DG TAXUD;
- All infrastructure necessary for ensuring the physical and logical security of all DG TAXUD IT assets and to implement the actions covered under Service Block 10;
- All infrastructures necessary for the monitoring, administration and maintenance of the above.

The word infrastructure above refers both to hardware and software components supporting software components covered by SB06 and SB07. These should be market standard components which customisation for the use in DG TAXUD should not go further than deployment and operational configuration.

To give an example, under this service block are included the provision, maintenance and management of the CCN Gateways (including OS, DB instances and monitoring agents) and the management[11] of the CCN Communication equipment of a CCN site. The CCN software deployed in a CCN Gateway (except OS, DB instances and monitoring agents) are either application components covered under Service Block 07, or platform components supported under Service Block 06.

All the above is to be provided with the required Quality of Service and Service Window and covering all underlying infrastructure services including among others:

- All physical and logical servers (virtualised or not) and operative systems;
- All database instances and related backup or synchronisation tools (e.g. Dataguard);
- All network connectivity (internal & external) devices and inherent software, including VPN connectivity with third parties;
- All storage infrastructure
- Complete monitoring services according to QoS and Service Window requirements or as requested by DG TAXUD for specific services and for essential functions;
- Software and hardware automatic identification capable of feeding an asset inventory and the CMDB when necessary;
- Full back-up of all IT components and tested processes for partial or full restore of all the services and components;

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[11] The provision and maintenance of the CCN Communication equipment of a CCN site (CCN encryption devices (SSG), CCN switches, Network routers, and private CCN lease lines) is today under the responsibility of the CCN WAN contractor. However, the responsibility will be shifted to the **ITSM Operations** contractor.

- Release and patch management of software components;
- Licence management allowing to identify software licences deployed, their level of utilisation and licence compliance;
- Environment provisioning to DG TAXUD or involved stakeholders (X-DEV contractors, National Administrations, etc.) based on predefined standard environments;
- Any other infrastructure service necessary to ensure the QoS within the Service Window required;
- Vendor (or equivalent) Technical Support for all market Hardware and Software products (e.g. VMWare, Oracle Virtualise Environment, Solaris, Linux, AIX, Bluecoat, etc.).

At the time of this call for tenders, the infrastructure, on which DG TAXUD central Information Systems (IS) are running, is provided by two different entities: **DIGIT's Data Centres (DIGIT DC)** operated by DG DIGIT; and **TAXUD's Data Centres (TAXUD DC)** located in Luxembourg (Drosback & Kayl respectively) and operated by the incumbent ITSM2 Lot 1 contractor.

On top of the tasks related to the ITSM2 Lot 1 infrastructure management described in the FQP & Annexes [R5], the **ITSM3 Operations** contractor will be responsible for managing and operating all CCN infrastructure deployed in all current and future CCN sites. The **ITSM3 Operations** contractor will also be responsible for managing and operating the future CCN2 and UUM&DS infrastructure (see also Section 4.2.6 Interoperability & Application Platforms Management – (Service Block 06)).

⚠️ The **ITSM3 Operations** contractor should envisage using virtualisation techniques, technologies and platforms to the maximum extent (taking into account the existence of certain constraints that impede a full virtualisation of all environments).

The **ITSM3 Operations** contractor shall maintain TAXUD data centres and infrastructures as needed to be able to guarantee security, high availability and resilience.

The **ITSM3 Operations** contractor may be requested to operate additional Data Centre sites provided by DG TAXUD or (an)other stakeholder(s) nominated by DG TAXUD (e.g. DIGIT or other EU Commission DGs, National Administrations, EU agencies, etc…)

4.2.5.2 Transformations

The proposed strategy is to gradually improve the existing data centres situation towards a high-availability / high performance-hosting infrastructure. The strategy should take into account the following requirements:

- Two main data centre facilities, provided by DG TAXUD, with hosting capacity each of 200 m². They are located within a radius of 50 km of the DIGIT/DC to ensure synchronous replication;
- Possible extra data centre facility(/s);
- Full synchronisation between the two main data centre facilities and partial synchronisation between the DIGIT/DC and the two main data centres (the latter to ensure synchronisation of e.g. databases/systems which would continue to be hosted by DIGIT);
- All data centres (the two main data centres as well as any extra site) are and must stay connected to the Internet, the CCN & CCN2 networks, TESTA-NG, the SPEED-net network, as well as with the DIGIT/DC;
- The CCN, CCN2 and the ITSM2 Lot 1 infrastructures are all based on different technologies (server hardware, operating systems, etc.). The **ITSM3 Operations** contractor should seek maximum harmonisation/consolidation of these infrastructures with the existing constraints and whenever possible fully exploit virtualisation techniques and platforms;
- The hosting capacity for servers, internetworking components, security devices, storage, cabling, replication, etc. and their related architecture must ensure a highly available/fault-tolerant infrastructure.

The implementation of any proposed improvements must be associated with services improvements and the Service Strategy (SB02 Section 4.2.2) and will be subject to DG TAXUD approval and may be modified or refused in the course of the contract.

The **ITSM3 Operations** contractor will exploit, to the maximum extent, virtualisation techniques/tools, both at the CCN sites in the EU Member States (and elsewhere) and in all **ITSM3 Operations** operated data centres.

4.2.5.3 ICT Housekeeping

The **ITSM3 Operations** contractor should perform excellent ICT housekeeping, which is one of the key objectives of Service Block 05. ICT housekeeping refers to all assets and environments, no matter where they are hosted, as long as they are within the scope of the FWC. ICT housekeeping activities might change over the time, according to the changes to the IT assets, which will induce knowledge management activities for **ITSM3 Operations** contractor's staff.

ICT housekeeping activities will be benchmarked by the **ITSM3 Integration** contractor or another Commission benchmarking contractor, to ensure that the contractor fulfils the ICT housekeeping according to market standards, both effectively and efficiently. In this context, the **ITSM3 Operations** contractor collaborates fully with any party nominated by DG TAXUD to perform the benchmark and coordinates activities for other stakeholders (DIGIT, etc.).

Patch management for all IT assets and CIs is an integral part of ICT housekeeping – **excluding patches that are provided by X-DEV** (which are however within the scope of

ITSM3 Operations under Service Block 06 or Service Block 07 and covered by the price elements 6.1 to 6.8 and 7.1 to 7.7). Patch management will be subject to the operational change management process.

Keeping up with standard market technology evolutions (i.e. deploying new major or minor versions of operating systems, new versions of database/application servers software, virtualisation layers, network and security device microcode, etc.) is an integral part of ICT housekeeping. Decommissioning and phasing out of legacy environments are equally an integral part of ICT housekeeping activities. These activities will be entirely covered by the continuous services, from start (i.e. impact analysis) to finish, including the project management, and other upgrade-related activities.

The labour (but not the parts or licences) related to the replacement of obsolete equipment or addition of capacity to an existing infrastructure service located in DG DIGIT or DG TAXUD Data Centres, is an integral part of ICT housekeeping, including installing or providing support for the installation of additional hardware and performing the initial installation of the operating systems, database/application servers software, virtualisation layers, network and security device microcode, etc.). These activities will be entirely covered by the continuous services, from start (i.e. impact analysis, product selection) to finish, including the project management, and other upgrade-related activities.

All ICT housekeeping activities/duties are fully included in price element P.5.1 – cf. Section 6.2.15. There shall be no specific orders for ICT housekeeping and related activities. They are part of the day-to-day ICT infrastructure management tasks.

All in-site interventions of the **ITSM3 Operations** contractor staff in any of TAXUD Data Centres are included in price element P.5.1. This is the case, regardless of the reason of the intervention, be it for example to solve an incident or problem, install or deploy a new hardware, software component or version, realise an inventory, a verification or for any other reason whatsoever. For the resolution of incidents, the **ITSM3 Operations** contractor must be able to intervene in site whenever necessary with a maximum delay of 30 minutes from the moment the need for intervention is identified.

⚠️ The **ITSM3 Operations** contractor must provide to DG TAXUD and other third parties identified by DG TAXUD, unlimited logical/read-only access to **all** operated environments, systems and tools no matter where they are hosted. Failure to do so will result in the environment to be ignored from the counting of price quantities for the month(s) on which any access was denied to that specific environment.

⚠️ Note that the provision and maintenance of the CCN encryption devices and the CCN end-to-end routers remains under the responsibility of the CCN/WAN contractor (or whichever contractor taking over the CCN/WAN services in the future). The **ITSM3 Operations** contractor is however required to operate the CCN encryption devices deployed at each CCN site. This situation may change in the future (even before the Takeover) with no extra cost for DG TAXUD.

The **ITSM3 Operations** contractor will be requested to maintain and demonstrate at any time the compliance with standards for the Data Centres under its responsibility (regardless of their location) such as:

- ANSI/TIA/EIA – 942 Telecommunications Infrastructure Standard for Data Centres
- ANSI/TIA/EIA – 606-A/B Administration Standards
- ANSI/TIA/EIA – 569 Pathway and Spaces
- ANSI/TIA/EIA – 568-A Telecommunications Cabling Standard

4.2.5.4 Configuration and Asset management

The **ITSM3 Operations** contractor is responsible for maintaining a detailed inventory of all COTS, ICT, CIs and assets under its responsibility be they delivered by the Commission or not, with item identification, location, price, date of delivery, start and end date of maintenance and support.

The **ITSM3 Operations** contractor will warn DG TAXUD and trigger the necessary actions three (3) months in advance for assets that require renewal (eg. licences, support contracts, certificates, hardware maintenance contracts, etc.) and one (1) year in advance for those requiring a total or partial upgrade or replacement. This includes all types of assets and not only hardware (i.e. licences, documentation, security devices microcode, etc.), independently of the bundling at acquisition time

The **ITSM3 Operations** contractor is responsible for the infrastructure capacity management, on the basis of the available capacity, the measured and planned consumption, and the information provided by the service block 02. **The ITSM3 Operations** contractor will inform DG TAXUD of any extra capacity (licence, hardware, networking capacity, certificates, etc.) needed in the best possible delays. The **ITSM3 Operations** will manage the communication with the equipment providers in order to select and size the necessary equipment and provide a detailed bill of material to DG TAXUD within the following timeframe; all the information necessary for the ordering must be available to DG TAXUD at the latest:

- Three (3) months in advance when increasing the capacity of existing equipments. Examples: extra disk capacity in existing SAN, extra licenses of a known software; extra servers or networking equipment of a known type/architecture; extra security certificates of a known type and provider;
- Six (6) months in advance for WAN capacity;
- Six (6) months in advance for new type of equipment, software or certificates.

The **ITSM3 Operations** contractor is responsible for the management of **IT Assets** considering: hardware / software components, licences, certificates and any other item purchased, deployed or operated in the context of the contract. The **ITSM3 Operations** contractor will maintain the full traceability of the assets from the identification of needs (Capacity Management) through the procurement and purchase, reception, deployment or installation, operation and renewal of disposal.

It is the responsibility of the **ITSM3 Operations** contractor to ensure that the licences of all products managed or operated by the contractor are deployed and operated in full compliance with vendor's rules in the use of such licences.

A comprehensive licence management services including software lifecycle management services shall be implemented by means of:

- o A base package consisting of an on-line service enabling secure access to catalogue(s) and licence pricing information (via an on-line product catalogue), order tracking information (via an order tracking tool), licence inventory information, and provision of regular consumption follow-up reports, as well as other types of reports (provided periodically or on request from DG TAXUD within a maximum delay of 5 working days), linked to Service Level Agreement (SLA) requirements;
- o Licence management services, which involve the **ITSM3 Operations** contractor coming on-site to identify licences and software products already deployed on a computer network. These services may include licence disposal, licence metering, and licence compliance services.
- o Periodic and complete licence verification (including licences of products and COTS purchased by other acquisition channel) followed by a report of the Contractor with the verification made and a letter certifying full licence compliance.

The **ITSM3 Operations** contractor must take into account the diversity of acquisition channels (many items may be purchased via other contracts though deployed and operated within the ITSM3 Operations contract) and the diversity of operational models (for example some items might be deployed in TAXUD Data centres and others in DIGIT DCs). This diversity creates dependencies but must not be an obstacle to keep full control and management of the assets via a central repository and inventory.

4.2.5.5 Availability management and business continuity

⚠️ The **ITSM3 Operations** contractor must set up contingency services aiming at restoring a normal or acceptable situation within a minimum amount of time in case of partial or complete dysfunction or destruction of the **ITSM3** infrastructure.

BCP/DRP plans should be regularly tested – at minimum once per year.

The **ITSM3 Operations** contractor must also deliver and maintain the additional BCP/DRP plans & services, which must be envisaged at different levels to ensure the overall system resilience and continuity for the infrastructure provided by the **ITSM3 Operations** contractor and/or deployed in the National Administrations.

4.2.6 INTEROPERABILITY & APPLICATION PLATFORMS MANAGEMENT – (SERVICE BLOCK 06)

Under this Service Block, the contractor will manage all the software components to provide:

- platform services necessary for the applications managed under Service Block 07;
- any other platform or middleware service required by DG TAXUD or other stakeholder indicated by DG TAXUD (platform as a service).

Platform management services consist in providing full support for the test, deployment and operation of DG TAXUD interoperability and application platforms. These platforms are composed both of COTS and/or of custom proprietary software maintained by one of DG TAXUD development contractors. In both cases the **ITSM3 Operations** contractor must:

- Maintain an operational planning to ensure that all testing and deployment activities performed by **ITSM3 Operations** are planned and communicated to all DG TAXUD stakeholders and all DG TAXUD contracting parties. This planning complements and shall be consolidated with the Installation and Testing Operational Planning (ITOP) to be realised in the context of Service Block 07.
- **ITSM3 Operations** performs all deployment activities previously agreed with DG TAXUD through the Change Management Process; all the installations are performed according to the Consolidated Operational Plan (ITOP).
- Validation and testing activities include:
  - Create Acceptance Test Plan depicting the specific approach and scope of testing;
  - Participate in FAT mission in case of delivery from a DG TAXUD development contractor (typically CCN2-DEV in the case platforms);
  - Verify test environment – in which the environment for Qualification, PreSAT or SAT is prepared for the testing activities;
  - Organise a kick-off meeting for a PreSAT and SAT campaign;
  - Qualification notification where stakeholders are informed that a Qualification test cycle has started and is completed;
  - Perform planned test cases/scenarios;
  - Evaluate exit criteria where the results of executing the test activities are compared to the expected results in order to prepare a recommendation on the production readiness of the release;
  - Organise a closure meeting where the results of executing the test campaigns are presented and the recommendation regarding the production readiness of the release is analysed by DG TAXUD; this is done for PreSAT/ SAT test cycles;
  - A final test report is put together and the environment is cleaned up for future testing campaigns
- Provide expertise on DG TAXUD platforms and second level support and coordinate with the X-Dev organisations their provision of third level of support for the resolution of incidents and problems.
- Ensure vendor (or equivalent) Technical Support for all related operational Software products or COTS (e.g. Oracle WebLogic, Oracle DB, Oracle Fusion, etc.).

Platforms are exclusively composed of software components that may be of any nature from COTS to customised or proprietary software. Platform components provide business agnostic functionalities necessary for the functioning and interoperability of Customs and/or Taxation systems.

⚠ Any hardware components (physical servers, storage, network, security devices, etc.), all the operative systems (Linux, Windows, Solaris, etc.) plus database instances and all software inherent to the network and security hardware devices or to monitoring are excluded from this service block and are covered by ICT Infrastructure Management – (Service Block 05).

Currently the major platforms in operation or under development at DG TAXUD, which fall in the context of this Service Block are:

- Platforms in operation:
  - CCN
  - SPEED
  - SPEED2
  - TATAF
- Platforms in development
  - CCN2
  - UUM&DS
  - TATAFNG

Platforms are divided into one or several *Platform Instances* which are the management and pricing units for this service block.

A *Platform Instance* is a well delimited set of deployed software components providing a well-defined set of platform services to one or several central and/or distributed systems. A given platform could consist of a unique platform instance (e.g. SPEED2) or several (e.g. CCN sites, CCN2 Access Points, UUM&DS PEPs).

⚠ The main objective of the platforms instances structure of this service block is to allow the necessary flexibility to define and implement platforms variations as required by the evolving Customs Taxation Trans-European systems.

How a platform is divided into Platform Instances and their complexity level shall be DG TAXUD's decision based on a validated proposal from the **ITSM3 Operations** contractor using the Application & Platform Complexity models [R4]. Please refer to Section 7 - Application & Platform complexity classification for a description on the complexity model structure and use.

Please see the Application & Platform Complexity models [R4] for a list of the existing and foreseen platforms instances types and the initial estimated complexity classification.

The tenderer should provide a pricing for the first instance of any type of a given platform (price elements 6.1, 6.2 & 6.3) based on the Application & Platform Complexity Model [R4], and another (based on a percentage of the previous) for consequent instances of the same type and complexity belonging to the same platform (price element 6.4). However, each subsequent instance will count as a separate Configuration item (CI).

⚠ The Quality of Service and Service Window required (see section 4.1.2) are defined at Platform Instance level, hence each platform instance is to be considered as a separate CI. Whenever there is an operational dependency of an instance on another instance of the same or another platform (e.g. TATAF instance depending on CCN site) the highest QoS and Service Window applies to both instances.

The **ITSM3 Operations** contractor will be responsible for deploying, maintaining and operating the necessary environments for each Platform Instance whether they are Serviced Environments (associated to a QoS) or not. Typically the environments to be maintained for any given instance are:

- Production environment
- Conformance or Back up environment
- Site Acceptance Testing (SAT) or Integration environment

The three environments listed above are by definition under the control of the **ITSM3 Operations** contractor; any other user has access only in 'user' or 'read only' mode.

Some instances may require temporary environments for training, performance or other specialised testing, playground, etc. The provision of these environments falls under the responsibility of the **ITSM3 Operations** contractor.

Some Platform Instances may have three (3) environments or less, while others may have four (4) or more but the total average number of environments per Platform Instance shall not exceed four (4).

Some Platform Instances may require also an environment for which the **ITSM3 Operations** contractor only provides the underlying infrastructure (under Service Block 05) while the instance is deployed and maintained and used by other parties as for example the development contractor (examples of this are the Factory Acceptance Testing (FAT) or some Development environments).

If due to the QoS a given instance component needs to be duplicated for resilience (e.g. High Availability mode) the instance still counts as a unique instance (and a unique CI) and the extra effort required is covered by the QoS factor (see price elements 6.7 & 6.8).

This service block includes all specific deployment, testing, operational and monitoring services necessary for the management of the platform instance or as a whole according to the QoS and Service Window required.

The following chapter gives a very short description of the different interoperability and application platforms in operation or under development and the Platform Instances they are composed of. They also give an overview of their technological and logical structure. For more information on the different platforms please refer to the Terms of Reference document [R1], the Application & Platform Complexity models [R4] and the documentation provided in the baseline.

4.2.6.1 Interoperability Platforms

Common Communication Network / Common Single Interface (CCN/CSI)

CCN/CSI is the main infrastructure layer ensuring interconnectivity and interoperability between DG TAXUD and Member State's customs and taxations systems. Continuity of operations and services is therefore of the utmost importance.

A **CCN site** is composed of the **CCN Gateways,** hardware equipment deployed on every CCN site to act as an access point to the CCN backbone; and the **CCN Communication equipment** consisting of encryption devices (SSG), CCN switches, Network routers, and private CCN lease lines.

The CCN/CSI Gateway Software components rely on the following software products:

- The CCN/CSI Gateway Software

- The Tuxedo TP monitor;

- The IBM WebSphere MQ queue manager;

- The Apache HTTP server;

- The Tomcat "pure Java" HTTP server (Servlet container);

- The Perl interpreter

which are the key elements of a **CCN Platform instance,** and
- SunOne Directory Server;

- The Linux Operating System;

- The Tivoli monitoring agents;

- The PostgreSQL database to consolidate the statistics about the CCN Gateway traffic;

which is software covered by the infrastructure Service Block 05.

Other series of software components related to CCN exist, but are considered as applications and covered in Service Block 07;for example:

- CCN Portal: a dynamic web portal application used to federate all features concerned by the management of CCN/CSI resources (RAP, statistics and availability)

- CCN ACT: Application Configuration Tool that allows National Administrations to submit configuration requests in a guided manner.

- CCN QBrowser used for browsing and managing queues.

- CCN Stacks: allowing CCN/CSI applications to run, they are a variety of application platforms.

- CCN Test Tools: used to exchange predefined messages to rapidly evaluate the correctness, efficiency and performance of the CCN/CSI system.

- CCN Mail 3: a centralised solution based on the messaging standard product Microsoft Exchange 2010.

The CCN sites correspond to platform instances and can be classified in four types based upon their deployment mode:

- Central CCN administration site: deployed in DG TAXUD DCs infrastructure and fully managed by the ITSM3 Operations contractor. This instance is used for overall administration purposes. There is one site of this kind.
- Central CCN site: deployed in virtual servers within DG TAXUD DC infrastructure; they are under the responsibility of the ITSM3 Operations contractor but directly used by the National Administrations of Member States to connect their systems and users to the CCN network. There are two sites of this kind, however this number is expected to increase.
- Local CCN site: deployed in DG TAXUD hardware installed by the ITSM3 Operations contractor in Member States infrastructure. It is managed and used by MS National Administrations but remotely monitored by the ITSM3 Operations contractor. There are 48 sites of this kind.
- CCN Mail site: deployed at DG TAXUD DC infrastructure and used by a limited number of MS for exchange of confidential data. There is one site of this kind.

Refer to the Application & Platform Complexity models [R4] on the application of the different parameters of the complexity model corresponding to CCN instances.

It is foreseen that the CCN services will be migrated to CCN2 in the coming years, however this migration is expected to be slow and complex and therefore it is likely that the CCN should be maintained all along the duration of the ITSM3 contract.

The tenderer shall take over all procedures, services and operational activities from the incumbent ITSM2 Lot 1 contractor as such in order to ensure continuity.

⚠️The CCN is a customised complex infrastructure based on ageing technologies, therefore special attention must be paid to knowledge acquisition from the incumbent ITSM2 Lot 1

contractor and from the CCN2-DEV contractor in charge of the CCN/CSI software maintenance.

The development and maintenance of the CCN/CSI components is done by the CCN2-DEV contractor. However, the **ITSM3 Operations** contractor shall ensure the validation, testing and operations of CCN/CSI. CCN/CSI is hence to be regarded – for the scope of the **ITSM3 Operations** activities - alike any other configuration item developed/maintained by the X-DEV contractors. It should be noted that the current CCN/CSI infrastructure might be phased-out during the lifetime of the FWC.

The communication and coordination with all other contractors is essential especially since CCN/CSI is being used by all TAXUD, Member States throughout the European Union and partner countries such as Switzerland and Norway. Particular attention should be given to security, communication, coordination, change management and other key disciplines affecting the CCN stakeholders. Forward schedules with changes to the operational CCN infrastructure need to be set up, maintained, coordinated and communicated to all CCN users (TAXUD, X-DEV, Member States, etc.). The **ITSM3 Operations** contractor should understand the criticality of the CCN/CSI services and shall commit to respect their high availability requirements.

In the specific context of the CCN Platform instances, the **ITSM3 Operations** contractor must:

- Take over all services as described in the various service blocks during the "Takeover" period without compromising their availability and quality of the services;
- Maintain and operate all existing and future CCN sites/instances;
- Continue the ongoing BCP improvement cycle (i.e. regular BCP tests including real life tests with Member States) and improve it so as to ensure a continued and improved IT continuity and BCP preparedness;
- Continue and improve the monitoring of the CCN infrastructure;
- Continue and improve the production and delivery of statistics and audit files;
- Reduce the CCN gateway footprint (not only the physical footprint but, above all, the administrative burden, the administration duties, etc.) in Member States and propose alternative techniques/tools/services to evolve the current CCN gateway into a true zero-administration black-box solution to the Member States;
- Operate and manage the CCN Tivoli management tool;
- Operate and manage the Application Configuration Tool (ACT) web oriented application. This tool will allow the application owners to easily set up the configuration environment required prior any deployment activities;
- Operate and manage the CCN-MAIL3 site. Consisting of a central (i.e. at the ITSM2 Lot 1 data centre) CCN-MAIL3 Microsoft Exchange 2010 mail server;
- Ensure the management of DG TAXUD's CCN gateways (all production and backup gateways) i.e. act as TAXUD CCN local system administrator, including user management duties and all other system administration tasks.

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- Ensure the management of playground environments (in addition to testing environments) in order to allow the practising of operational procedures (DRP, upgrades, etc.).

CCN2 Platform

CCN2 is being developed with the objective of replacing the CCN by a modern SOA based platform. Its technology and architecture are fundamentally different from that of CCN. CCN2 shall be capable of providing the same service that today CCN is providing to legacy systems.

CCN2 is the next generation of interoperability framework of the Common Domain.
Its main features are:
- Similar system-to-system and user-to-system interoperability features as CCN/CSI
- Additional value-added services related to business activity monitoring, transformations, policy enforcement, service governance, Managed File Transfer (MFT), Master Data Management (MDM), etc.
- CSI adapter, so that existing applications on National Administration and TAXUD domains can carry on using CCN/CSI legacy interfaces
- Migration tools and procedures to move existing applications, user data, etc. from the CCN/CSI infrastructure to the CCN2 one; the availability of the CSI Adapter is a pre-requisite to the migration; once the expected-to-be-long migration is completed, the CCN/CSI infrastructure may be decommissioned

The first release of CCN2, covering the core platform and SOA-enablement, is currently under development and planned to enter into operation in October 2017, i.e. during the Takeover phase of **ITSM3 Operations**.

Further releases are foreseen, whose roadmap is provisional and indicative at this stage:
- Release 2, covering CSI adapter and Managed File Transfer (MFT), to enter production end 2018
- Release 3, covering Master Data Management, to enter production end 2019

There are two types of components on CCN2 all deployed in a dedicated infrastructure in DG TAXUD Data Centres:

- CCN2 Main Hub: providing the main central platform services of the CCN2. Its services are accessed via the CCN2 Access Points. The Main Hub mostly manages the master data of users, services, policies, configuration, etc. and consolidates log and audit data. There shall be only one instance of this type.
- CCN2 Access point: providing interoperability, security and communications features between Partners (National and central services and users). Access Points include a replication of many data items from the Main Hub; APs are critical in terms of availability and response time. There may be multiple instances of this type.
  From a conceptual point of view (not at all from a technical or architectural point of view), CCN2 APs are similar to CCN/CSI gateways.

The CCN2 platform shall use dedicated infrastructure deployed in TAXUD Data Centres. The software components shall be mostly based on Oracle Fusion Middleware.

Please refer to the Baseline for further information on the CCN2 platform.

Uniform User Management & Digital Signature

UUM&DS (Uniform User Management and Digital Signature) is a system that federates the access from Economic Operator (aka Trader) Users registered at national level in each MS to some central services. In other words, UUM&DS is a federator of national Identity and Access Management (IAM) systems and provides authentication and coarse-grained business-agnostic authorisation features.

The first release of UUM&DS manages access for Traders Human Users only and is planned to enter into operation in October 2017. Further releases are envisaged (e.g. acess to national services, access for Trader System Users, introduction of Digital Signatures) but their scope and plan are not defined at this stage.

UUM&DS is composed of a set of central components, for which there will be one instance only (exception: for availability or scalability reasons, some components may have several instances).

UUM&DS is also composed of national components, so called "MS PEPS", which interface national IAM systems with UUM&DS central components. MS PEPS may be deployed and operated nationally (out of ITSM3 Operations scope) or centrally (in ITSM3 Operations scope), upon each MS' decision. At this stage, it is expected that ~15 MS PEPS will be deployed and operated centrally.

UUM&DS is Internet exposed, as the communication with Traders Users goes over the Internet.

SPEED Bridge

SPEED (Single Portal for Entry or Exit Data) is the reliable and secure path to be used for enabling the exchange of Customs Transit information between the EU and the Third Countries (TC) SPEED partners. i.e. the TC National Customs Administrations (NCAs).

The interoperability between two partners is based upon message exchange between the EU Front-End (i.e. the SPEED-Bridge) and one TC Front-End. In SPEED, a Front-End is a high-reliability and secure interface for the transmission of messages between the EU SPEED and its TC SPEED partners.
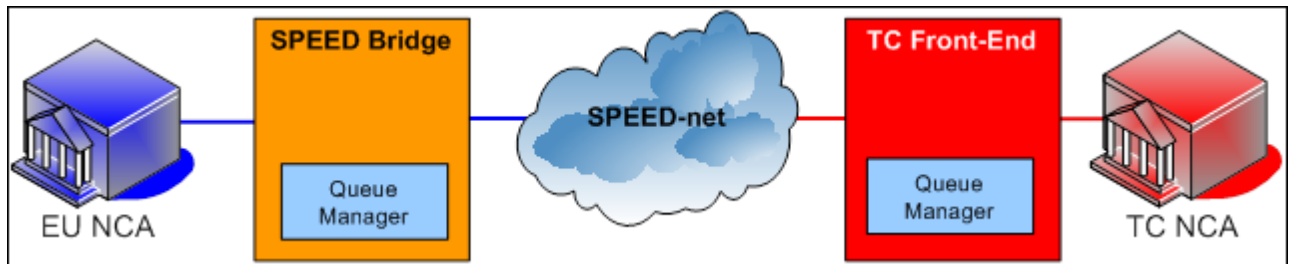
Figure 4 - Speed Bridge

SPEED2 & Third Country Operations

SPEED2 is a platform that aims at building message flows for interfacing national (over CCN/CSI or future CCN2) or TAXUD central services with third country or other DG systems. Its main features are:

- Protocol and message level security
- Protocol and message transformations

The SPEED2 platform has been designed based on the Oracle Fusion Middleware 11g's hot-pluggable architecture which allows making the most out of the current investments in applications and technology, while also taking advantage of modern hardware and software architectures.

The SPEED2 platform is deployed on Oracle's SPARC T5-2 servers. 3 servers are used in order to guarantee a HA/DR (High availability and Disaster Recovery).

SPEED 2 has both the SAT environment and the PROD environment in high availability set-up and in a disaster recovery Setup. This means that the PROD and SAT components of SPEED2 have an Active/Active solution within each DG TAXUD Data Centre and an Active/Passive Solution across DG TAXUD Data Centres.

The following sections provide a brief overview of the software products supporting the SPEED2 platform:

- Vivansa Lxr.CCN
- Oracle Service Bus
- Oracle BPEL
- Oracle Business Rules
- Oracle B2B
- Oracle Enterprise Gateway
- IBM WebSphere MQ
- Oracle EMGC (Enterprise Manager Grid Control)

SPEED2's scope encompasses the protocol and message layers. It does <u>not</u> include external network (e.g. VPN) or security (external-network-facing firewalls, intrusion detection system) infrastructure layers.

The SPEED2 platform may run multiple message flows. Each message flow corresponds to a specific application CI to be covered under Service Block 07- Application Management. The following message flows are known at this stage:

- EU Single Window CVED (veterinary certificates): in operations since 01/01/2015; interfaces national Customs services with a European Commission system called TRACES
- NCTS TIR Russia: available for tests; not in production; aims at replacing SPEED-ECN and SPEED-Bridge
- AEO MRA: interfaces AEO central service with several third countries (1 message flow per country):
    - China: under development; planned to enter into operations end 2015
    - USA: available for tests; not in production; aimed at replacing ad-hoc central services already in operations
    - Japan: under inception
    - Canada: under inception
    - Other countries (e.g. New Zealand) are envisaged
- Tax FATCA[12]: pilot under development; interface national taxation systems with USA
- IDES IRS system for the exchange of data related to the FACTA legislation
- Tax CRS[13]: under inception; interface national taxation systems with more than 100 third countries

4.2.6.2 Application Platforms

At present only two main application platforms are formalised in DG TAXUD, both related to the Customs (Tariff) applications, which cover the greatest part of DG TAXUD applications.

Both TATAF and TATAFng are in fact not platforms but architectural frameworks defining the technical architecture. However, in both cases the deployment structure and platforms components and services are defined within the framework and hence they define to a great extent the application platform itself.

Tariff Applications Technical Architecture Framework (TATAF)

TATAF architecture framework is based on the standard use of **WebLogic application server** together with **Oracle database,** both complemented with a series of application

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[12] The Foreign Account Tax Compliance Act (FATCA) is a US legislation designed to increase tax compliance by Americans with financial assets held outside the United States and creating reporting obligations for the foreign Financial Institutions. In the case of the EU, the reporting obligations are achieved via the respective EU National Administrations.

[13] The Common Reporting Standard (CRS) is an information standard for the automatic exchange of information (AEoI), developed in the context of the Organisation for Economic Co-operation and Development (OECD).

components that are common to all Tariff applications deployed in a given WebLogic Domain.

These components are custom made java for TAXUD and can be considered as part of the TATAF application platform. These components are:

- **CCN/CSI Bridge**: the CCN/CSI Bridge is the link between CCN network queues and the BEA WebLogic application servers, where different applications used by DG TAXUD or MSA are deployed. CCN/CSI Bridge is a J2EE application, which contains two Message Driven EJB. Each of them is triggered when one of the incoming queues contains new messages. When it happens a simple mapping is made, and the messages are forwarded to the outgoing queue.
- **The HTTP Bridge**: composed of 3 applications:
  - o **http ccn proxy bridge**: authenticates CCN users on the WLS infrastructure, forwards HTTP requests, and maps CCN queues on JMS queues and vice-versa
  - o **http internet proxy bridge**: used to provide access over the internet to the WebLogic hosted applications. Like the HTTP CCN Proxy Bridge it is a nexus in the chain of user authentication over the Internet.
  - o **http internet signon bridge**: which implements the second phase of the WebLogic login completing the authentication process initiated by the two other components.
- **User Management Module (UM)**: encapsulates the WebLogic security infrastructure with its groups and group memberships. Individual users can be assigned the right to execute a specific business functionality defined for specific applications by associating them with the security policy of that functionality.

Currently the aforementioned components are maintained by the incumbent ITSM2 Lot 1 contractor as applications and not as platform components. The **ITSM3 Operations** contractor shall be expected to define during the Takeover period the best approach to adapt the operational processes and documentation without impact to the service.

Tariff Applications Technical Architecture Framework New Generation (TATAFNG)

TATAFng shall be as its predecessor (TATAF) an architecture framework based on a predefined middleware technology (in this case Oracle Fusion) with a stated technical design pattern (based in SOA) and providing a series of application components or services common to all TATAFng applications.

The solution-oriented artefacts provided by TATAFng to support the applications will include re-usable components and services, tackling once common requirements in a generic way and exposed through well-defined and documented interfaces (service contract, API, etc.);

The main high level platform capabilities that TATAFng will offer as services to the application are:

- File Storage;
- Efficient consumption of remote data;

- Business Process (BPM);
- Integration with CCN/CCN2;
- Security;

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- Data replication;
- User interface;
- Logging;
- Data and data lifecycles:
- Auditing;
- Querying;
- Data presentation;
- Scheduled tasks or batches;
- Monitoring;

- Notification;
- Business activity monitoring
- Robustness;
- Scalability;
- High-availability;
- Configurability;
- Testability;
- Internationalisation.

TATAFng architecture and platform are currently under development. The platform is being designed for a standard use of the Oracle Fusion technology stack (Oracle Service Bus, Oracle BPM suite, Oracle SOA suite, Oracle Enterprise Gateway, etc.).

4.2.7 APPLICATION MANAGEMENT – (SERVICE BLOCK 07)

The application management service covers all the required activities to manage the deployment, operations and monitoring of the applications and IT services which DG TAXUD is accountable for. Most of the applications of the Customs, Direct Taxation, Indirect Taxation, Recovery of Claims and Excise business threads have connectivity with the National Administrations and are considered as Trans-European Systems.

Infrastructure and platform services required for the applications are covered by SB05 and SB06 respectively.

Application management services consist in providing full support for the test, deployment and operation of DG TAXUD applications. The **ITSM3 Operations** contractor must:

- Maintain the Installation and Testing Operational Planning (ITOP) to ensure that all testing and deployment activities performed by **ITSM3 Operations** are planned and communicated to all DG TAXUD stakeholders and all DG TAXUD contracting parties.
- **ITSM3 Operations** performs all deployment activities previously agreed with DG TAXUD through the Change Management Process; all the installations are performed according to the Consolidated Operational Plan (ITOP).
- Validation and testing activities include:
  - o Create Acceptance Test Plan depicting the specific approach and scope of testing;
  - o Participate in FAT mission in case of delivery from a DG TAXUD development contractor;
  - o Verify test environment – in which the testing environment is prepared for the testing activities;
  - o Organise kick-off meeting for a testing campaign;
  - o Qualification notification where stakeholders are informed that a Qualification test cycle has started and is completed;
  - o Perform tests: the execution of the planned test cases/scenarios;

- o Evaluate exit criteria where the results of executing the test activities are compared to the expected results in order to prepare a recommendation about the production readiness of the release;
- o Organise a closure meeting where the results of executing the test campaigns are presented and the recommendation regarding the production readiness of the release is analysed by DG TAXUD; this is done for each test cycle;
- o A final test report is put together and the environment is cleaned up for future testing campaigns.
- Organise, co-ordinate, follow-up/ report and support the Conformance Testing Campaigns organised in accordance with the CTOD documents and applicable documents in a manner that guarantees technical assurance that Nas are ready to enter the Trans-European System without a risk of disturbing the parties already in operation of a particular system.
- Provide functional and technical expertise on DG TAXUD applications and support as second level application support and coordinate with the X-Dev organisations the level 3 of support for incidents and problems resolution.
- Ensure vendor (or equivalent) Technical Support for all related operational software products or COTS (e.g. ARIS, RAM, RTC, etc.).

The services listed above and those defined in the FQP & Annexes [R5], are applicable with the following **specificities**:

- Planning information shall be provided independently, with the respective necessary procedures, which are set up to regularly obtain the relevant information. Planning information must be comprehensive and complete, include all stakeholders of the DG TAXUD IT community. Presentation of the planning information must take into account different stakeholders. Planning information must provide benefit to the other services provided (e.g. impact assessment of operational changes);
- Knowledge Management as a process is being deployed by the incumbent ITSM2 Lot 1 contractor, **ITSM3 Operations** should capitalise on this initial work to build a solid knowledge management strategy and processes;
- The implementation of the MASP [R2] projects will sensibly change the application landscape of DG TAXUD central systems to SOA based architectures.

The **ITSM3 Operations** contractor will conduct all measures and improvements necessary to manage the services under this service block in order to address the alterations that the SOA IT Services Governance may require.

The **ITSM3 Operations** contractor will be responsible for deploying, maintaining and operating the necessary environments for each application whether they are Serviced Environments (associated to a QoS) or not. Typically the environments to be maintained for any given application are:

- Production environment
- Conformance or Back up environment
- Site Acceptance Testing (SAT) or Integration environment

The three environments listed above are by definition under the control of the **ITSM3 Operations** contractor; any other user has access only in 'user' or 'read only' mode.

Some applications may require temporary environments for training, performance or other specialised testing, playground, etc. The provision of these environments falls under the responsibility of the **ITSM3 Operations** contractor.

Some applications may have three (3) environments or less while others may have four (4) or more but the total average number of environments per Platform Instance shall not exceed four (4).

Some Applications may require also an environment for which the **ITSM3 Operations** contractor only provides the underlying infrastructure (under Service Block 05) and Platform Instance (under Service Block 06) while the application is deployed, maintained and used by other parties as for example the development contractor (examples of this are the Factory Acceptance Testing (FAT) or some Development environments).

The **ITSM3 Operations** contractor will maintain a Definitive Software Library with at least the two last versions (releases) of all applications and the related intermediate patches - as well as their scripts, installation/operational procedures and documentation, and so on - running in production. CCN/CSI is to be regarded as an application in this case. The two (2) last versions of all CCN/CSI components – and all related tools – shall thus be maintained in the Definitive Software Library.

The **ITSM3 Operations** contractor shall maintain the appropriate services and storage allowing downloading of the applications, patches, upgrades, hot fixes, etc., delivered by the various TAXUD development contractors.

⚠️ The support to the business users is an essential aspect of this Service Block including for example communication during functional testing or direct support during business validation texting. The contractor should maintain thorough business knowledge of the application and the related operational concerns. This shall be assented on a continuous and direct coordination and support to the business owners and CI owners of each application at DG TAXUD.

4.2.8   COORDINATION WITH INVOLVED PARTIES – (SERVICE BLOCK 08)

Coordination between different suppliers involved in the scope of the requested services is a key activity to improve and to streamline the activities, which are carried out by different entities.

From the Commission's perspective, this activity is key to ensure that the whole range of cascading activities from the services desk to the service delivery processes are managed in an efficient and optimised way in order to achieve the final outcome within the agreed planning.

The coordination with other suppliers allows also overcoming logistical, organisational and managerial barriers, which may induce a severe impact on the operational target environment if not addressed in a coordinated manner.

The following entities interact as illustrated below:
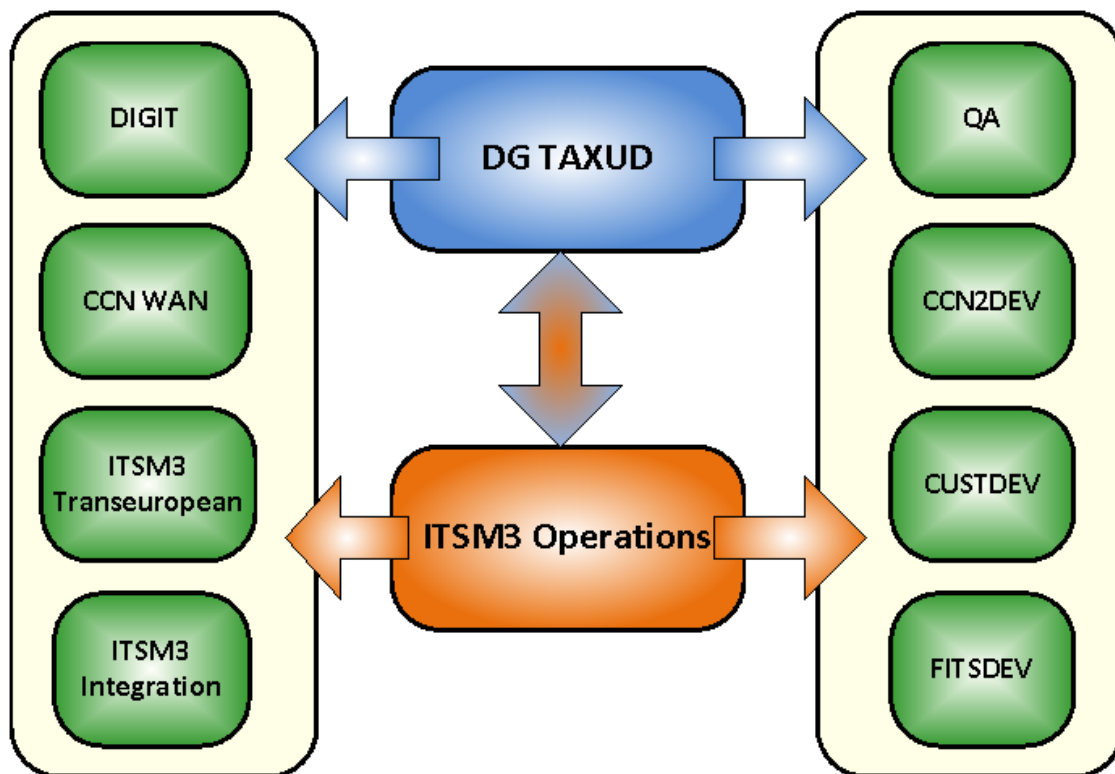
Figure 5 – ITSM3 Operations interaction model

The **ITSM3 Operations** contractor will report to DG TAXUD on a regular basis, via ad-hoc meetings or other means of communication, which require close co-ordination with entities involved in the project.

The **ITSM3 Operations** contractor shall also support and co-ordinate with the following stakeholders:

- The Commission as the owner of the project;
- The other entities involved in the project and entitled by DG TAXUD to contact the contractor (**ITSM3 Integration** contractor, **ITSM3 Transeuropean** contractor, **CCN2-DEV** contractor, **WAN** provider(s), **CUSTDEV3** contractor, **FITSDEV3** contractor, DIGIT…);
- The Quality Assurance (QA) contractor is responsible for the provision of services in the area of quality assurance and quality control of the IT services and deliverables supplied to DG TAXUD.
- The various entities entitled by DG DIGIT as providers of hardware, software, or related services (Storage, networking, computing equipment provider, etc.).

The services and the deliverables defined in the FQP & Annexes [R5] are applicable with the following **observations**:

- Coordination activities need to be streamlined and lean. The **ITSM3 Operations** contractor will produce an interaction model encompassing all stakeholders, including the roles of the different actors, the type of interaction and revise and update this model at least once per SC covering the continuous services;
- The **ITSM3 Operations** contractor must strive to set up point-to-point interaction at all governance levels and organisational teams, instead of many-to-many interactions;
- The **ITSM3 Operations** contractor must strive to achieve added value in each interaction, to eliminate ineffective communication means and to allow the value to be easily captured in a knowledge management system. For example, information exchange could move from emails towards entering information into common tools;
- The **ITSM3 Operations** contractor will ensure to a maximum that all operational services can run without involvement of DG TAXUD. DG TAXUD is only involved if escalation is necessary;
- **The ITSM3 Operations** contractor will maximise harmonisation of the user satisfaction surveys over all services, but identify different user groups and tailor the (sub-)set of relevant questions for those user groups;

4.2.9 IT SERVICE MANAGEMENT – (SERVICE BLOCK 09)

The services and the deliverables defined in the FQP & Annexes [R5], are applicable with the following **specificities**:

- The **ITSM3 Operations** contractor is to escalate all incidents impacting **TES** immediately to **ITSM3 Transeuropean** for processing;
- With regard to the ITIL and other processes and services being provided in the FWC, no matter when established, the **ITSM3 Operations** contractor will evolve the process towards maturity. This will result in a measurable and ever increasing service quality. The **ITSM3 Integration** contractor, or other Commission benchmarking contractor will benchmark the maturity and the evolution;
- Processes must provide active value to all services and other processes, no silo functions within processes must be established. No split between process owners and support teams running the processes must be foreseen;
- The **ITSM3 Operations** contractor should propose improvements to all processes and services in the bid. Specific improvements requested by DG TAXUD are:

Workarounds and recurring issues are to be identified on a regular basis and will contribute to the knowledge of the respective services of the **ITSM3 Operations** contractor;

Operational change management will further evolve towards operational excellence;

Impact assessment will be performed independently by the **ITSM3 Operations** contractor and including feedback of all services, all processes and all information in all available Service Management related tools;

Application and Platforms change managements will establish a close link with the Deployment and Testing teams;

Configuration management will establish the necessary processes with all stakeholders as a pull principle, will complete the CMDB CI information and will keep the CIs and their relationships up to date at all times at the adequate level of granularity to efficiently support operational activities.

In the context of configuration management the **ITSM3 Operations** contractor must maintain, via yearly updates, a Technical Infrastructure Plan (TIP) that provides a series of diagrams and listing depicting a complete overview of DG TAXUD CI's and their relationships or dependencies between them and with functionalities and business objectives. The TIP covers infrastructure, technical, functional and business layers and should be possible to extract its information form the CMDB.

Knowledge Management will ensure that knowledge will remain in the organisation and will increase over time and will be fully and easily transferable. It will give input to all other functions, processes and services.

- The **ITSM3 Operations** contractor must collect, analyse and report on the Key Performance Indicators (KPIs) and Service Quality Indicators (SQIs), and report to the Commission. The KPIs are described in section 5.1; the SQIs are described in section 10.10 and are part of the Service Level Agreement (SLA);
- The **ITSM3 Operations** contractor will report on all SQIs linked to its services. The **ITSM3 Operations** contractor will be requested to automate the reporting as much as possible. Service Management related Tools available through the **Synergia** project should further evolve towards this alternative. Moreover, the **ITSM3 Operations** contractor will take over and improve the implementation of the *Tivoli* and the *Oracle Enterprise Manager* monitoring and management tools;
- When the responsibility of the **ITSM3 Operations** contractor is engaged, the **ITSM3 Operations** contractor must initiate the necessary control and preventive actions in order to maintain quality over the agreed and acceptable levels and notify the Commission;
- The **ITSM3 Operations** contractor is responsible for monitoring and reporting on all the quality level agreements maintained by him, and on all CIs maintained by him that may affect the quality level agreement of any other contractor;
- The **ITSM3 Operations** contractor will deliver integrated service reports on a monthly basis, through the Monthly Service Report (and annexed service statistics) attached to the Monthly Progress Report (MPR).

The service level management will also implement the approved recommendations formulated by the CSIP with the view to increase the quality of service continuously during the duration of the FWC and achieve the transformation objectives of the FWC.

The **ITSM3 Operations** contractor will be requested to organise the support and the management of the services in the scope of the FWC in a way that increases the current level of services as measured in the SLA.

4.2.10   SECURITY MANAGEMENT – (SERVICE BLOCK 10)

Due to evolving business requirements, it is required that the maturity of the security management will increase during the course of the contract. As part of the security requirements, the **ITSM3 Operations** contractor will provide and implement the operational procedures and mechanisms (network monitoring mechanisms, alarms, analysis/notification systems), as well as contingency plans that are triggered by any security breaches in order to reduce danger and protect the DG TAXUD environment against threats and attacks from the outside world.

The **ITSM3 Operations** contractor will implement the transformations necessary to support the security requirements of DG TAXUD. The detailed design of these transformations (not the implementation) will be a deliverable of the Takeover within the context of Service Block 02 (Service Strategy and Transformations) and at the same time considered as part of the Takeover FAT. This includes the necessary Information Security Monitoring tools and techniques to be put in place.

4.2.10.1 Generalities

The **ITSM3 Operations** contractor shall maintain a Security Plan compiling all security measures procedures and policies and provide monthly detailed reporting against this security plan (annexed to the MPR).

The **ITSM3 Operations** contractor must also ensure that the following requirements are met:

- All security measures related to security management must be in line with DG TAXUD security policies and applicable laws, in particular about Data Protection.
- The recommendations extracted from DG TAXUD security audits must be fully applied in the context of password management;
- Keep DG TAXUD informed of the composition of the **ITSM3 Operations** contractor's team so that DG TAXUD and the Member States (and associated countries) have a full knowledge of the updated list of persons from the **ITSM3 Operations** contractor entitled to contact them. Each staff member assigned by the **ITSM3 Operations** contractor must sign a declaration of confidentiality in compliance with the relevant legal instruments;

4.2.10.2 Physical security

- The access to the **ITSM3 Operations** contractor's building must be limited to persons owning access cards. The procedure for granting those cards is managed by the company's Security Officer. The access to the computer room must also be secured and controlled by the electronic access cards system plus an access log must be kept and made available to DG TAXUD on request. The procedure for granting those cards is managed by the **ITSM3 Operations** contractor's Security Manager, with the assistance of the company's Security Officer;
- The access to TAXUD Data Centres computer rooms must also be subject to the constraints aforementioned for **ITSM3 Operations** contractor's buildings; the contractor must also put in place the necessary measures and procedures to control third parties presence in the data centres.

4.2.10.3 Operations security

User management:

- The **ITSM3 Operations** contractor must also ensure that sound User Access Management is in use and review that process frequently. In particular, it will organise bi-annually a global review of all accounts defined on all the information systems for which it has operational responsibilities.
- Specifically, all privileged accounts will be managed according to best practices. Special attention will be drawn to the principle of least privilege.
- The **ITSM3 Operations** contractor must ensure full traceability of the actions performed under privileged accounts.

Prevention

- The **ITSM3 Operations** contractor will register and follow up on all security-related announcements (vulnerability announcement, patch release, etc) received from the vendor or from independent formal sources (e.g. security officer, DG TAXUD or official security sources as CERT-EU and CERT-US) and perform impact analysis and registration within two calendar days for critical announcements or ten working days for all other announcements
- The **ITSM3 Operations** contractor will subscribe to threat intelligence services
- The **ITSM3 Operations** contractor will ensure the staff is properly informed and trained in the area of security
- Regular and comprehensive vulnerability assessment (at least yearly but preferably as a continuous process) of the **ITSM3 Operations** contractor's resources must be performed (by the **ITSM3 Operations** contractor – note that they can be initiated by DG TAXUD via the **ITSM3 Integration** contractor and/or by another auditor appointed by DG TAXUD) to guarantee confidentiality, integrity and availability of the computer and data communications systems;

Detection

- The **ITSM3 Operations** contractor will follow up on events and alarms generated by security and non-security equipment

4.2.10.4 Security Incident Management

Incident response

- The **ITSM3 Operations** contractor will ensure security incidents are evaluated (impact analysis) and handled in an adequate timeframe.
- Security incidents criticality levels are evaluated differently than other incidents, however once the criticality is established the response times are the same. Please refer to section 4.2.4.2 for response times related to incidents.
- The **ITSM3 Operations** contractor will escalate any significant security incident to DG TAXUD. A "security incident" is any accidental or malicious act with the potential to compromise the confidentiality, availability and/or the integrity of the information exchanged;

Incident analysis

- The **ITSM3 Operations** contractor will ensure the logs are kept and analysed in a way that is both compatible with legal constraints and that allows for post-incident analysis. Deployment of a real-time operational intelligence system must be considered.

The **ITSM3 Operations** contractor will be required to define and implement the methodology, procedures and tools for the processing and analysis of security logs.

4.2.10.5 Security Risks Assessment

The **ITSM3 Operations** contractor will be required to define and apply procedures and methods for the periodic risk assessment of DG TAXUD systems with a periodicity of:

- Yearly for all systems
- Quarterly for systems defined as critical by TAXUD LISO.

This periodic assessment must:

- Include robustness and vulnerability tests;
- A patch management assessment and also proposals for systems hardening;
- Cover an action plan to address weaknesses
- Maintain a security risk register and provide complete access to DG TAXUD

4.2.10.6 Transformations security

- All changes going through the Service CAB (sCAB) will be evaluated by the security team.

- All software solutions must be designed to run with the least necessary privileges and on a hardened system.

4.2.11 TAKEOVER / HANDOVER– (SERVICE BLOCK 11)

Service Block 11 covers two distinct aspects:

- Takeover : including all actions necessary to set up the organisation, acquire the knowledge and capacity to fully assume the responsibility of all ITSM2 Lot 1 Basic Services with no service degradation.
- Handover: including all actions necessary to transfer the project information and knowledge and the responsibility of the services to DG TAXUD or to any specified third parties on its behalf.

4.2.11.1 Takeover

The Takeover from the incumbent ITSM2 Lot 1 contractor shall consist in two phases:

- Pre-Takeover phase: where the contractor shall set up its Service Block 01 & 02 services, have all key roles operational and acquire essential knowledge via shadowing sessions of the incumbent ITSM2 Lot 1 contractor. At the end of this phase, the contractor shall deliver a complete Takeover Plan.
- Takeover phase: where the contractor will execute the Takeover plan at the end of which it will assume full responsibility of all services.

In parallel to the Takeover period, there will be a ramp up of the Service Strategy and Service Change management activities covering the assumption of the in-flight transformations on-going in ITSM2 Lot 1 and the transformation projects proposed as part of the tender.

⚠️Although the Service Block 02 activities are not covered within the Takeover price element (cf. Section 6.2.43) the results of Service Block 02 activities during the Takeover period are to be tested and reported within the Takeover FAT and hence affecting the Takeover acceptance.

⚠️ The Takeover from the existing ITSM2 Lot 1 contractor presents several challenges but only one key objective: "**Achieve a smooth migration without risk of services/business disruption while controlling costs and time**". The **ITSM3 Operations** contractor has to maintain this objective regardless of the situation in which the service, system or application will be at the time of Takeover. The continuity of the services must be ensured not only from an operation perspective but also from a transformation perspective.

Some key measures to achieve this objective are to:

- Establish communication channels working efficiently between the **ITSM3 Operations** team and the Commission teams for all involved services;
- Ensure that proper coordination and collaboration are put into place with the other involved stakeholders (e.g. other contractors, other Commission internal services …). If needed, the **ITSM3 Operations** contractor will organise meetings to meet the key actors of other entities and to confirm the coordination processes;
- Formalise the transfer of responsibility from the previous contractors/organisations to the new contractor and define a clear reference baseline on the status of the specifications, software and related documentation;
- Be ready to deliver all required services with at least the same degree of automation as the incumbent ITSM2 Lot 1 contractor and at least the same level of service.
- Demonstrate the understanding of the business requirements and the technical setup by providing detailed design documents and implementation plans for the evolution of the infrastructure to upgrade high availability and security services as required.

Additional measures may be proposed to support the key objective.

The Takeover of **ITSM3 Operations** will occur in parallel to a critical moment for DG TAXUD which is the entry into operation of three large critical systems. In order to mitigate the risks associated with this fact the Takeover period has been enlarged as much as possible with the addition of a pre-Takeover phase.

Three major systems will operate close to or during the period of Takeover: the Customs Decisions Managements System (CDMS), the Common Communication Network 2 (CCN2) and Uniform User Management and Digital Signature (UUM&DS). These three imply for DG TAXUD IT an important technological evolution and it is critical that the **ITSM3 Operations** contractor assumes the necessary knowledge and capacity during the Takeover period to ensure a smooth and successful operation of these three new systems.

The **ITSM3 Operations** contractor will be responsible for ensuring that the organisation is capable of absorbing and thoroughly following the in-flight projects with the implied knowledge and expertise acquisition out of an evolving project while keeping full capacity to execute the Takeover activities (training, shadowing, documentation, etc.).

The successful tenderer will carry out the Takeover of the tasks from the incumbent ITSM2 Lot1 contractor according to the proposed steps and planning in his tender. However, the **ITSM3 Operations** contractor shall use the pre-Takeover phase to propose deviations to the Takeover plan to better adapt to the circumstances present at that moment. Any proposed modification in that sense shall not lead to any extra cost and shall only be applicable if formally agreed by both **ITSM3 Operations** and **DG TAXUD**.

The pre-Takeover phase shall have a maximum duration of three months. It shall be used to enable the complete project management office services (Service Block 01 – Project Management Office) plus the initial strategic services (Service Block 02 – Service Strategy & Transformation) including the staffing of all the key roles that will cover all services (both

operational and project mode) and which will supervise and guarantee the effective realisation of the Takeover .

These services are to be delivered from the signature of the first two SCs: one concerning the Takeover and a second to cover the Service Block 02 activities not covered by the current ITSM2 Lot 1 FWC (Service Strategy, Service Change Management and Transformations).

The successful tenderer will, during the pre-Takeover phase, take the necessary measures to fully comprehend the services provided by the incumbent ITSM2 Lot1 contractor and reflect this in the Takeover Plan focusing on service continuity and on minimising the knowledge loss from the incumbent ITSM2 Lot 1 contractor.

To ensure a successful transfer of tasks and responsibilities, each service to be taken over by the **ITSM3 Operations** contractor will be accepted by DG TAXUD and linked to pre-defined acceptance criteria (see Table 5: Takeover key acceptance criteria).

The acceptance criteria shall be based on the **ITSM3 Operations** contractor's successful demonstration of its capacity to:

- Undertake the services, activities and operations described in the ITSM2 Lot 1 FQP and annexes [R5].
- Execute its Operational and Internal Working Procedures (see baseline) having them fully documented or transferred from the IWP of the incumbent ITSM2 Lot 1 contractor.
- Establish the correspondence between ITSM2 Lot 1 SQIs and the **ITSM3 Operations** SQIs and demonstrate its capacity to comply with them.
- Comply with the key acceptance criteria defined in Table 5 (if not already covered by the above).

In view of ensuring the service continuity, absolute priority will be given to provide the taken-over services on the imposed date by maintaining at least the same quality levels as the incumbent ITSM2 Lot 1 contractor.

The **ITSM3 Operations** contractor will take over all:

- IT equipment (hardware, licenses and software) from the incumbent ITSM2 Lot1 contractor. This equipment is the property of the Commission and is put at the disposal of the new contractor at no procurement cost.
- Services, systems and applications within the scope of the incumbent ITSM2 Lot1 contractor;
- Items of the documentation baseline;
- Items to deliver the services, to support the delivery by the incumbent ITSM2 Lot1 contractor including the related data repository (history, master data, etc…), ITSM tools, Service Management related tools, internal tools, test tools, test plans…
- Items to report on, document or describe the services, including the related data repository (history, master data, etc…);

- Items that were produced throughout the Handover by the incumbent ITSM2 Lot1 contractor..

This collection will constitute the baseline inventory of the new **ITSM3 Operations** contractor.

The following strategy has been set by DG TAXUD as a framework for the Takeover:

- Each Takeover activity is as well organised by a stepped approach and, after each step, all responsibility within the scope of the step will have completely switched to the **ITSM3 Operations** contractor. Each step has predefined outputs as described in Table 5: Takeover key acceptance criteria;
- Within each step, the activity will be serialised, where appropriate, per Business Thread (BT);
- The contractor's team in charge of the **ITSM3 Operations** must be staffed with the personnel as proposed in the **ITSM3 Operations** tender, they must be allocated to the activity and remain allocated as of the signature of the first SC. Key personnel – when leaving the project - will hand over the acquired knowledge according to the knowledge management strategy outlined in the Takeover Plan;
- The **ITSM3 Operations** contractor Takeover team has to be sufficiently sized and of the highest professional standards to be able to absorb the highly complex TAXUD IT landscape and structure. The Takeover team should be able to start its duties as of the date of signature of the first SC that will include the Takeover duties. Any delay in composing/staffing the team will jeopardise the complete Takeover phase;
- DG TAXUD, via the ITSM2 Lot1 and other contractors, will provide training on the applications, the global architecture, CCN/CSI, CCN2, UUM&DS and so on. The **ITSM3 Operations** FWC shall ensure that a maximum number of staff (preferably all but in any case all key staff without exception) will be available to attend these training sessions;
- The **ITSM3 Operations** contractor will Takeover all the activities specified under the different Service Blocks from DG TAXUD or any specified third parties on its behalf, in accordance with instructions to be given by DG TAXUD. The Takeover will be synchronised with the ending of the services of the incumbent ITSM2 Lot 1 contractor;
- The contractor's team in charge of the **ITSM3 Operations** will collaborate with DG TAXUD, the incumbent ITSM2 Lot 1 contractor, the ITSM2 Lot 2 and Lot 3 contractors, the **ITSM3 Transeuropean** contractor, the **ITSM3 Integration** contractor and other third parties nominated by DG TAXUD.

The **ITSM3 Operations** contractor must identify and list critical success factors in order to minimise risks and disruption of the services during the transition period.

The **ITSM3 Operations** contractor will have the responsibility to:

- Assess and acquire the knowledge of specifications, software and related documentation for all involved services, systems, platforms and applications;

- Take all the steps required to achieve a rapid induction and a seamless Takeover of the activities in order to meet the planning requirements of the Commission;
- Produce and deliver the detailed Takeover Plan reflecting the state in which services, systems and applications will be at that time;
- Run the Takeover Plan and produce a Takeover Report during the activities and submit a final version at the end of each Takeover activities;
- Keep all activities in line with the key objective outlined for the Takeover strategy.

⚠ All deliverables, outputs and value that have been created (or taken over from an incumbent contractor) directly and indirectly by the ITSM3 Operations contractor - including all assets − which are related to the services in the scope of the respective FWC − purchased through other contractors (e.g. hardware/software vendors) remain/become property of the European Commission.

Takeover Plan and criteria of acceptance

The **ITSM3 Operations** contractor will deliver one (1) unique consolidated Takeover Plan in which all the activities to be taken over are clearly allocated to the respective Takeover step(s). This Takeover plan will be produced at the end of the pre-Takeover phase and will integrate or annex all parallel activities to be realised in the context of Service Block 02.

The Commission, before the Takeover activities start, must accept the initial Takeover Plan. Changes to the plan after the start will have to be agreed by the Contractor and the Commission.

The Handover plan of the incumbent ITSM2 Lot 1 contractor shall be provided one month after the signature of the FWC at the latest.

The Takeover period shall respect the following milestones:

- T0: signature of the Takeover SC and the Service Strategy & Transformations SC.
- T1 (=T0+1 month): all key roles of operational and transformation services are staffed and active.
- T2 (=T0+3 months)[14]: Takeover Plan is submitted for acceptance to DG TAXUD.
- T3 (=T0+12 months): 100% of essential training has been provided and essential knowledge acquired.
- T4 (earliest of: T0+15 months or the end of the incumbent contractor's contract):
  - Takeover FAT tests are executed and
  - Initial set of documentation is delivered and accepted and
  - Implementation design of key transformation projects is delivered and
  - Transfer of responsibilities for all services is complete.

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[14] T0 to T2 corresponds to the pre-Takeover phase mentioned in above Section **Error! Reference source not found.**.

The above milestones imply neither a sequential phasing of activities nor an earliest date. The contractor Takeover plan may propose overlap of activities and earlier fulfilment of tasks as far as the above milestones are respected.

The Takeover Plan must be aligned with the Handover plan of the incumbent ITSM2 Lot1 contractor and must include at least the following points:

- Takeover methodology, including a change management approach;
- Inventory of items in the scope of the Takeover;
- Identification of all activities in the scope of the Takeover;
- Detailed planning of the activities;
- FAT details including acceptance criteria;
- Knowledge transfer and management approach, activities, artefacts and planning;
- Risk management approach, activities, artefacts and planning. Minimum required are a risk analysis with mitigation and a fall-back plan;
- Detailed planning of activities towards the stakeholders of the project (DG TAXUD, National Administrations, other partners, contractors, etc.).

The **ITSM3 Operations** contractor will be requested to set up and apply a Risk Management Plan to mitigate the risks related to the Takeover of the services.

⚠ The **ITSM3 Operations** contractor must take note of SQI-053 - Measures the delay in completing the Takeover within the foreseen Takeover period – (Direct Liquidated Damages). This SQI is linked to **direct liquidated damages** and will be invoked in case of unavailability of personnel at Takeover time and/or if the **ITSM3 Operations** contractor would fail to complete the Takeover duties within the regarded Takeover period.

Progress will be documented in the Takeover Report. At the end of each step, an intermediate version of the Takeover Report will be submitted to DG TAXUD for review and acceptance. The Commission may reject version(s) and/or the final report if critical activities of the step or the Takeover as a whole have failed or if a noticeable decrease in the quality of the services has been detected during the Takeover period

Table 5: Takeover key acceptance criteria below provides a list of acceptance criteria organised by Service Block considered essential by DG TAXUD and to be added to the Takeover FAT.

Service Block	Activity
ALL	- The contractor's organisation has been set up, is in place and functioning: - Proof that the knowledge base is consulted and relevant knowledge is found before resorting to the incumbent ITSM2 Lot 1 contractor; - Staff members at all operational levels are trained; - Knowledge is captured and reused; - The contractor has gained a profound understanding of all services to provide: - The contractor is providing offers on services according to the processes in place; - A profound understanding of all services, and their operational, reporting, escalation and procedural requirements has been obtained; - The contractor provides all services, resorting to specific knowledge of the incumbent ITSM2 Lot 1 contractor in exceptional cases only and applies the procedures: - In case of absence or holidays, all backup staff is in place, trained and operational for all services.
SB01	- Project organisation, including communication and governance structure are accepted; - Internal Quality Assurance has defined their work programme (to be accepted by DG TAXUD); - Internal QA is verifying processes' and procedures' compliance and takes corrective action; - Monthly progress and service reporting is in place; - Demand management process and procedures are defined and operational; - Simulation / Execution of the business continuity scenarios; - The contractor is providing offers on services and projects; - The contractor recognises operational risks, and gives feedback about them to DG TAXUD, and takes mitigating actions; - The governance structure has been streamlined to allow for effective and efficient communication, collaboration and coordination channels between the contractor, DG TAXUD teams and all other stakeholders for all services; - All operational processes and management processes are in place and functioning and comply with the procedures.

Service Block	Activity
SB02	- Strategic services team is operational and defines its work programme (to be accepted by DG TAXUD); - The contractor is able to start a first transformation project (cf. chapter 4.2.2.5). - A reference baseline has been drafted on the status of all the services, their requirements, specifications and related documentation; - All in-flight projects have been identified and ready to be transferred under the responsibility of ITSM3 **Operations**; - A Detailed design has been provided and accepted for: - High Availability QoS implementation - Security requirements implementation - Asset management solution implementation - Automated Monitoring reporting for service management (using fully monitoring tools and CMDB capabilities) - ITSM Process Documentation
SB03	- The contractor has gained a profound understanding of all Service Management related tools: - Service Management related tools have been adapted to provide automated services under the new contractor and staff is ready to use them: - Releases of the relevant tools have been successfully deployed;
SB04	- Correct acknowledgement and dispatch of Service Calls including dispatch to DIGIT, X-DEV contractors and to ITSM3 Transeuropean; - Distribution list and contact lists have been updated, are known and reachable by the relevant staff and used to send mass mail of transfer of responsibilities to all relevant lists;

Service Block	Activity
SB05	- The contractor has taken over all infrastructure-related services, is providing them, resorting to specific knowledge of the incumbent ITSM2 Lot 1 contractor only in exceptional cases, and applies the procedures: - Hosting facilities are managed, and/or acquisition of required infrastructure is completed; - Acceptance tests specifications for all infrastructure related services have been drafted and are accepted; - Provide statistics / audits / monitoring services as automated as possible; - Provide effective performances metrics and reporting mechanisms; - Tests for each infrastructure related service have been run and the test result is "passed"; - The contractor has taken over the purchase, maintenance and inventory of all hardware and software assets; - Install a new hardware, a logical server and a COTS software in the DC; - The contractor provides all infrastructure services independently and complies with the procedures that are in place.

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Service Block	Activity
SB06	- Install and configure three DG TAXUD SOA platform instances in the DC (one CCN2, one TATAFng and one SPEED2); - Install and configure one UUM&DS platform instance in the DC; - Install and configure one TATAF platform instance in the DC; - Run a DRP test (fail over/ HA) on a playground environment of each platform (CCN2, UUM&DS, TATAFng, TATAF); - Run a back-up restore exercise on each platform (CCN2, UUM&DS, TATAFng, TATAF); - For all services to provide, playground environment(s) and/or scenarios are ready to use; - Tests for each service have been run and the test result is "passed" to provide the assurance that the operational environment will run properly; - Set up and deploy a new release of CCN software across the CCN gateways without major impact on the service – (**Additional acceptance criteria for this step during the Takeover phase of CCN);** - Switch over (and back) CCN traffic between the production and backup environment without major impacts on the services – (**Additional acceptance criteria for this step during the Takeover phase of CCN**); - Simulation of a deployment of a new CCN site– (Additional acceptance criteria for this step during the Takeover phase of CCN); - Install and configure CCNMail3 platform instance in the DC; - Install and configure the CCN Portal; - Master the capacity to reconfigure the CCN test/playground environment; - Manage of first and second level of support to CCN Stacks.
SB07	- Training for all applications has been delivered. - For all services to provide, playground environment(s) and/or scenarios are ready to use; - Deployment of a new application release for all applications; - Performance of pSAT / SAT; - Correct coordination and performance of Root Cause Analysis.
SB08	- A contact list and interaction matrix is available to all relevant staff and used for interacting with all external stakeholders; - Communication channels with all stakeholders have been established, activated and tested.

Service Block	Activity

SB09	• All required services are delivered with at least the same degree of automation as the incumbent ITSM2 Lot 1 contractor and the same level of service, making full usage of the tools available;
	• All operational processes and management processes are in place and comply with the procedures;
	• The contractor's staff makes full use of all Service Management related tools and is able to identify improvements:
	• All required services are delivered with at least the same degree of automation as the incumbent ITSM2 Lot 1 contractor and the same level of service, making full usage of the tools available;
	• Provide a sample report on:
	   • Change Request approval by CI Owners
	   • Incident escalation & incident report
	   • Request for Service status report

SB10	• Security monitoring is operational according to requirements; • Security Plan has been updated, submitted and accepted; • Contractor premises are secured according to requirements; • Computer Incident Response Team process is defined and implemented; • Security control procedures and measures for third party access and presences on DG TAXUD DC.
SB12	• Proof that the contractor has the capacity and knowledge to provide training.

Table 5: Takeover key acceptance criteria

4.2.11.2 Handover

The Handover period represents the period, during the contract, when the **ITSM3 Operations** contractor must transfer the project information and knowledge to DG TAXUD or to any specified third parties on its behalf. It is considered that this period should last between **6 and 18** months.

During the Handover period, the **ITSM3 Operations** contractor will activate the Handover Plan (HO Plan) and make available the totality of the knowledge acquired during the contract to DG TAXUD or to any specified third parties on its behalf. He will hand over all the tools, all documentation, all deliverables, scripts, and all other internal procedures, tools and

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packages, and provide appropriate training and coaching to allow the new supplier to Takeover whilst assuring continuity.

The Handover process includes the following phases:

- **Planning:** to set up the list of all activities, resources, deliverables and milestones required to perform successfully the Handover to the next service provider;

- **Preparation:** to identify, collect and store all deliverables required to allow a smooth and complete transfer of knowledge from the **ITSM3 Operations** contractor to DG TAXUD or to any specified third parties on its behalf; to prepare, when required, the training sessions for the project team of DG TAXUD or to any specified third parties on its behalf;

- **Implementation:** to perform effectively the transfer of the project knowledge (using planned training and ad-hoc technical meetings) and deliverables (documents, software, hardware) from the **ITSM3 Operations** contractor to DG TAXUD or to any specified third parties on its behalf;

- **Follow-up:** to provide "help" by the **ITSM3 Operations** contractor to DG TAXUD or to any specified third parties on its behalf during the Handover process. All the support activities related to the transfer of knowledge (ad-hoc technical meetings) from the **ITSM3 Operations** contractor to DG TAXUD or to any specified third parties on its behalf must be included. The **ITSM3 Operations** contractor **may not** ask DG TAXUD or any specified third parties on its behalf to pay (within a bi-lateral contract) for the support during the Handover due to the fact, among other things, that intellectual property generated during the current FWC belongs to the Commission.

⚠ Failure to pass on the information and knowledge to the new contractor will result in non-payment of the continuous services of the ITSM3 Operations contractor during the Handover period.

4.2.12 OTHER DELIVERABLES & SERVICES – (SERVICE BLOCK 12)

The **ITSM3 Operations** contractor will provide training/workshops/demonstrations upon request from DG TAXUD.

The training service may be conditioned to a preliminary transfer of knowledge from the X-DEV contractor to the **ITSM3 Operations** contractor and supported by the knowledge Handover material that can be used as a basis for the final training material.

The **ITSM3 Operations** contractor shall exploit – to the possible extent– virtual training classes and/or e-learning tools/techniques to improve the training offer to the various IT stakeholders (users, National Administrations, X-DEV contractors, TAXUD staff, etc.). In order to do so, he will leverage the services existing in DG TAXUD under other Framework and SCs.

The **ITSM3 Operations** contractor shall provide the training material (slides, documents, etc.) and may be required to provide premises for the training/workshop/demonstration.

It should be noted that the **training/workshops/demonstrations** could be attended by **up to 40 delegates**/per session.

4.3 Hardware/Software/Maintenance Acquisition Channel

The purpose of this core supporting service is to bring the following benefits to DG TAXUD:

- Simple contract administration and management, even if there are multiple source channels for purchases, including licence acquisitions, maintenance and related services;
- An efficient way to acquire IT related items via a reseller's product list (catalogue);
- An acquisition channel that permits the choice/purchase of "best-of-breed" IT related items in a highly dynamic IT market;
- Comprehensive maintenance management services for both Hardware and Software.
- Technical support for operational IT Software or Hardware products and COTS (including products and COTS purchased by other acquisition channel).

This acquisition interface must cover the provision of hardware and user rights of non-exclusive licences for a large range of **Software** products, and the provision of maintenance and informatics services including technical support and the respective documentation by means of a **Hardware/Software Acquisition Channel.** It covers the following supplies and services:

- The **supply** (licence quotation, ordering and delivery) of a wide range of computer **Hardware and Software products** with associated maintenance, consisting of periodic maintenance, corrective maintenance upgrades and updates to new versions and releases. This includes the supply of Hardware/Software products with associated maintenance, which are not currently used. Finally, the supply also includes **provision of complementary services**, such as urgent delivery services throughout the Union;
- The Takeover of the ongoing maintenance and support agreements for all Hardware/Software products under maintenance via the previous software acquisition channels, to ensure transparency and continuity of service;
- The integration into the FWC of any existing specific volume licence agreements into the contract;
- Provision of **informatics services**, these services consist of:

  o Off-site support services (via telephone, web or email) for the Hardware/Software products covered by the service;
  o On-site support and installation services for the Hardware/Software products covered by the service;

  o Technical consultancy services, typically related to a product, and required in the context of product evaluations, complex migrations, architectural (re)design activities, or deployment of operational services;

- It must be possible to trace any order back to its originating entity. It is up to DG TAXUD to decide which of these services will effectively be used in the course of the contract, and to which extent, but the **ITSM3 Operations** contractor must be capable of offering all of them;

⚠ Hardware decommissioning should be entrusted to companies specialising in physical destruction of sensitive hardware (tapes, disks, flash memory, proms, etc.) that deliver trustworthy certificates about the work performed.

This service does not confer to the Contractor any exclusive right to supply the Products or Services hereby referred.

The Contractor shall provide hardware/software products and services at a price lower, or, at maximum, equivalent to the prevailing market price.

The Contractor undertakes to treat in the strictest confidence and not make use of or divulge to third parties any information or documents which are linked to this service, except with prior approval from DG TAXUD.

The Contractor shall neither represent the Commission nor behave in any way that would give such an impression. The Contractor shall inform third parties that he does not belong to the European public service.

Please refer to Section 6.2.25 – "Price Element P.5.11 – mark-up on COTS, Hardware, Maintenance, Decommissioning" for a description of the mark-up mechanism that applies to this service when acquisition channel is the ITSM3 Operations contract.

5 Key Quality Indicators

Please refer to Section 10 – "Service Level Agreement (SLA)" for a description of the calculation method of the quality indicators.

Unless stated otherwise, the indicators are calculated and reported on a monthly basis.

The following table outlines the default KPIs / SQIs, "Shaded rows" regroup similar KPIs/SQIs in the table to facilitate their reading; Information in "**bold**" aims at helping the reader identify the differences between similar KPIs/SQIs:

#	KPI	Full KPI/SQI description	SQI	Target	Limit
1.	KPI-001[15] cf. 5.1.1.1	**Measures the ABSOLUTE availability of all CIs (Platform Instance, application, etc.) per environment**	-	-	-
2.	KPI-002[16] cf. 5.1.1.2	**Measures the TOTAL availability of all CIs (Platform Instance, application, etc.) per environment within the corresponding service window**	-	-	-
3.	KPI-003 cf. 5.1.1.3	**Measures the availability of all CIs (Platform Instance, application, etc.) per environment; excluding third party responsibilities**	-	-	-
4.	KPI-004 cf. 5.1.1.4	**Measures the availability of all CIs (Platform Instance, application, etc.) per environment; excluding third party responsibilities and planned unavailability**	-	-	-
5.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) in the **Prod environment** for all the "**5d-13h**" Service window and the "**Normal**" QOS	SQI-001[17] cf. Section 10.10.1	99.6%	99.3%

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[15] All KPIs related to services availability must detail the calculated KPI per business thread + CCN (e.g. Direct Taxation, Indirect Taxation, Recovery of Claims, Customs, Excise, Common).

[16] All KPIs related to services availability must detail the calculated KPI per business thread + CCN (e.g. Direct Taxation, Indirect Taxation, Recovery of Claims, Customs, Excise, Common).

[17] SQI on IT services availability is the availability calculated on the average of the five worst CIs /Day within the reported period.

#	KPI	Full KPI/SQI description	SQI	Target	Limit
6.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) in the **Conf/Backup environment** for all the "**5d-13h**" Service window and the "**Normal**" QOS	SQI-002 cf. Section 10.10.2	99.6%	99.3%
7.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) in **Serviced environments <u>other than</u>** Prod/Conf/Backup for all the "**5d-13h**" Service window and the "**Normal**" QOS	SQI-003 cf. Section 10.10.3	99.6%	99.3%
8.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Prod environment** for all the "**5d-13h**" Service window and the "**Extended**" QOS	SQI-004 cf. Section 10.10.4	99.8%	99.5%
9.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Conf/Backup environment** for all the "**5d-13h**" Service window and the "**Extended**" QOS	SQI-003 cf. Section 10.10.5	99.8%	99.5%
10.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) in **Serviced environments <u>other than</u>** Prod/Conf/Backup for all the "**5d-13h**" Service window and the "**Extended**" QOS	SQI-006 cf. Section 10.10.6	99.8%	99.5%
11.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Prod environment** for all the "**5d-13h**" Service window and the "**High Availability**" QOS	SQI-007 cf. Section 10.10.7	99.9%	99.7%
12.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Conf/Backup environment** for all the "**5d-13h**" Service window and the " **High Availability** " QOS	SQI-008 cf. Section 10.10.8	99.9%	99.7%
13.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) in **Serviced environments <u>other than</u>** Prod/Conf/Backup for all the "**5d-13h**" Service window and the " **High Availability** " QOS	SQI-009 cf. Section 10.10.9	99.9%	99.7%
14.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Prod environment** for all the "**7d-13h**" Service window and the " **Normal**" QOS	SQI-010 cf. 10.10.10	99.6%	99.3%
15.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Conf/Backup environment** for all the "**7d-13h**" Service window and the " **Normal**" QOS	SQI-011 cf. Section 10.10.11	99.6%	99.3%
16.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) in **Serviced environments <u>other than</u>** Prod/Conf/Backup for all the "**7d-13h**" Service window and the "**Normal**" QOS	SQI-012 cf. Section 10.10.12	99.6%	99.3%
17.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Prod environment** for all the "**7d-13h**" Service window and the "**Extended**" QOS	SQI-013 cf. Section 10.10.13	99.8%	99.5%

#	KPI	Full KPI/SQI description	SQI	Target	Limit
18.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Conf/Backup environment** for all the "**7d-13h**" Service window and the "**Extended**" QOS	SQI-014 cf. Section 10.10.14	99.8%	99.5%
19.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) in **Serviced environments other than** Prod/Conf/Backup for all the "**7d-13h**" Service window and the " **Extended** " QOS	SQI-015 cf. Section 10.10.15	99.8%	99.5%
20.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Prod environment** for all the "**7d-13h**" Service window and the " **High Availability** " QOS	SQI-016 cf. Section 10.10.16	99.9%	99.7%
21.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Conf/Backup environment** for all the "**7d-13h**" Service window and the " **High Availability**" QOS	SQI-017 cf. Section 10.10.17	99.9%	99.7%
22.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) in **Serviced environments other than** Prod/Conf/Backup for all the "**7d-13h**" Service window and the **High Availability** " QOS	SQI-018 cf. Section 10.10.18	99.9%	99.7%
23.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Prod environment** for all the "**7d-24h**" Service window and the "**Normal**" QOS	SQI-019 cf. Section 10.10.19	99.6%	99.3%
24.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Conf/Backup environment** for all the "**7d-24h**" Service window and the "**Normal**" QOS	SQI-020 cf. Section 10.10.20	99.6%	99.3%
25.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) in **Serviced environments other than** Prod/Conf/Backup for all the "**7d-24h**" Service window and the "**Normal**" QOS	SQI-021 cf. Section 10.10.21	99.6%	99.3%
26.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Prod environment** for all the "**7d-24h**" Service window and the "**Extended**" QOS	SQI-022 cf. Section 10.10.22	99.8%	99.5%
27.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Conf/backup environment** for all the "**7d-24h**" Service window and the "**Extended**" QOS	SQI-023 cf. Section 10.10.23	99.8%	99.5%
28.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) in **Serviced environments other than** Prod/Conf/Backup for all the "**7d-24h**" Service window and the "**Normal**" QOS	SQI-024 cf. Section 10.10.24	99.8%	99.5%

#	KPI	Full KPI/SQI description	SQI	Target	Limit
29.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Prod environment** for all the "**7d-24h**" Service window and the " **High Availability** " QOS	SQI-025 cf. Section 10.10.25	99.9%	99.7%
30.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) of all complexity levels in the **Conf/Backup environment** for all the "**7d-24h**" Service window and the " **High Availability**" QOS	SQI-026 cf. Section 10.10.26	99.9%	99.7%
31.	KPI-003 cf. 5.1.1.3	Measures the availability of all the Platform Instances and applications (CIs) in **Serviced environments other than** Prod/Conf/Backup for all the "**7d-24h**" Service window and the " **High Availability** " QOS	SQI-027 cf. Section 10.10.27	99.9%	99.7%
32.	KPI-005 cf. 5.1.2	Measures the Time of Recovery of a Configuration Item	-	-	-
33.	KPI-005 cf. 5.1.2	Measures the Recovery Time of Platform Instances and applications (CIs) in the Prod environment with "**Normal**" QOS	SQI-028 cf. Section 10.10.28	60 min	240 min
34.	KPI-005 cf. 5.1.2	Measures the Recovery Time of Platform Instances and applications (CIs) in the Prod environment with "**Extended**" QOS	SQI-029 cf. Section 10.10.29	30 min	120 min
35.	KPI-005 cf. 5.1.2	Measures the Recovery Time of Platform Instances and applications (CIs) in the Prod environment with "**High Availability**" QOS	SQI-030 cf. Section 10.10.30	0 min	30 min
36.	-	Measures the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable for which a delay would have a **Low** Impact	SQI-031 cf. Section 10.10.31	0 delay	15working days
37.	-	Measures the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable for which a delay would have a **Medium** Impact	SQI-032 cf. Section 10.10.32	0 delay	10 working days
38.	-	Measures the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable for which a delay would have a **High** Impact	SQI-033 cf. Section 10.10.33	0 delay	5 working days
39.	-	Measures the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable for which a delay would have a **Major** Impact	SQI-034 cf. Section 10.10.34	0 delay	1 working days
40.	KPI-006 cf. 5.1.3	Measures the Integrity of the application/system portfolio	-	-	-

#	KPI	Full KPI/SQI description	SQI	Target	Limit
41.	KPI-007 cf. 5.1.4	Measures the conformance Test readiness	-	-	-
42.	-	Measure that actions agreed with DG TAXUD have been implemented within the given timeframe	SQI-035 cf. Section 10.10.35	0 delay	3 working days
43.	-	Measures the respect of the Incident resolution time	SQI-036 cf. Section 10.10.36	98%	95%
44.	KPI-008 cf. 5.1.5	Measures the number of retrospective changes performed on the CMDB	-	-	-
45.	KPI-009 cf. 5.1.6	Measures the number of deviations detected in the CMDB	SQI-037 cf. Section 10.10.37	0	2
46.	KPI-010 cf. 5.1.7	Measures the number of deviations detected in the Asset Repository	SQI-38 cf. Section 10.10.38	0	3
47.	-	Measures the Training/workshop appraisal	SQI-039 cf. Section 10.10.39	100%	79%
48.	-	Measure if the issuer of a Service Call has received an acknowledgement within the given timeframe	SQI-040 cf. Section 10.10.40	0%	5%
49.	KPI-011 cf. 5.1.8	Measures the total number of Service Calls remaining open	-	-	-
50.	KPI-012 cf. 5.1.9	Measures the number of Opened & Closed Service Calls during the month	-	-	-
51.	-	Measures the number of complaints received	SQI-041 cf. Section 10.10.41	0	2
52.	KPI-013 cf. 5.1.10	Measures the respect of the deadline for announcement (via mass mails) of scheduled unavailability	-	-	-
53.	-	Measure if ITSM3 Operations contractor does not expose its internal legal organisation to DG TAXUD and their users	SQI-042 cf. Section 10.10.42	0	2

#	KPI	Full KPI/SQI description	SQI	Target	Limit
54.	KPI-014 cf. 5.1.11	Measures the number of deviations detected to the IWP	-	-	-
55.	KPI-015 cf. 5.1.12	Measures the number of deviations detected to the Service Catalogue	-	-	-
56.	-	Measure if the initial value of the "Total number of months experience in managerial roles of the management team that will be assigned full time to the project" remains at an acceptable level	SQI-043 cf. Section 10.10.43 **Liquidated Damages**	95%	85%
57.	-	Measures the number of DG TAXUD staff allocated to services that should be provided by the **ITSM3 Operations** contractor, but that are not	SQI-044 cf. Section 10.10.44 **Liquidated Damages**	0 days	5 days
58.	-	Measures the number of occurrences when the Service Desk is unreachable. Each occurrence may not last more than 1 hour or will be considered as a new occurrence	SQI-045 cf. Section 10.10.45	0	2
59.	-	Measures the respect of the delay to escalate to DG TAXUD for critical impact (incidents, events, risks) or prolonged delays/unavailability	SQI-046 cf. Section 10.10.46	100%	90%
60.	KPI-016 cf. 5.1.13	Measures the quality of a deliverable sent for Review	-	-	-
61.	-	Measures the number of Service Calls opened for events that should not yield a Service Call	SQI-047 cf. Section 10.10.47	0%	3%
62.	-	Measures the satisfaction of users with the services provided by **ITSM3 Operations**	SQI-048 cf. Section 10.10.48	Very satisfied	Somewhat satisfied
63.	-	Measures the satisfaction of users with the service calls management by ITSM3 Operations	SQI-049 cf. Section 10.10.49	4.5	2.5

#	KPI	Full KPI/SQI description	SQI	Target	Limit
64.	-	Measures that the team in charge of the **ITSM3 Operations** contractor is staffed with the key personnel as proposed in the **ITSM3 Operations** tender and that they are allocated and remain staffed to the activity as of the signature of the first SC	SQI-050 cf. Section 10.10.50 **Liquidated Damages**	0	0
65.	-	SQI-051 - Measures that Transformation projects and Operational actions are not delayed by capacity issues or known third party dependencies.	SQI-051 Cf. Section 10.10.51		
66.	-	SQI-052 - Measures the delay to submit a complete RfC and related Impact Analysis to the Service Change Advisory Board	SQI-052 Cf. Section 10.10.52		
67.	-	Measures the delay in completing the Takeover within the foreseen Takeover period	SQI-053 cf. Section 10.10.53 **Liquidated Damages**	0	0
68.	-	Measure the number of deviations with the principle of least privilege in the granting of rights to privileged accounts of infrastructure, platform, or application components.	SQI-054 cf. Section 10.10.54	0	1
69.	-	Measure the respect of resolution time for security incidents	SQI-055 cf. Section 10.10.55	100%	98%
70.	-	Measures the length of time from when a security defect is identified or published (i.e. as a security advisory) until it is verified closed	SQI-056 cf. Section 10.10.56	98%	90%
71.	-	Measure the number of security devices not managed	SQI-057 cf. Section 10.10.57	0	0

Table 6: KPI / SQI overview

5.1 KPIs Description

All values are to be reported with the service statistics annexed to the MPR.

5.1.1 KPIs MEASURING QUALITY OF SERVICE OF CIs (PLATFORM INSTANCE, APPLICATION, ETC.)

The availability raw data is measured on a daily basis for each managed CI and on any environment for which a QoS and Service Window have been defined (Serviced Environments).

Serviced Environments are those environments of a defined CI provided as a service to DG TAXUD or assigned third parties (typically National Administrations or other DG TAXUD contractors).

By default and unless explicitly indicated by DG TAXUD the Serviced Environments of a CI are those of Production and Conformance.

Availability KPI (&SQI) calculation:
CAVA is the daily percentage of availability for each individual managed CI and serviced environment used in the calculation of a given KPI
CAVA=((NMINUTES-DUNV)/NMINUTES) * 100
DUNV is the sum of the number of minutes of **ITSM3 Operations'** unavailability measured for a given KPI of each managed CI during the defined service window for that CI.
DUNV value shall vary depending on what specific KPI (or SQI) is being measured. For example total unavailability (as perceived by the user), unplanned unavailability, planned unavailability, etc. The specific DUNV to be applied is specified on each KPI(/SQI) description.
NMINUTES= daily number of minutes during each Service Window.
This will result (CAVA) in a matrix composed of:

- Each day of the reporting period (Month)

- Each CIs environment

The calculation of each availability related KPI equals to the "CAVA" indicator where the availability is reported. This information for each KPI, per day, CI and serviced environment, is to be provided online, via the portal, on the next working day before 9:00 AM Brussels time. The average per month will also be calculated and displayed on the portal, per CI and serviced environment, 2 working days after the end of each calendar month; the minimum daily availability of the month will be highlighted. Daily and monthly reporting should be easily consulted and filtered at least by CI, by environment, by service window or by QoS applicable.

⚠ The CIs unavailability occurrences associated to the incidents opened must also be reported and reflect the cause of the unavailability regardless of the root cause. This reporting

also includes functional unavailability due to malfunction of the CI (e.g. data not up to date, functionalities not provided according to requirements, etc.).

In the calculation and reporting of availability related KPI it must be identifiable why a given unavailability data was considered as the responsibility of a third party or as planned.

5.1.1.1 KPI-001 - Measures the ABSOLUTE availability of all CIs (Platform Instance, application, etc.) per environment

This KPI measures the ABSOLUTE availability of all CIs in all Serviced Environments.

For the calculation of this KPI-001, **DUNV** corresponds to the **TOTAL** detected unavailability of the CI on the given environment **within and out of** the applicable Service Window. **NMINUTES** corresponds to the total number of minutes in a day (1440). Please refer to Section 5.1.1 above.

This includes **planned and unplanned unavailability** even if the unavailability is not the responsibility of the ITSM3 **Operations** contractor or caused by force majeure.

5.1.1.2 KPI-002 - Measures the TOTAL availability of all CIs (Platform Instance, application, etc.) per environment

This KPI measures the TOTAL availability as perceived by the user of all CIs in all Serviced Environments.

For the calculation of this KPI-001, **DUNV** corresponds to the **TOTAL** unavailability of the CI on the given environment **within** the applicable Service Window. Please refer to Section 5.1.1 above.

This includes **planned and unplanned unavailability** even if the unavailability is not the responsibility of the ITSM3 **Operations** contractor or caused by force majeure.

5.1.1.3 KPI-003 - Measures the availability of all CIs (Platform Instance, application, etc.) per environment; excluding third party responsibilities

This KPI measures the availability of all CIs in all Serviced Environments not counting the unavailability caused by third parties or force majeure.

For the calculation of this KPI-002, **DUNV** corresponds to the unavailability for which ITSM3 **Operations** contractor is responsible, of the CI on the given environment **within** the applicable Service Window. Please refer to Section 5.1.1 above.

This includes **planned[18] and unplanned unavailability** where the unavailability is the responsibility of the ITSM3 Operations contractor and neither caused by a third party nor by force majeure.

5.1.1.4 KPI-004 - Measures the availability of all CIs (Platform Instance, application, etc.) per environment; excluding third party responsibilities and planned unavailability

This KPI measures the availability of all CIs in all Serviced Environments not counting the planned unavailability or those caused by third parties or force majeure.

For the calculation of this KPI-003, **DUNV** corresponds to the unplanned unavailability for which ITSM3 Operations contractor is responsible, of the CI on the given environment within the applicable Service Window. Please refer to Section 5.1.1 above.

This includes **unplanned** unavailability where the unavailability is the responsibility of the **ITSM3 Operations** contractor and neither caused by a third party nor by force majeure.

5.1.2 KPI-005 - MEASURES THE TIME OF RECOVERY OF A CONFIGURATION ITEM

This KPI measures the time to fully recover on a secondary site all functionalities of a CI after one of the following events:

- Unplanned fail-over: The CI has become fully unavailable due to the failure of essential infrastructure or platform components at the main site where the CI is deployed.
- Planned fail-over: The CI has been made unavailable on a non-production environment with the purpose to fully or partially test the disaster recovery plan.

The main site and the recovery site must be in separate Data Centres for any CI unless DG TAXUD explicitly indicates on the contrary.

The recovery time (RT) is measured in minutes, as the difference between the Time of Recovery minus the Time of Failure:

$$RT = TR - TF$$

Being:

- TF - Time of Failure being the timestamp in minutes of the first registry of the monitoring tools indicating unavailability;

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[18] Unavailability can be considered as planned only if previously agreed by DG TAXUD via the System Owner or the CI Owner.

- TR - Time of Recovery: being the timestamp of the first registry of the monitoring tools indicating of end-to-end availability of the CI.

The KPI is measured and reported monthly for all occurrences of planned or unplanned fail overs per affected CIs and per affected Serviced Environment indicating the type of unavailability (planned or unplanned).

The KPI is measured for CIs to which the HA QoS apply even if they are in an active-active mode. In this case the second active site should be already in operation and the Time of Recovery (TR) is taken as equal to the Time of Failure (TF) if no unavailability is registered in the recovery site.

5.1.3 KPI-006 - MEASURES THE INTEGRITY OF THE APPLICATION/SYSTEM PORTFOLIO

The number of errors reported by DG TAXUD on the Application/System portfolio during the reporting period (Monthly).

5.1.4 KPI-007 - MEASURES THE CONFORMANCE TEST READINESS

The value to be reported is calculated as:

$KPI = 100 * (1-(C_{TR}/C_{TS}))$

Where

C_{TS} is the total number of CT Campaigns completed by the **ITSM3 Operations** contractor during the reporting period **and** C_{TR} is the number of CT Campaigns where the **ITSM3 Operations** contractor was effectively ready to start on time.

5.1.5 KPI-008 - MEASURES THE NUMBER OF RETROSPECTIVE CHANGES PERFORMED IN THE CMDB

The value to be reported measures the maturity of the CMDB by calculating the ratio between the retrospective changes (correcting/adding old data) performed during the reporting period with regards to the total number of updates performed in the CMDB during the same reporting period.

5.1.6 KPI-009 - MEASURES THE NUMBER OF DEVIATIONS DETECTED IN THE CMDB

The value to be reported is the number of deviations detected, during the reporting period, in the CMDB by any stakeholder and reported to the **ITSM3 Operations** contractor.

5.1.7 KPI-010 - MEASURES THE NUMBER OF DEVIATIONS DETECTED IN THE ASSETS REPOSITORY

The value to be reported is the number of deviations detected, during the reporting period, in the assets repository (hardware/software assets, licences, certificates, etc.) by any stakeholder and reported to the **ITSM3 Operations** contractor.

5.1.8 KPI-011 - MEASURES THE TOTAL NUMBER OF SERVICE CALLS REMAINING OPEN

The values to be reported are to be detailed by Service Call category and Business Thread.

5.1.9 KPI-012 - MEASURES THE NUMBER OF OPENED & CLOSED SERVICE CALLS DURING THE MONTH

The values to be reported are to be detailed by Service Call category and Business Thread.

5.1.10 KPI-013 - MEASURES THE RESPECT OF THE DEADLINE FOR ANNOUNCEMENT (VIA MASS MAILS) OF SCHEDULED UNAVAILABILITY

The value to be reported is the achievement ratio (100% meaning that all announcements were made on time).

5.1.11 KPI-014 - MEASURES THE NUMBER OF DEVIATIONS DETECTED IN THE IWP

The value to be reported is the number of deviations detected, during the reporting period, in the IWP by any stakeholder and reported to the **ITSM3 Operations** contractor.

5.1.12 KPI-015 - MEASURES THE NUMBER OF DEVIATIONS DETECTED IN THE SERVICE CATALOGUE

The value to be reported is the number of deviations detected, during the reporting period, in the Service Catalogue by any stakeholder and reported to the **ITSM3 Operations** contractor.

5.1.13 KPI-016 - MEASURES THE QUALITY OF A DELIVERABLE SENT FOR REVIEW

The value to be reported is the ratio between the comments raised and not rejected (Flagged as "No action") during the review meeting **and** the number of pages of the document.

6   Pricing Model

The purpose of this chapter is to clarify the coverage of the price elements of the pricing model annexed to this call for tenders.

DG TAXUD is aiming at an "all inclusive" pricing model based on the volumetric of all service blocks as described in the FQP & Annexes [R5]. By default, any service that is not explicitly excluded in the following definitions is to be considered by the tenderer as "included" in the regarded price element.

6.1   General principle

The fixed price (FP) elements target to acquire a certain capacity from the **ITSM3 Operations** contractor to provide the service of the day-to-day activities whilst being able to level out peak activities. These activities are FP and are referred to hereinafter as "continuous services".

The Commission will estimate, for each SC intended for continuous services, the volume of price elements (i.e. the number of quantities of price elements) to include in the SC. The resulting fixed price is the price that is due by the Commission even if over-consumed by up to **10%**. Should however an over-consumption of a price element of **more than 10%** occur on a specific month, DG TAXUD will finance the additional quantities over 100% of this price element for that month.

To implement the above, a Request for Action (RfA) covering eventual overconsumption will be issued for each Continuous Services Specific Contract in order to allocate budget as an envelope. The consumption from the RfA will be automatically triggered by the acceptance of the overconsumption via the acceptance of the Monthly Progress Reports. Should the allocated budget seem to be insufficient, the RfA will be amended accordingly. The RfA will be invoiced at the end of the Specific Contract with actual accepted consumption.

Overconsumptions of a price element are NOT compensated from one month to another. Under consumptions are in no case compensated.

The consumption of price elements is to be reported in the MPR. This reporting allows for assessing the volume of continuous services needed for subsequent continuous services SCs.

The figure below provides an example of the 110% rule applied to a hypothetical case:

Example of a price element of a continuous service covered within a Specific Contract of a duration of 12 months.

In the example the ordered units in the Specific Contract is 26; i.e. consumption of 110% starts from 28.6 units.
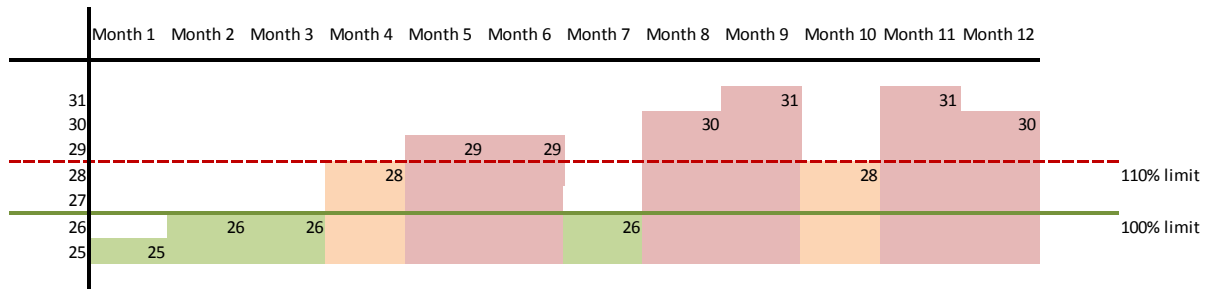
Months 1 to 3 & 7: normal consumption within limit of ordered units, no compensation is paid

Months 4 & 10: overconsumption below 110% limit, no compensation is paid

Months 5, 6, 8, 9, 11 & 12: overconsumption exceeding 110%: compensation is due and counted for all units over 100% but only for these months. This leads to a total of 24 units to be paid additionally (three for month 5; three for month 6; four for month 8; five for month 9; five for month 11 and four for month 12).

Figure 6 – Example of overconsumption

6.2 Description of the Price Elements

6.2.1 PRICE ELEMENT P.1.1 – MANAGEMENT FEE EXPRESSED IN % OF THE TOTAL FIXED PRICE (FP) SERVICES ORDERED

This is to be expressed by the tenderer as a percentage to be added to the total FP services ordered.

This price element covers:

- All Services of Service Block 01 – Induced Project Management that are linked to the FP services;
- Yearly maintenance of all the initial deliverables covered in (Section 6.2.3 -"Price Element P.2.1 – Production of all the initial deliverables: FQP, Service Catalogue, Capacity Plan, Availability Plan, IT Service Continuity Plan, ICT architecture, Application Architecture and Framework, External processes, SLAs…)

6.2.2 PRICE ELEMENT P.1.2 – MANAGEMENT FEE EXPRESSED IN % OF THE TOTAL ON DEMAND ACTIVITIES ORDERED (EXCLUDING TRAVEL EXPENSES)

This is to be expressed by the tenderer as a percentage to be added to each On Demand activity[19] that will be ordered.

This price element covers:

- All Services of Service Block 01 - Project Management Office

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[19] To be included in each estimate for action provided by the **ITSM3 Operations** contractor.

- The Management of projects in relation to all services and transformations offered on demand that are not already covered by Service Block 02.

6.2.3 PRICE ELEMENT P.2.1 – PRODUCTION OF ALL THE INITIAL DELIVERABLES: FQP[20], SERVICE CATALOGUE, CAPACITY PLAN, AVAILABILITY PLAN, IT SERVICE CONTINUITY PLAN, ICT ARCHITECTURE, APPLICATION ARCHITECTURE AND FRAMEWORK, EXTERNAL PROCESSES, SLAS…

This is to be expressed by the tenderer as a one time FP for the production of all the initial deliverables that will be ordered once, during a SC for continuous services in parallel to the Takeover.

This price element covers:

- The production of all the initial deliverables covered by Service Block 02 – Service Strategy & Transformations.

6.2.4 PRICE ELEMENT P.2.2 – CORE SERVICE STRATEGY & CSIP FOR THE FIRST 200 SERVICES IN THE SERVICE CATALOGUE INCLUDING MAINTENANCE OF THE SERVICE CATALOGUE AND MAINTENANCE OF INITIAL DELIVERABLES

This is to be expressed by the tenderer as a monthly FP for the first 200 services directly provided by the **ITSM3 Operations** contractor and included in the Service Catalogue.

This price element covers:

> All Services of Service Block 02 – Service Strategy & Transformations including the yearly maintenance of all initial deliverables covered by Price Element 2.1 cf. Section 6.2.3; and:

- **not** linked to the Production of all the initial deliverables covered by Price Element 2.1 cf. Section 6.2.3 and
- **not** covered by price elements P.2.3 to P.2.9.

6.2.5 PRICE ELEMENT P.2.3 – SERVICE STRATEGY & CSIP FOR EVERY 10 EXTRA SERVICES IN THE SERVICE CATALOGUE

This is to be expressed by the tenderer as a monthly FP per every 10 additional services (on top of the 200 already covered by price element P.2.2) directly provided by the **ITSM3 Operations** contractor and included in the Service Catalogue.

Note: every fraction of 10 will count as 10 services. For example if there are 232 services in the Service Catalogue directly provided by the **ITSM3 Operations** contractor it will count as

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[20] Initially this covers the update of taken-over FQPs.

40 services in addition to the core 200 and hence this price element will be activated in 4 units.

This price element covers:

> All Services of Service Block 02 – Service Strategy & Transformations and:

> - **not** covered by price elements P.2.1, P.2.2 and P2.4 to P.2.8.

6.2.6 PRICE ELEMENT P.2.4 – CHANGE MANAGEMENT PROCESSES OF ALL SERVICES

This is to be expressed by the tenderer as a monthly FP per service change request for which an impact analysis has been realised, submitted to, and treated by the Service Change Advisory Board.

This price element covers:

> All Services of Service Block 02 – Service Strategy related to the management and support of the Service Change Management Process and **not** already covered by price elements P.2.1 to P.2.3 and P.2.5 to P.2.9

6.2.7 PRICE ELEMENT P.2.5 – PORTFOLIO MANAGEMENT AND MAINTENANCE OF CAPACITY PLAN

This is to be expressed by the tenderer as a monthly FP per active transformation project in the given month approved by the Service Change Advisory Board.

This price element covers:

> All Services of Service Block 02 – Service Strategy related to the management and support of Portfolio of Transformation Projects including the continuous maintenance of the Capacity Plan; and **not** already covered by price elements P.2.1 to P.2.4 and P.2.6 to P.2.9.

6.2.8 PRICE ELEMENT P.2.6 – TRANSFORMATION PROJECTS DESIGN & IMPLEMENTATION IN CONTINUOUS MODE UP TO A MAXIMUM OF (10 MINOR /5 SIMPLE/ 2 MEDIUM/1 MAJOR) AND TECHNICAL SUPPORT TO SERVICE STRATEGY & SERVICE CHANGE MANAGEMENT.

This is to be expressed by the tenderer as a monthly FP in the given month approved by the Service Change Advisory Board.

This price element covers:

- All Services of Service Block 02 – Service Strategy related to the management and implementation of Transformation Projects up to a maximum of: 10 minor, 5 simple, 2 medium and 1 major projects; including the technical support to Service Strategy & CSIP and to the Change Management Process;

- As far as they are **not** already covered by:
  o price elements P.2.1 to P.2.5 and P.2.7 to P.2.9; or
  o other Service Blocks in support or in contribution to the Transformation project and the related price elements of **ITSM3 Operations** as <u>for example</u>:

    ➢ Development activities under Service Block 03;
    ➢ Infrastructure services under Service Block 05;
    ➢ Deployment of an Application or a Platform Instance under Service Blocks 07 or 06;

6.2.9 PRICE ELEMENT P.2.7 – DESIGN & IMPLEMENTATION OF SIMPLE TRANSFORMATION

This is to be expressed by the tenderer as a FP for the design and implementation of a Simple Transformation project as defined in section 4.2.2.8-Transformation Projects.

This price element covers:

- All Services of Service Block 02 – Service Strategy related to the management and implementation of Minor Transformation Projects that are requested on demand whenever the project in question increases the number of active Minor Transformation projects over the threshold of 10 during the month when the project is planned to be launched.
- As far as they are **not** already covered by:
  o price elements P.2.1 to P.2.6 and P.2.8 to P.2.9; or
  o other Service Blocks in support or in contribution to the Transformation project and the related price elements of **ITSM3 Operations** as <u>for example</u>:

    ➢ Development activites under Service Block 03;
    ➢ Infrastructure services under Service Block 05;
    ➢ Deployment of an Application or a Platform Instance under Service Blocks 07 or 06;

6.2.10 PRICE ELEMENT P.2.8 – DESIGN & IMPLEMENTATION OF MEDIUM TRANSFORMATION

This is to be expressed by the tenderer as a FP for the design and implementation of a Medium Transformation project as defined in section 4.2.2.8-Transformation Projects.

This price element covers:

- All Services of Service Block 02 – Service Strategy related to the management and implementation of Medium Transformation Projects that are requested on demand whenever the project in question increases the number of active Medium Transformation projects over the threshold of 5 during the month when the project is planned to be launched.
- As far as they are **not** already covered by:
  o price elements P.2.1 to P.2.7 and P.2.9; or

> o other Service Blocks in support or in contribution to the Transformation project and the related price elements of **ITSM3 Operations** as <u>for example</u>:

> ➢ Development activites under Service Block 03;
> ➢ Infrastructure services under Service Block 05;
> ➢ Deployment of an Application or a Platform Instance under Service Blocks 06 or 07;

6.2.11 PRICE ELEMENT P.2.9 – DESIGN & IMPLEMENTAIOTN OF MAJOR TRANSFORMATION

This is to be expressed by the tenderer as a FP for the design and implementation of a Major Transformation project as defined in section 4.2.2.8-Transformation Projects.

This price element covers:

- All Services of Service Block 02 – Service Strategy related to the management and implementation of Minor Transformation Projects that are requested on demand whenever the project in question increases the number of active Major Transformation projects over the threshold of 2 during the month when the project is planned to be launched.
- As far as they are **not** already covered by:
  - o price elements P.2.1 to P.2.8; or
  - o other Service Blocks in support or in contribution to the Transformation project and the related price elements of **ITSM3 Operations** as <u>for example</u>:

> ➢ Development activites under Service Block 03;
> ➢ Infrastructure services under Service Block 05;
> ➢ Deployment of an Application or a Platform Instance under Service Blocks 06 or 07;

6.2.12 PRICE ELEMENT P.3.1 – ALL FP SERVICES RELATED TO SERVICE BLOCK 03 - IMPLEMENTATION OF TOOLS SUPPORTING THE SERVICE MANAGEMENT

This is covered by Section 6.2.1 – "Price Element P.1.1 – Management fee expressed in % of the total Fixed price (FP) services ordered".

6.2.13 PRICE ELEMENT P.4.1 – ORGANISATION OF SERVICE DESK (SD)

This is to be expressed by the tenderer as a monthly FP for providing all services related to the Organisation of the Service Desk.

This price element covers all Services of Service Block 04 - Service Desk that is **not** linked to:

- The actual Service Call Handling cf. Section 6.2.14.

6.2.14 PRICE ELEMENT P.4.2 – CALL HANDLING

This is to be expressed by the tenderer as a FP per Service Call.

⚠ Service Calls opened and resolved by automatic means without human intervention are not to be accounted for (e.g. password reset with a self-service web page, download of documents, calls related to quality review cycles, etc.).

This price element covers:
•   All Services of Service Block 04 – related to the Service Call handling.

6.2.15 PRICE ELEMENT P.5.1 – INFRASTRUCTURE MANAGEMENT

This is to be expressed by the tenderer as a monthly FP for providing all services related to the infrastructure Management (Service Block 05). This FP is complemented by Price Elements P.5.2 to P.5.6) that vary based on quantities (e.g. Number of Logical servers) in any ITSM3 Operations Data Centre (managed or non-managed).

An infrastructure asset counting for the quantities or volumetric is considered as **non-managed** whenever it is not the direct responsibility of the ITSM3 Operations contractor to manage the asset but it has to configure, monitor or operate by any means.

An infrastructure asset counting for the quantities or volumetric is considered as **managed** whenever it is the direct responsibility of the ITSM3 Operations contractor to manage the asset including to configure, monitor or operate by any means.

All infrastructure Services must be provided within a service window equal or greater than the highest required by any component or service hosted within the given Data Centre.

6.2.16 PRICE ELEMENT P.5.2 – INFRASTRUCTURE MANAGEMENT - LOGICAL SERVER (MANAGED)

This is to be expressed by the tenderer as a monthly FP for managing one **Logical server**[21] located at a data centre provided by DG TAXUD and operated by the **ITSM3 Operations** contractor.

The above includes all logical servers necessary for the provision of any service within any service block of the ITSM3 **Operations** contract or any direct request for a logical server for any purpose (Infrastructure as a Service - IaaS).

This price element covers:

- All Services of Service Block 05 - Infrastructure Management **excluding** services explicitly covered by other price elements.

6.2.17 PRICE ELEMENT P.5.3 – INFRASTRUCTURE MANAGEMENT - LOGICAL SERVER (NON – MANAGED)

This is to be expressed by the tenderer as a monthly FP for operating one **Logical server** that is not directly managed by ITSM3 **Operations** (i.e. ITSM3 **Operations** has no administrator/root access to the OS).

Such servers typically reside on a physical server located elsewhere than DG TAXUD Data Centres operated by ITSM3 **Operations**. For example the physical server could be located at **the DIGIT/DC, a**t the Data Centre of a **National Administration**, or that of another **EC Directorate General** or **Agency** who is providing hosting service.

This price element covers:

- All Services of Service Block 05 - Infrastructure Management **excluding** services explicitly covered by other price elements.

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[21] Logical Server i.e. a virtual computer that resides on a physical server but appears to the users/applications as a separate server. Several logical servers can reside on one physical server. Please note that the Servers are in a Data Centre provided by DG TAXUD but operated by **ITSM3 Operations.**

6.2.18   PRICE ELEMENT P.5.4 – INFRASTRUCTURE MANAGEMENT - DATABASE SERVER (MANAGED)

This is to be expressed by the tenderer as a monthly FP for managing one **Database server** located at a Data Centre provided by DG TAXUD and operated by the **ITSM3 Operations** contractor.

The above includes all database servers necessary for the provision of any service within any service block of the ITSM3 Operations contract or any direct request for a logical server for any purpose (Infrastructure as a Service - IaaS).

This price element covers:

- All Services of Service Block 05 - Infrastructure Management **excluding** services explicitly covered by other price elements.

6.2.19   PRICE ELEMENT P.5.5 – INFRASTRUCTURE MANAGEMENT - DATABASE SERVER (NON – MANAGED)

This is to be expressed by the tenderer as a monthly FP for operating one **database server** that is not directly managed by ITSM3 Operations (i.e. ITSM3 Operations has no administrator access to the database instance).

Such databases typically reside on servers located elsewhere than DG TAXUD Data Centres operated by ITSM3 Operations. For example the database server could be located at **the DIGIT/DC, a**t the Data Centre of a **National Administration**, or that of another **EC Directorate General** or **Agency** who is providing hosting service.

This price element covers:

- All Services of Service Block 05 - Infrastructure Management **excluding** services explicitly covered by other price elements.

6.2.20   PRICE ELEMENT P.5.6 – INFRASTRUCTURE MANAGEMENT – NETWORK OR SECURITY INFRASTRUCTURE

This is to be expressed by the tenderer as a monthly FP for managing the **Network or Security Components** (measured as number of subnets and number of network entry points) located at an **ITSM3 Operations** Data Centre and operated by the **ITSM3 Operations** contractor, or located at a Data Centre provided by DG TAXUD and operated by the **ITSM3 Operations** contractor.

The above includes all network and security hardware or software necessary for the provision of any service within any service block of the ITSM3 **Operations** contract or any direct request for a network or security component for any specific purpose (Network as a Service - NaaS).

This price element covers:

- All Services of Service Block 05 - Infrastructure Management **excluding** services explicitly covered by other price elements.

6.2.21   PRICE ELEMENT P.5.7   DATA CENTRE LOCATIONS

The ITSM3 **Operations** contractor has to manage two Data Centre locations.

The price element is measured in number of locations.

This price element covers:

- All Services of Service Block 05 - Infrastructure Management **excluding** services explicitly covered by other price elements.

6.2.22   PRICE ELEMENT P.5.8 – ONLINE DISK STORAGE SPACE ALLOCATED @ ITSM3 OPERATIONS (MANAGED)

This is to be expressed by the tenderer as a monthly FP per online SAN/NAS cluster including its backup

This price element covers:

- All Services related to the provision of the services related to the online redundant and high available data storages (SAN or NAS) including management and operation of the disks, their online backup, the backup tapes, safes for their storage and so on in each one of the Data Centres (the 2 DG TAXUD owned Data Centres in Luxembourg and any **ITSM3 Operations** contractor site).

6.2.23   PRICE ELEMENT P.5.9 – MANAGEMENT OF INFRASTRUCTURE ASSETS INVENTORY & LIFE CYCLE

This is to be expressed by the tenderer as a monthly FP for managing the inventory and life cycle of all **Infrastructure Assets** either or not directly managed by ITSM3 **Operations**.

This price element covers:

- All Services of Service Block 05 - Infrastructure Management **excluding** services explicitly covered by other price elements.

6.2.24   PRICE ELEMENT P.5.10 – PROVISION ALLOCATED BY DG TAXUD FOR INFRASTRUCTURE (HARDWARE, SOFTWARE, MAINTENANCE, DECOMMISSIONING)

This is a provision, allocated by DG TAXUD, for the purchase of Hardware, Software, Maintenance, and Decommissioning. A mark-up, cf. Section 6.2.25 – Price Element P.5.11 – mark-up on COTS, Hardware, Maintenance, Decommissioning, is applied to this provision.

6.2.25   PRICE ELEMENT P.5.11 – MARK-UP ON COTS, HARDWARE, MAINTENANCE, DECOMMISSIONING

This is to be expressed by the tenderer as a mark-up percentage to be applied to the budgetary provision DG TAXUD expressed in Section 6.2.24 – "Price Element P.5.10 – Provision allocated by DG TAXUD for Infrastructure (hardware, software, maintenance, Decommissioning)". The mark-up represents the margin the contractor applies to its purchase prices covering all internal expenses linked to the purchase. These purchase prices are to be proven by invoices from the vendors. DG TAXUD reserves the right to verify/audit these purchase prices, proof of purchases by the **ITSM3 Integration** contractor.

6.2.26   PRICE ELEMENTS P.6.1 TO P.6.3 – (MANAGEMENT OF A FIRST PLATFORM INSTANCE WITH A COMPLEXITY "X" WITH A QOS AND SERVICE WINDOW OF N-5/13- (INCLUDING UPDATES, HOTFIXES, PATCHES, MONITORING, DECOMMISSIONING, BCP/DRP EXERCISE)

This is to be expressed by the tenderer as a monthly FP for the management of one:

- First Platform Instance with a complexity "**Low**" with a QoS of **N-5/13** - (Normal Quality of Service, "**5d–13h**" service Window) – (Price element **P.6.1**);
- First Platform Instance with a complexity "**Medium**" with a QoS of **N-5/13** - (Normal Quality of Service, "**5d–13h**" service Window) – (Price element **P.6.2**);
- First Platform Instance with a complexity "**High**" with a QoS of **N-5/13** - (Normal Quality of Service, "**5d–13h**" service Window) – (Price element **P.6.3**);

This price element does not apply to a second or consecutive instance of the same platform with the same complexity level. For second or consecutive instances of the same platform with the same complexity level price element P.6.4. is to be applied.

The decision of an instance belonging to a given platform as a second or consecutive instance will be taken by DG TAXUD based on the IT capabilities it covers; however, the factual element used will be the COTS being part of the platform instance.

Whenever a new or modified instance uses a new COTS not defined in any other instance of the platform then this instance shall be considered as new and included in this price element. From that moment on, if that COTS is added in any instance of the platform, it will not be a reason for it to be covered by this price element but by price element P.6.4.

This price element covers:

- All services of Service Block 06 related to the management of platforms instances **excluding** services explicitly covered by other price elements.

The price elements vary based on the variable **Platform complexity** – Please refer to Section 7 – "Application & Platform complexity classification" for a description of this variable;

The classification of the Platforms Instances with the definition of the above-mentioned variables will be performed once a year by DG TAXUD and will be provided to the **ITSM3 Operations** contractor in the RfO for continuous services. Deviations will be registered in the MPR for information only and will be used to reassess the quantities for the next SC covering continuous services. For information on platforms classification, please refer to section 7 and to the Application & Platform Complexity Models [R4].

6.2.27 PRICE ELEMENT P.6.4 - PLATFORM INSTANCE MANAGEMENT FEE FOR SUBSEQUENT INSTANCES OF THE SAME TYPE AND OF THE SAME PLATFORM

This is to be expressed by the tenderer as a percentage of the price elements P.6.1/P.6.2/P.6.3 covering the costs of support of second and subsequent platform instances of the given complexity type within the same platform.

The percentage applied to the cost of the primary instance will result in the total price of support for each subsequent instance of the same complexity level and belonging to the same platform.

The decision of an instance belonging to a given platform and the definition as a subsequent instance of the same type will be taken by DG TAXUD based on the IT capabilities it covers.

The decision will ultimately depend on the factual COTS composing the platform instance in question.

Therefore, a given Platform instance is covered by this price element (as a subsequent instance of a platform) if the following two conditions are fulfilled:

- It belongs to an existing platform: for this it must contain only COTS included in the COTS list of a platform (this list is reviewed yearly)
- There is already an instance belonging to the above platform (and covered by price elements P.6.1/P.6.2 or P.6.3) with the same complexity level (as evaluated by the complexity model (ref. CI list, …) and using at least the same COTS as the one in consideration.

Whenever a new or modified instance uses a new COTS not defined in any other active instance of the platform then this instance shall be considered as subsequent and included in this price element. From that moment on if that COTS is added in any instance of the platform it will not be a reason for it to be covered by this price element but by price element P.6.4.

It should be noted that in the yearly revision of the Complexity classification and the COTS list per platform a primary instance might become subsequent even if it was deployed earlier in time.

Please refer to Annex V on the complexity model for applications and platforms.

This price element covers:

- All services of Service Block 06 related to the management of platforms instances being defined as subsequent instances **excluding** services explicitly covered by other price elements.

6.2.28   PRICE ELEMENTS P.6.5 - PLATFORM INSTANCE MANAGEMENT FEE FOR SERVICE WINDOW UPGRADE TO 5/24

This is to be expressed by the tenderer as a percentage of the price elements P.6.1/P.6.2/P.6.3 (depending on the complexity level of the platform instance) covering the costs of support of a first or subsequent platform instance of the respective complexity type with a service window extended to 5/24 (ref: see 5.1.1 Service Window & QoS).

The percentage applied to the cost of a primary instance of the corresponding complexity level (price elements P.6.1/P.6.2/P.6.3) will result in the extra cost for any instance of the same complexity level requiring Service Window of 5/24.

It should be noted that the fee is always based on the price element of a first instance (P.6.1/P.6.2/P.6.3) even if it is to be applied to subsequent instances or to instances with QoS upgrade to extended or high availability mode.

This price element covers:

- All services of Service Block 06 related to the management of platforms instances requiring a service window of 5/24.

6.2.29   PRICE ELEMENTS P.6.6 - PLATFORM INSTANCE MANAGEMENT FEE FOR SERVICE WINDOW UPGRADE TO 7/24

This is to be expressed by the tenderer as a percentage of the price elements P.6.1/P.6.2/P.6.3 (depending on the complexity level of the platform instance) covering the costs of support of a first or subsequent platform instance of the respective complexity type with a service window extended to 7/24 (ref: see 5.1.1 Servie Window & QoS).

The percentage applied to the cost of a primary instance of the corresponding complexity level (price elements P.6.1/P.6.2/P.6.3) will result in the extra cost for any instance of the same complexity level requiring a Service Window of 7/24.

It should be noted that the fee is always based on the price element of a first instance (P.6.1/P.6.2/P.6.3) even if it is to be applied to subsequent instances or to instances with QoS upgrade to extended or high availability mode.

This price element covers:

- All services of Service Block 06 related to the management of platforms instances requiring a service window of 7/24.

6.2.30   PRICE ELEMENT P.6.7 - PLATFORM INSTANCE MANAGEMENT FEE FOR SERVICE QUALITY UPGRADE TO EXTENDED AVAILABILITY MODE

This is to be expressed by the tenderer as a percentage of the price elements P.6.1/P.6.2/P.6.3 (depending on the complexity level of the platform instance) covering the costs of support of a first or subsequent platform instance of the respective complexity type with a QoS upgrade to extended availability (ref: see 5.1.1 Servie Window & QoS).

The percentage applied to the cost of a primary instance of the corresponding complexity level (price elements P.6.1/P.6.2/P.6.3) will result in the extra cost for any instance of the same complexity level requiring Extended Availability.

It should be noted that the fee is always based on the price element of a first instance (P.6.1/P.6.2/P.6.3) even if it is to be applied to subsequent instances or to instances with Service Window upgrade to 5/24 or 7/24 mode.

This price element covers:

- All services of Service Block 06 related to the management of platforms instances requiring a Quality of Service of Extended availability.

6.2.31   PRICE ELEMENT P.6.8 - PLATFORM INSTANCE MANAGEMENT FEE FOR SERVICE QUALITY UPGRADE TO HIGH AVAILABILITY MODE

This is to be expressed by the tenderer as a percentage of the price elements P.6.1/P.6.2/P.6.3 (depending on the complexity level of the platform instance) covering the costs of support of a first or subsequent platform instance of the respective complexity type with a QoS upgrade to extended availability (ref: see 5.1.1 Service Window & QoS).

The percentage applied to the cost of a primary instance of the corresponding complexity level (price elements P.6.1/P.6.2/P.6.3) will result in the extra cost for any instance of the same complexity level requiring High Availability.

It should be noted that the fee is always based on the price element of a first instance (P.6.1/P.6.2/P.6.3) even if it is to be applied to subsequent instances or to instances with Service Window upgrade to 5/24 or 7/24 mode.

This price element covers:

- All services of Service Block 06 related to the management of platforms instances requiring a Quality of Service of High availability.

6.2.32   PRICE ELEMENTS P.6.9 TO P.6.11 – DEPLOYMENT OF A NEW PLATFORM INSTANCE WITH A COMPLEXITY "X"

This is to be expressed by the tenderer as a FP for the deployment of **one** platform instance (only the deployment of a **new CI** is to be considered as the deployment of a platform instance with a complexity[22] of "**Low**" – (**P.6.9**), "**Medium**" – (**P.6.10**), "**High**" – (**P.6.11**)

This price element covers:

- All the services related to the deployment of a new platform instance (primary or subsequent) or of a major release of any instance of the related complexity (regardless of the QoS and Service Window required). This is all-inclusive (e.g. it covers: installation, testing, configuration, setting up and configuring the monitoring, etc).

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[22] DG TAXUD will define the complexity of new platform instances.

6.2.33 PRICE ELEMENTS P.7.1 TO P.7.3 – MANAGEMENT OF ONE APPLICATION WITH A COMPLEXITY "X" WITH A QoS AND SERVICE WINDOW OF N-5/13 - (INCLUDING UPDATES, HOTFIXES, PATCHES, DATA PATCHES, MONITORING, DECOMMISSIONING, BCP/DRP EXERCISE)

This is to be expressed by the tenderer as a monthly FP for the management of one:

- Application with a complexity "**Low**" with a QoS & Service Window of **N-5/13** - (Normal Quality of Service, "**5d–13h**" service Window) – (Price element **P.7.1**);
- Application with a complexity "**Medium**" with a QoS QoS & Service Window of **N-5/13** - (Normal Quality of Service, "**5d–13h**" service Window) – (Price element **P.7.2**);
- Application with a complexity "**High**" with a QoS QoS & Service Window of **N-5/13** - (Normal Quality of Service, "**5d–13h**" service Window) – (Price element **P.7.3**);

This price element covers:

- All services of Service Block 06 related to the management of applications.

The price elements vary based on **Application complexity** – Please refer to Section 7 – "Application & Platform complexity classification" for a description of this variable;

The classification of the applications with the definition of the above-mentioned variables will be performed once a year by DG TAXUD and will be provided to the **ITSM3 Operations** contractor in the RfO for continuous services. Deviations will be registered in the MPR for information only and will be used to reassess the quantities for the next SC covering continuous services.

6.2.34 PRICE ELEMENTS P.7.4 – APPLICATION MANAGEMENT FEE FOR SERVICE WINDOW UPGRADE TO 5/24

This is to be expressed by the tenderer as a percentage of the price elements P.7.1/P.7.2/P.7.3 (depending on the complexity level of the application) covering the costs of support of an application of the respective complexity type with a service window extended to 5/24 (ref: see 5.1.1 Service Window & QoS).

The percentage applied to the cost of an application support of the corresponding complexity level (price elements P.7.1/P.7.2/P.7.3) will result in the extra cost for any application of the same complexity level requiring Service Window of 5/24.

It should be noted that the fee is always based on the price element of a first instance (P.7.1/P.7.2/P.7.3) even if it is to be applied to applications with QoS upgrade to extended or high availability mode.

This price element covers:

- All services of Service Block 07 related to the management of applications requiring a service window of 5/24.

6.2.35 PRICE ELEMENTS P.7.5 - APPLICATION MANAGEMENT FEE FOR SERVICE WINDOW UPGRADE TO 7/24

This is to be expressed by the tenderer as a percentage of the price elements P.7.1/P.7.2/P.7.3 (depending on the complexity level of the application) covering the costs of support of a first or subsequent platform instance of the respective complexity type with a service window extended to 7/24 (ref: see 5.1.1 Service Window & QoS).

The percentage applied to the cost of an application support of the corresponding complexity level (price elements P.7.1/P.7.2/P.7.3) will result in the extra cost for any application of the same complexity level requiring Service Window of 7/24.

It should be noted that the fee is always based on the price element of a first instance (P.7.1/P.7.2/P.7.3) even if it is to be applied to subsequent instances or to instances with QoS upgrade to extended or high availability mode.

This price element covers:

- All services of Service Block 07 related to the management of platforms instances requiring a service window of 7/24.

6.2.36 PRICE ELEMENT P.7.6 - APPLICATION MANAGEMENT FEE FOR SERVICE QUALITY UPGRADE TO EXTENDED AVAILABILITY MODE

This is to be expressed by the tenderer as a percentage of the price elements P.7.1/P.7.2/P.7.3 (depending on the complexity level of the application) covering the costs of support of a first or subsequent platform instance of the respective complexity type with a QoS upgrade to extended availability (ref: see 5.1.1 Service Window & QoS).

The percentage applied to the cost of an application support of the corresponding complexity level (price elements P.7.1/P.7.2/P.7.3) will result in the extra cost for any application of the same complexity level requiring Extended Availability.

It should be noted that the fee is always based on the price element of a first instance (P.7.1/P.7.2/P.7.3) even if it is to be applied to subsequent instances or to instances with Service Window upgrade to 5/24 or 7/24 mode.

This price element covers:

- All services of Service Block 07 related to the management of platforms instances requiring a Quality of Service of Extended availability.

6.2.37   PRICE ELEMENT P.7.7 - APPLICATION MANAGEMENT FEE FOR SERVICE QUALITY UPGRADE TO HIGH AVAILABILITY MODE

This is to be expressed by the tenderer as a percentage of the price elements P.7.1/P.7.2/P.7.3 (depending on the complexity level of the application) covering the costs of support of a first or subsequent platform instance of the respective complexity type with a QoS upgrade to extended availability (ref: see 5.1.1 Service Window & QoS).

The percentage applied to the cost of an application support of the corresponding complexity level (price elements P.7.1/P.7.2/P.7.3) will result in the extra cost for any application of the same complexity level requiring High Availability.

It should be noted that the fee is always based on the price element of a first instance (P.7.1/P.7.2/P.7.3) even if it is to be applied to subsequent instances or to instances with Service Window upgrade to 5/24 or 7/24 mode.

This price element covers:

- All services of Service Block 07 related to the management of platforms instances requiring a Quality of Service of High availability.

6.2.38   PRICE ELEMENTS P.7.8 TO P.7.10 – DEPLOYMENT OF A NEW APPLICATION WITH A COMPLEXITY "X"

This is to be expressed by the tenderer as a FP for the deployment of **one** new application (only the deployment of a **new CI** is to be considered as the deployment of a new application with a complexity[23] of "**Low**" – (**P.7.8**), "**Medium**" – (**P.7.9**), "**High**" – (**P.7.10**)

This price element covers:

- All the services related to the deployment of a new application or of a major release of an existing application of the related complexity (regardless of the QoS and Service Window required). This is all-inclusive (e.g. it covers: installation, testing, configuration, setting up and configuring the monitoring, support during the conformance test, etc. until is finally in production) and this even during weekends and holidays if there is a business need (e.g. a new System entry into operation the 1st of January).

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[23] DG TAXUD will define the complexity of new applications.

6.2.39 PRICE ELEMENTS P.6.12 – COST FOR SHIPPING IT EQUIPMENT USING A SPECIALISED IT TRANSPORTER OFFERING FULL INSURANCE TO A NATIONAL ADMINISTRATION WITHIN EUROPE

This is to be expressed by the tenderer as a matrix of prices in tab "Shipping costs" of the Price table. Prices are to be defined based on insured value and weight for a shipment from the **ITSM3 Operations** contractors premises to any National Administration within Europe.

This price element covers:

- All the services related to the shipment of IT equipment by a traceable transporter. The price is to include full insurance covering replacement value of the equipment.

6.2.40 PRICE ELEMENT P.8.1 – ALL SERVICES RELATED TO SERVICE BLOCK 08 - COORDINATION WITH INVOLVED PARTIES

This is covered by Section 6.2.1 – Price Element P.1.1 – Management fee expressed in % of the total Fixed price (FP) services ordered.

6.2.41 PRICE ELEMENT P.9.1 – ALL SERVICES RELATED TO SERVICE BLOCK 09 - IT SERVICE MANAGEMENT

This is covered by Section 6.2.1 – Price Element P.1.1 – Management fee expressed in % of the total Fixed price (FP) services ordered.

6.2.42 PRICE ELEMENT P.10.1 – ALL SERVICES RELATED TO SERVICE BLOCK 10 – SECURITY

This is covered by Section 6.2.1 – Price Element P.1.1 – Management fee expressed in % of the total Fixed price (FP) services ordered.

6.2.43 PRICE ELEMENT P.11.1 – (TAKEOVER)

This is to be expressed by the tenderer as a one-time FP for performing all services defined in the Takeover service specifications cf. Section 4.2.11.1 – Takeover

This price element covers:

- All services as defined in the Takeover strategy cf. Section 4.2.11.1 – Takeover excluding services explicitly covered by other price elements as P.2.1 and P.2.2.
- The related travel and subsistence costs to the incumbent ITSM2 Lot 1 contractor's usual premises and DG TAXUD's usual premises (Brussels) or to TAXUD Data Centres (Luxembourg).

This price element does not cover the costs of services covered by price element P.2.2

6.2.44   PRICE ELEMENT P.11.2 – (HANDOVER)

This is to be expressed by the tenderer as a one-time FP for performing all services related to the Handover of the services to the DG TAXUD or to any specified third parties on its behalf over the Takeover period.

This price element covers:

- All the activities related to the handing over of the activities from the **ITSM3 Operations** Contractor to DG TAXUD or to any specified third parties on its behalf for the duration of the Handover period;
- The training of DG TAXUD's team or of any specified third parties on its behalf (all functions, all staff, and all procedures).

This price element **excludes**:

- The continuous update of all packages that shall be handed over at the end of the FWC. This includes all non-commercial confidential assets of the project, such as all project and operational documentation, tools, training, procedures, data, inventories, etc. These will continuously be kept up to date – to the highest possible professional standards – with a minimum of one update per year. This effort is covered by Section 6.2.1 – Price Element P.1.1 – Management fee expressed in % of the total Fixed price (FP) services ordered.

6.2.45   PRICE ELEMENT P.12.1 – TRANSLATIONS OF DOCUMENTS FROM ENGLISH OR FRENCH TO ANY OTHER EU OFFICIAL LANGUAGE OR FROM ANY OTHER EU OFFICIAL LANGUAGE TO ENGLISH (EN) OR FRENCH (FR)

This is to be expressed by the tenderer as a matrix of prices in the tab "Translation costs" of the financial sheet. Prices are to be given for the translation from English or French to any of the other official languages of the European Union or from any of those official languages of the European Union to English or French.

This price element covers:

- The human translation of an A4 size page with normal font (Times New Roman, 11 or similar) with single line spacing;
- From: FR or EN to any other European Union official language;
- From: any European Union official language to FR or EN.

6.2.46   PRICE ELEMENT P.12.2 – TRAINING, WORKSHOPS AND DEMONSTRATIONS

This is to be expressed by the tenderer as an all-inclusive price for the preparation and chairing of a one-day training course, workshop or demonstration. This price is the same regardless of the premises where the event takes place. This includes:

- The invitation;
- The agenda;

- The definition of the prerequisites/links with (mandatory) prior training, the target audience, etc;
- The updates to the training catalogue;
- The preparation of the publicity material and their publication (e.g. on the portal);
- The ex-ante briefing and ex-post debriefing and summary/report;
- The minutes;
- The creation, update, preparation and distribution of all training material, slides, student handouts, handbook, booklets, brochures, etc.
- The set-up of the demo environment;
- The set-up of the hands-on exercises;
- Performing the training, workshop, demo, answering the questions…

6.2.47 PRICE ELEMENT P.12.3 – HOSTING OF TRAINING & LEARNING FACILITIES

- This is to be expressed by the tenderer as a price per day for a room of up to 40 persons.

This price elements cover:

- All the services for the training room for up to 40 trainees;
- Up to 4 separate, smaller rooms with desks and chairs for up to 15 persons, for break-out/parallel sessions/tracks if required; whiteboards/flipcharts and PC with video projector should be foreseen in all these rooms;
- Reception desk services to welcome trainees, to complete the registration process, to hand out the training material, etc.;
- Video projector, flip-charts, white board and/or intelligent whiteboard;
- The PCs, computers and all other hardware required in case of hands-on training;
- Catering services: drinks (coffee/tea, water, soft drinks) during breaks (2 breaks per day should be planned for); a sandwich-style lunch with non-alcoholic beverages should be provided.

6.2.48 PRICE ELEMENT P.13.1 – PROVISION FOR OTHER SERVICES AND DELIVERABLES NOT SPECIFIED ELSEWHERE

This is a provision, allocated by DG TAXUD, to cover Quoted Time and Means (QTM) activities based on the daily rates for the staff profiles.

6.2.49 PRICE ELEMENT P.13.2 – PROVISION FOR OTHER SERVICES AND DELIVERABLES NOT SPECIFIED ELSEWHERE TO BE PERFORMED DURING EXTENDED WORKING HOURS

This is a provision, allocated by DG TAXUD, to cover the Quoted Time and Means (QTM) activities based on the daily rates for the staff profiles for work that exceptionally needs to be performed during extended working hours.

6.2.50 PRICE ELEMENT P.OD.1 - PROVISION FOR ADDITIONAL ON DEMAND QUANTITIES OF CONTINUOUS SERVICES PRICE ELEMENTS ON WHICH PM% IS DUE

This is a provision, allocated by DG TAXUD for purchasing additional On Demand quantities of FP services. Price elements that will be purchased from this provision will be subject to management fee depending on the nature of the Continuous Services price element, i.e. management fee may be charged only to the price elements where management fee is to be calculated on the Continuous Service price element.

6.2.51 PRICE ELEMENT "PROFILES"

This is to be expressed by the tenderer as a list of prices in the tab "Profiles" of the Price Table. The prices are to be expressed per day and per profile defined in the tender according to Section 9 "Staffing & Infrastructure Requirements". A price distinction is to be made for extramuros personnel and for proximity extramuros personnel (see Section 9 "Staffing & Infrastructure Requirements" for the definition of proximity profile).

This price element covers:

- The all-inclusive daily rate;
- The office and equipment (IT and other) required to perform the services from the contractor's usual premises;
- The multiplying factor to be applied to the daily rate for on-demand work to be explicitly performed during extended working hours.

It must be noted that services expressed in man days will be ordered at the daily rate as indicated in the "Profiles" part of the financial table. The computed "man day cost (average cost)" is only used for calculating the budget envelopes. Man days will not be ordered at this computed average.

7   Application & Platform complexity classification

Application and platform complexities are to be understood in the context of this call for tenders, as a classification of the effort necessary to perform the support and the deployment activities. It is not directly related to the volume of code or to the number of function points within the application; or the number of applications in a platform; but rather linked to its maturity, stability, architecture, technology used, and so on.

Not only is the core application/*platform instance* taken into account, but also the quality of the supporting procedures, the coverage, the automation of its related test plans and the associated tools.

The complexity of new or upgraded systems is initially assessed by **ITSM3 Operations** (based on measurable and verifiable parameters) and then reviewed, modified and validated by DG TAXUD and communicated to the **ITSM3 Operations** contractor at least once a year.

Please refer to the Application and *Platform Complexity Models document [R4]* for the different sets of parameters used for assessing platforms and applications; the document also provides a prevision of application and platform CIs and the preliminary estimated complexity. However, this list is **for information only and it is neither exhaustive nor binding**.

It should be noted that a platform may consist of a unique or several instances deployed and operated independently and which may have different levels of complexity.

DG TAXUD will decide how a platform is divided into instances; this decision will affect the application of the complexity model and hence the classification of the instances. However, any subsequent deployment and use of a COTS in a given platform instance for a reason other than DRP or Availability requirements (synchronisation, back up, clustering, stand by, etc.) will trigger its consideration as a subsequent instance.

On the contrary, if one or several COTS are deployed more than once within a platform instance for reasons of ensuring the Quality of Service (service window, availability or disaster recovery) then the instance will still be considered as one.

The application complexity classification is split into **3** categories: **Low**, **Medium**, **and High**.

⚠ The complexity classifications of some CIs may fall outside of these values and are "**Too low**" or "**Too high**". These CIs will be covered, respectively, by Continuous (Fixed price) services and On Demand activities.

Please refer to the CI inventory, ref: CI Inventory for the full list of CIs, their QoS, Service Window and complexity classification.

8   Methodology Requirements

It is the responsibility of the **ITSM3 Operations** contractor to propose an adequate methodology to carry out the activities and deliver the required products and services, while meeting the desired level of quality.

The Commission wishes to draw to the attention of the **ITSM3 Operations** contractor that a DG TAXUD project with its multi-partners dimension and its distributed responsibility scheme imposes specific constraints on the methodology to be followed and the technology to be applied in order to achieve success.

In case of a conflict between the applicable technical specifications, the **ITSM3 Operations** contractor should report the conflict giving priorities to TEMPO over the international standards and ITIL.

8.1   Approach to the quality plan (FQP)

DG TAXUD manages large-scale projects, which rely on FWCs for resourcing.

It has become a proven good practice for a contractor to produce, or take over and adapt, a Framework Quality Plan (FQP) which is applicable at the level of the FWC and which defines the details of the working relationship between the contractor and the Commission as well as the quality expectations for the scope and duration of the FWC.

Therefore, a FWC gives rise to a Framework Quality Plan.

The **ITSM3 Operations** contractor will take over the FQP from the incumbent ITSM2 Lot 1 contractor. During the pre-Takeover activity, the **ITSM3 Operations** contractor will only document how he will be implement this FQP and will list the major deviations.

During the Takeover activities, the **ITSM3 Operations** contractor will update the ITSM2 Lot 1 FQP. This FQP will be delivered, for SfR, at the end of the Takeover.

9   Staffing & Infrastructure Requirements

9.1   Staffing

It is the **ITSM3 Operations** contractor's responsibility to propose an adequate team organisation (including team structure, set of profiles, team sizing, responsibility allocation and reporting lines) and staffing in order to perform the activities and deliver the products and services defined in full compliance with the quality requirements.

The **ITSM3 Operations** contractor must take into account the following success factors related to the organisation:

- Proximity: continuous interaction of **ITSM3 Operations** with DG TAXUD on operational aspects is essential for ensuring an adequate service to the final users. For this interaction to be efficient, it needs to be frequently in person and realised by staff at the adequate technical and/or hierarchical level[24].

- Anticipation: the appropriate structure must be set up to allow the organisation to identify potential operational issues related to the service and launch the necessary mitigation actions both at management and operational level.

- Adaptability: the organisation while based on standardised services should be able to conduct and adapt the modus operandi or the distribution of resources to better adapt to the business requirements or to a change of operational circumstances.

- Coordination: the organisation must function as a fully coordinated body allowing the final user to see the contractor as a unique and fully coherent body interfacing via the provision of the service.

- Scalability: the organisation must be capable of temporarily or indefinitely increase the resources invested in a given service or domain of activity in response to punctual or structural needs.

The **ITSM3 Operations** contractor will **have to staff in line** with the team organisation that the **ITSM3 Operations** contractor will propose in his **tender**.

The **ITSM3 Operations** contractor must include sufficient seniority in the team that will ensure the Continuous Services and the teams that will be associated to the On Demand activities. This seniority is not only in (number of years of) experience, but above all, in terms of skills and capacity to lead the teams and to keep a broad knowledge and overview of all activities undertaken by the **ITSM3 Operations** contractor.

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[24] This means that the staff interacting with DG TAXUD to address operational issues needs to be technically knowledgeable, numerous enough to be aware of the operational situation in detail on a given domain and with the appropriate managerial capacity to launch operational measures.

Both for key roles involved in the provision of Continuous services and for profiles involved in On-Demand services, Proximity extramuros may be required. Proximity extramuros is defined in the sense that the staff fulfilling the specific role or profile is capable of participating in a meeting or interview at DG TAXUD premises on short notice (less than 4 working hours (or 1/2 working day) of being required).

DG TAXUD can at, any point in time in the duration of the contract, request the CVs of the assigned staff. DG TAXUD reserves the right to request replacements of staff not in line with the present resource requirements or as proposed in the tender.

By bidding for this call for tenders, the contractor commits to ensure full transparency to DG TAXUD regarding its staffing. The number of staff, names, location, qualifications, etc. shall be communicated to DG TAXUD on a regular basis and/or at specific request. DG TAXUD will fully respect the provisions of article I.8.1 of the draft FWC regarding data protection.

⚠ Each staff member assigned by the **ITSM3 Operations** contractor must sign a declaration of confidentiality and a compliance statement to the security rules in compliance with article III.2.2. of the General terms and conditions for IT contracts, annexed to the Framework Contract, article 4 of the Commission decision on protection of information systems [C (2006) 3602] and article 23 of Regulation (EC) N° 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data.

9.1.1 KEY ROLES FOR CONTINUOUS SERVICES

To ensure the aforementioned condition in the Continuous Services, a series of key roles are defined below to be fulfilled by sufficiently experienced and skilled staff and which are submitted to "SQI-050 - Measures that the team in charge of the ITSM3 Operations contractor is staffed with the key personnel as proposed in the ITSM3 Operations tender and that they are allocated and remain staffed to the activity as of the signature of the first SC – (Direct Liquidated Damages)".

Key roles are defined for continuous services and need to be distinct for the management of project mode (transformations) and operations mode services and are indicated in the table below. Whenever proximity extra muros is required for a given key role it is marked with a (P) after the title of the role.

#	Key Role	Service Block	Minimum Experience (years)		
			3	5	8
General Roles					
G1	Project Executive (P)	SB01			√
G2	Delivery Project Executive (P)	SB01			√
G3	Service Strategy Executive (P)	SB02			√
G4	Risk Manager	SB01		√	

#	Key Role	Service Block	Minimum Experience (years)		
			3	**5**	**8**
G5	Quality Manager	**SB01**		√	
Operations Roles					
O1	Operations Manager	**SB01**		√	
O2	Demand Manager (P)	**SB01**		√	
O3	Business Thread Liaison Customs (P)	**SB08**	√		
O4	Business Thread Liaison Direct Taxation (P)	**SB08**	√		
O5	Business Thread Liaison Indirect Taxation (P)	**SB08**	√		
O6	Business Thread Liaison Excise (P)	**SB08**	√		
O7	Business Thread Liaison Recovery of Claims(P)	**SB08**	√		
O8	Business Thread Liaison T€S Platforms (P)	**SB08**	√		
O9	Service Desk Manager	**SB04**		√	
O10	Security Service Manager (P)	**SB10**		√	
O11	Infrastructure Manager	**SB05**		√	
O12	Delivery Manager Infrastructure	**SB05**		√	
O13	Platforms Manager	**SB06**		√	
O14	SPOC CCN	**SB06**	√		
O15	SPOC SOA Platforms	**SB06**	√		
O16	SPOC UUM&DS	**SB06**	√		
O17	Application Manager	**SB07**		√	
O18	Application SPOC Customs	**SB07**	√		
O19	Application SPOC Direct Taxation	**SB07**	√		
O20	Application SPOC Indirect Taxation	**SB07**	√		
O21	Application SPOC Excise	**SB07**	√		
O22	Application SPOC Recovery of Claims	**SB07**	√		
O23	Service Level Manager	**SB09**		√	
O24	Incident Manager	**SB09**	√		
O21	Problem Manager	**SB09**	√		
O26	Release Manager	**SB09**	√		
Transformation Roles					
T1	Service Strategy Manager	**SB02**			√
T2	Service Change Manager	**SB02**		√	
T3	Capacity Manager	**SB02**		√	
T4	Portfolio Manager (P)	**SB02**		√	
T5	Transformations Enterprise Architect	**SB02**	√		
T6	Transformations Business Architect	**SB02**	√		
T7	Infrastructure Solution Architect	**SB02**	√		
T8	Platform/Middleware Solution Architect	**SB02**	√		
T9	DB Solution Architect	**SB02**	√		
T10	Security Architect	**SB02**	√		
T11	SMT Tools Architect	**SB03**	√		

Table 7: Continuous Services Key Roles & required proximity extramuros & experience levels

The table above details the minimum required experience for each specific key role. It will be the responsibility of the **ITSM3 Operations** contractor to demonstrate that the staff assuming any function related to the key roles has the required years of experience in equivalent functions.

An overview of how the key roles could be distributed among the different services is shown in Figure 7 – Key roles.
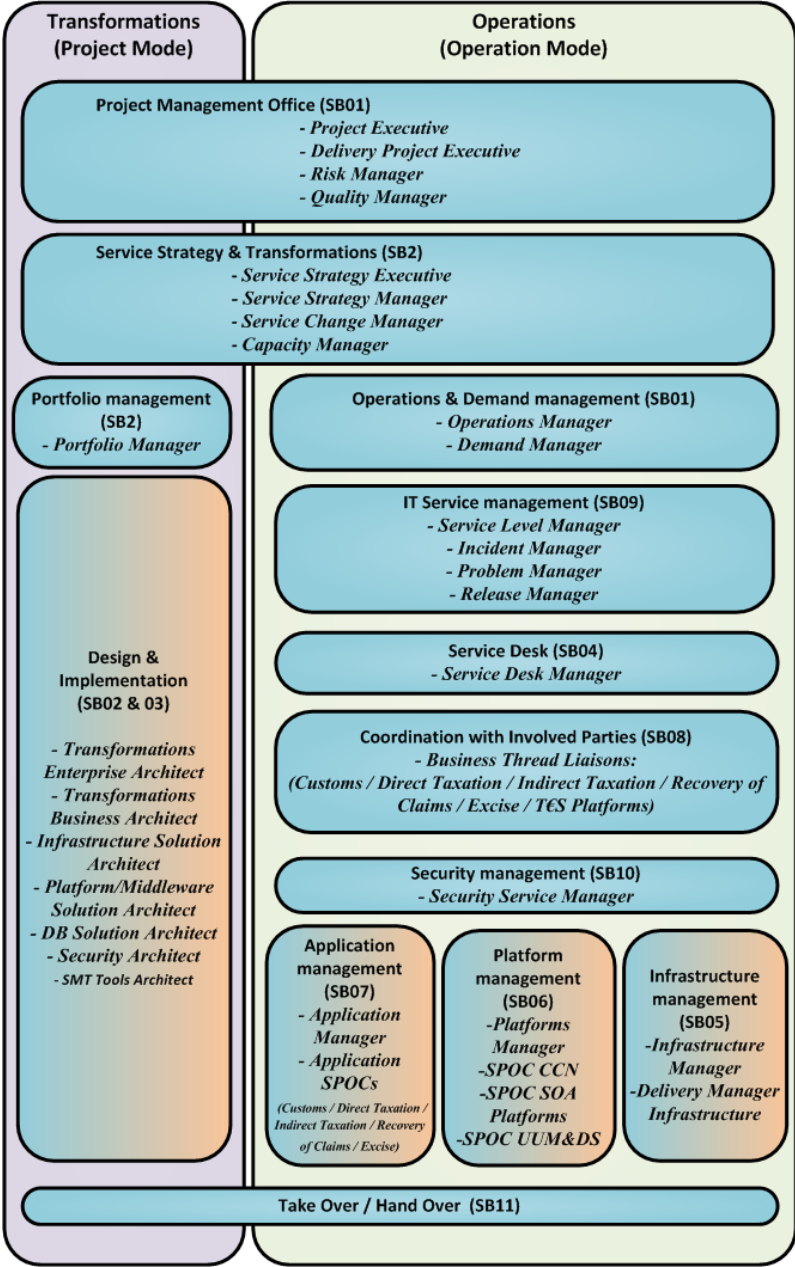

Figure 7 – Key roles

9.1.2 PROFILES FOR ON DEMAND SERVICES

The **ITSM3 Operations** contractor shall ensure the availability of the required staff for the realisation of any On Demand SC or RfA according to the profiles proposed in its offer. The unavailability of staff of the required profile or experience will in no case be accepted as justification for the delay on the start of a new SC or RfA or on the completion / delivery of a project / deliverable.

The **ITSM3 Operations** contractor profiles available for On Demand services must cover the whole spectrum of On Demand services to be provided and include at least as many profiles as indicated on each of the following levels of seniority. An expertise in a given field can be proposed at two different levels of seniority and will count as different profiles.

- **Senior Profiles:** correspond to profiles requiring a minimum of 8 years experience in the main field (e.g. project manager, infrastructure architect, etc.) covered by the profile (min. 5 profiles).
- **Medium Profiles:** correspond to profiles requiring a minimum of 5 years experience in the main field (e.g. project manager, infrastructure architect, etc.) covered by the profile (min. 10 profiles).
- **Junior Profiles:** correspond to profiles requiring a minimum of 3 years experience in the main field (e.g. project manager, infrastructure architect, etc.) covered by the profile (min. 15 profiles)
- **Novel Profiles:** correspond to profiles not requiring a minimum experience in the main field (e.g. project manager, infrastructure architect, etc.) however requiring 1 year experience in similar or related services (no minimum).

It will be the responsibility of the **ITSM3 Operations** contractor during the execution of the contract to demonstrate for each person proposed in the context of a Specific Contract or RfA that he/she meets the specification(s) of the profile.

For all profiles, the **ITSM3 Operations** contractor will ensure that all staff holds the relevant technical certification, corresponding to the assignment and to the required level of experience.

All staff of any profile must have (or acquire within the first **8** weeks of their assignment) knowledge of ITIL and SMT.

The **ITSM3 Operations** contractor must ensure along the duration of the contract that technical expertise that is in line with DG TAXUD's technical development/operations environment is sufficiently available and covered in its profiles. Expertise with all technologies used by DG TAXUD (e.g. ARIS, ORACLE, Solaris, Linux, HP SMT, IBM MQSeries, TUXEDO, WebLogic, Apache, Cisco, BigIP, SSG and all other existing technologies) is a must unless the support on the specific technology is adequately outsourced by the **ITSM3 Operations** contractor to a third party competent in that technology.

9.2 Languages and translation

All deliverables must be delivered in British English unless otherwise specified. Staff proposed must be capable of communicating, orally and in writing, in this language.

During meetings (bilateral, workshops, steering Committee, etc.), either French or English will be spoken.

On DG TAXUD's request, the **ITSM3 Operations** contractor may have to translate certain deliverables (in particular the ones intended for the Member States, e.g. some key project deliverables, communication leaflets, newsletters, etc.). Translations might also relate to (web) interfaces of tools (e.g. portal).

9.3 Office infrastructure

The **ITSM3 Operations** contractor must provide the necessary office infrastructure in its premises for the successful implementation of the tasks. It is the **ITSM3 Operations** contractor's responsibility to define and size this infrastructure.

The tenderer is requested to take into account the office (automation) infrastructure outlined below, but to keep the considered "state-of-the-art" infrastructure from a security and operational excellence point of view for all ITSM teams during the FWC on all sites where the **ITSM3 Operations** contractor is based:

- Secured room(s) for hosting the staff;
- Secured meeting room(s) that are dedicated to **ITSM3 Operations** activities (capacity for up to 15 people) with phone/internet access available to DG TAXUD and/or other contractors;
- An adequate office environment, including phone, fax, scanner, CD-ROM/DVD production, laser colour printing, secure document shredder and colour photocopying facilities;
- An adequate phone/virtual conferencing facility accessible from the internet;
- One industry standard PC (personal computer) per staff member with office automation tools which must be inter-operable with those currently used in DG TAXUD;
- Suitable printing, file and Web server facilities;
- Individual and functional e-mail addresses and web accesses for each person.

⚠️ The **ITSM3 Operations** contractor has to ensure that the security rights management is handled properly so that only authorised users can access the secure zone hosting the above-mentioned facilities and people.

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9.4   Operational infrastructure

The **ITSM3 Operations** contractor must host, install, configure, maintain, operate, monitor and administer the necessary infrastructure in his premises for the successful execution of all the tasks.

9.5   Missions

Team members involved in the project may be required to undertake missions in the Member States and in the Candidate Countries/Third Countries to assist Commission officials in their tasks, or to attend meetings and workshops abroad.

The **ITSM3 Operations** contractor's travel and subsistence expenses for the missions to the Commission premises (Brussels and Luxembourg, including DG TAXUD Data Centres) and/or to any other contractor's premises within a distance of ≤ 50 Km from the Commission's premises, including DG TAXUD Data Centres) are to be included in the Fixed Price elements. All missions in the context of the Take Over activities are also covered price element P.11.1.

Travel and subsistence expenses for **all other missions** will be reimbursed and calculated according to the rules specified in the FWC. The Commission will quote the costs of such missions in a separate fixed budgetary provision.

9.6   Training, workshop and demonstration

The **ITSM3 Operations** contractor's travel and subsistence expenses for the training sessions held at the Commissions's premises (Brussels and Luxembourg) and/or at any other contractor's premises within a distance of ≤ 50 Km from the Commission's premises) are to be included in the Fixed Price elements.

Travel and subsistence expenditure for all other sessions will be reimbursed and calculated according to the rules specified in the FWC. The Commission will quote the costs of such sessions in a separate fixed budgetary provision.

9.7   Place of work

The work will be performed primarily at the **ITSM3 Operations** contractor's premises. Meetings with national administrations are generally held at the Commission's premises.

For security reasons, the services must be rendered from the territory of the European Union.

During the contract and on request from the Commission, missions or consultancy services could be organised inside or outside the Commission's premises e.g. in DG TAXUD, National Administrations, other contractors premises, other supplier premises, etc.

In certain cases DG TAXUD may require that part of the services (typically those that require frequent interaction with DG TAXUD or related stakeholders) are assumed by proximity extramuros profiles, especially within Service Block 01 and Service Block 02. The main place of work of this staff must be located such that they can be present in a meeting at DG TAXUD premises on short notice (in less than four 4 working hours (1/2 day) of being required).

Travel and subsistence expenses for all missions shall be reimbursed according to the rules specified in the FWC. The **ITSM3 Operations** contractor has to report on the consumption of travel and subsistence budget in the MPR. All travel requests and missions put by the contractor have to be authorised by DG TAXUD prior to travelling. A mission/travel request authorisation process shall be put in place.

10 Service Level Agreement (SLA)

10.1 Purpose

This SLA commits the **ITSM3 Operations** contractor to fulfilling the services delivered to DG TAXUD.

The objective is to provide a framework for the delivery of high quality services that meet the needs of DG TAXUD and the customers/users of DG TAXUD (e.g. the National Administrations).

The SLA is closely related to the Service catalogue. The service levels corresponding to each service must be aligned between both documents. The information relevant to the final service consumer is clearly stated within the service catalogue.

10.2 Intended readership

The target audience for this document includes the parties to this SLA and their representative bodies, and other interested parties, e.g.:

- European Commission and their representative DG TAXUD;
- The **ITSM3 Operations** contractor and their representatives;
- The **ITSM3 Operations** contractor, fulfilling the Quality Check responsibilities (for the parts that do not contain information related to contractual aspects).

10.3 Agreement period

This SLA will start at the signature of the first SC. This SLA remains valid as long as the FWC is in force or until it is superseded by a revised SLA.

In each SC, a set of indicators will be selected by DG TAXUD and their weight will be defined for each of those that will allow calculating the quality of the services delivered for that SC and eventual liquidated damages if service level is not achieved. All indicators should be monitored and reported upon in the Monthly Progress Report (MPR).

10.4 Service description

The SLA covers the continuous and on-demand services described in the **Technical Annex of each SC signed under the FWC**. The service provider commits himself to deliver those services according to the FWC and SC.

The SLA shall be created and maintained in the context of Service Block 02 and aligned with the overall service strategy.

The Service Provider shall not be liable for any delay in fulfilling or for the failure to fulfil the obligations resulting from this SLA, if this delay or failure is caused by circumstances, which could not have been reasonably foreseen by the parties (see definition of "boundary conditions"). If the Service Provider is not able to fulfil its obligations or is not able to fulfil

them in time, he shall immediately inform the Service Requester in writing of the situation and of its expected duration.

10.5   Approval of the SLA

The prerequisite for the acceptance of the SLA is the signature of the FWC. Its entry into force will be associated with the signature of the related SC.

10.6   Changes to the SLA

There will be no changes to this SLA during the lifetime of the SC except via an amendment to the FWC and/or SC.

10.7   Calculation of Specific Quality Indicators

10.7.1   CALCULATION OF THE SQI

SQIs are calculated in general using the following steps in sequence. Note that the indicator related to availability defined later in this document does not follow this general approach.

Collect Measurement of QoS (M)
The Measurement M (or set of measurements) of QoS has to be collected and possibly combined according to the definition of the Measurement of the QoS.

If the minimum number of measurements required over the Application period to make the SQI computable is not attained, then the Measurement (hence SQI) has no applicable value for that application period.

Normalise the Measurement (M_{norm})
For a given Measurement M, the related normalised Measurement M_{Norm} is obtained by applying the following formula:

$$M_{Norm} = \frac{M - Target}{Target - Limit}$$

where the M, Target and Limit are values expressed in the same unit and are part of the SQI definition.

SQI_{prof} as a result of the Profiling function
Once the Measurement has been normalised to M_{Norm}, it is **profiled** (using the *f* function) to a SQI_{prof}, which has the following effects:

It limits the SQI_{prof} upwards, versus irrelevant over-performance of QoS above target;

It defines linear proportionality between the SQI_{prof} and the under-performance of QoS below Limit;

It sets a grace period (interval defined by the Target and the Limit) which is setting the SQI_{prof} to a neutral level, immunising the SQI from any positive or negative factor.

The profiling function (*f*) is applied on all occurrences of the normalised Measurements. Those calculations are provided in detail in the SQI report attached to the Monthly Project Report (MPR).

The profiling function (*f*) is defined as follows:

If $\quad M_{Norm} > 0 \Rightarrow SQI_{prof} = f(M_{Norm}) = 1 \quad$ i.e. the QoS leads to a Measurement above *Target*

If $\quad -1 < M_{Norm} \le 0 \Rightarrow SQI_{prof} = f(M_{Norm}) = 0 \quad$ i.e. the QoS leads to a Measurement between *Target* and *Limit* – **neutral grace window**

If $\quad M_{Norm} = -1 \Rightarrow SQI_{prof} = f(M_{Norm}) = -1 \quad$ i.e. the QoS leads to a Measurement on *Limit*

If $\quad M_{nom} < -1 \Rightarrow SQI_{prof} = f(M_{nom}) = M_{nom} \quad$ i.e. the QoS leads to a Measurement below the *Limit*

This profiling function is plotted in the figure below:
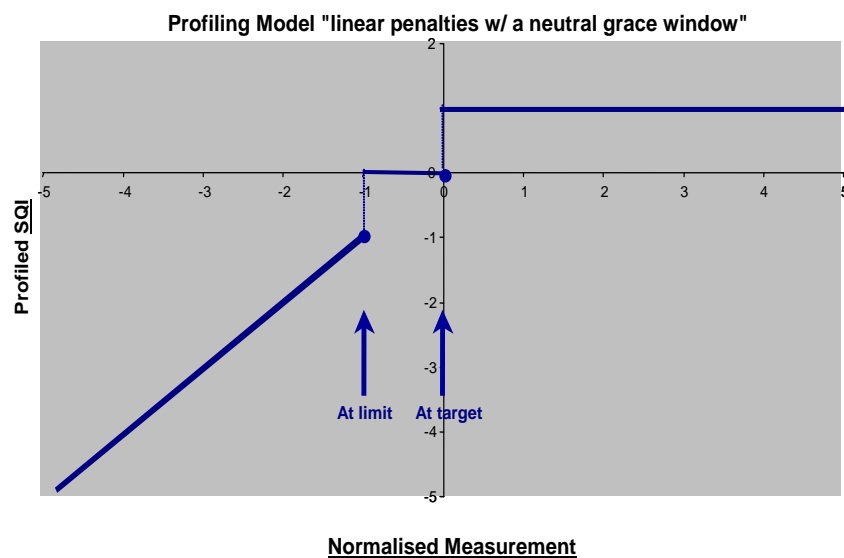
Figure 8 - SQI Profiling function representation

Averaged profiled SQI

When a single SQI_{prof} is used to measure the QoS of multiple occurrences of services/delivery of the same nature, it is called an "averaged SQI", which is made of the average of all multiple-SQI_i according to the following formula:

$$SQI_{\mathrm{prof}} = \frac{\sum_{i}^{n} SQI_{prof_i}}{n} = \frac{\sum_{i}^{n} f(\underline{M_{\mathrm{norm_1}}})}{n}$$

where *n* is the number of occurrences of the given SQI$_{\mathrm{prof}}$ during the application period.

10.7.2 THE GENERAL QUALITY INDICATOR

The GQI is the weighted average of the SQIs specified in the SC /RfA as a subset of all the SQIs defined in SC / RfA. It allows a global assessment of the QoS for all services and deliverables.

10.7.3 DETERMINATION OF WEIGHTS

The choice of the SQI contributing in the GQI calculation and their respective weights will be defined in the SC / RfA. DG TAXUD reserves its rights to change the SQI combination and weights in the GQI for each contract, as an instrument to force the non-regression and continuous improvement of the quality of service.

10.8 Service delivery performance and reporting

The Service Level Management is the process of defining, agreeing, documenting and managing the levels of IT Services to meet the required quality. The **ITSM3 Operations** contractor manages this SLA and provides DG TAXUD with the following commitments on quality of service and user satisfaction in order to increase confidence that DG TAXUD services quality level will be met.

10.8.1 SERVICE LEVEL REPORTING

10.8.1.1 Monitor and report services delivered by the contractor to DG TAXUD in compliance with this SLA

The **ITSM3 Operations** contractor commits to monitor all necessary services in order to be able to calculate the SQIs as defined in this SLA.

The detailed method for monitoring, logging and delivering the necessary data will be mainly described by the **ITSM3 Operations** contractor in the FQP.

10.8.1.2 Monthly progress and service reporting

The MPR will contain the full calculations for all SQIs described in this SLA, including the normalisation, profiling, and calculation of the provisional value of the GQI. The service statistics will contain the actual values used to calculate the SQIs and the KPIs (cf. Section 5.1).

10.8.1.3 Monitor and report on evolutive maintenance of the SLA

The **ITSM3 Operations** contractor will maintain the SLA, monitor and report on it as described above.

The **ITSM3 Operations** contractor will monitor and propose updates to this SLA when needed. All evolutions of this SLA **must be part of an amendment to the SC and/or FWC**, and must follow all rules set by the Commission in this case.

10.8.2 REPORTING OF EXCEPTIONS AND DEVIATIONS FROM SERVICE LEVELS

In case of exceptions or deviations from the expected service levels, the **ITSM3 Operations** contractor will escalate the issue to the Commission immediately. The **ITSM3 Operations** contractor will also propose solutions for the incident(s) in question, and propose solutions to avoid such incidents in the future. All procedures related to this must be described in the FQP.

In case of major issue or dispute between the customer and the **ITSM3 Operations** contractor, a full escalation procedure should be described in the FQP. The escalation path should include at least the service level manager, programme manager and DG TAXUD A5 Head of Unit.

10.9   DG TAXUD responsibilities

DG TAXUD will ensure that the **ITSM3 Operations** contractor has timely access to appropriate DG TAXUD personnel and will arrange for **ITSM3 Operations** contractor personnel to have suitable and safe access to the relevant DG TAXUD facilities and systems (e.g. CIRCA, meeting facilities when required).

10.10 Service level quality indicators

All "SQI Target", "SQI Limit" and "SQI Minimum number of Measurements" are monthly values unless explicitly specified otherwise.

10.10.1 SQI-001 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC)[25] IN THE PROD ENVIRONMENT FOR ALL THE "5D-13H" SERVICE WINDOW AND THE "NORMAL" QOS

SQI Attribute	SQI Attribute description
SQI Name	SQI-001
SQI Description	IT services availability for the Platform Instances and Application CIs identified as: **Environment: "PROD"** **QOS: "Normal"** **Service Window: "5d-13h"**
Unit of Measurement of the SQI	%
SQI Target	99.6%
SQI Limit	99.3%
SQI Calculation	**Step 1:** The raw data availability is that of KPI-004 corresponding to the daily data for each CI, within this environment and that is identified with this QoS and this Service Window. **Step 2:** The raw data of the five CIs with the worst values of each day are averaged in order to identify the daily average availability. **Step 3:** The lowest daily value calculated in step 2 along the corresponding month is used to profile the SQI. *Note: If in step 2 there are less than 5 CIs to average, a value of 100% will be used to complement each missing CI.* *Note: If an unavailability of a platform causes also the unavailability of one or more applications, all affected CIs will count for the 5 to be considered in step 2.* **Step 1: Raw data per indentified CI:** Corresponds to KPI-003 values matrix. **Step 2: Calculate the average of the 5 lowest CAVA for each day of the reporting period** Using the KPI-004 matrix produced in step 1 for the given month, the values of the five CIs with lowest availability of each day are averaged in order to identify the daily lowest availability. **Step 3: Calculate the lowest of the results of Step 2** The lowest daily value will correspond to the SQI value for the month. SQI = LOWEST(**daily values calculated in step 2**)

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[25] See Section 4.1.2 "Service Window & QoS" for a definition of Configuration Item (CI)

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SQI Attribute	SQI Attribute description
Applicable services/deliverables	Please refer to the SQI Description above. The lifecycle of the managed CIs follows the lifecycle of the applications and platform instances. Please refer to section 5.1 & 5.1.1 on the definition of CIs and applicable Quality of Service
Minimum number of Measurements	1

⚠ As the raw data used for this SQI is the data from KPI-004, the calculation of the availability shall not include planned and agreed unavailability resulting from a scheduled maintenance or in the occurrence of a force majeure. The classification of an event as force majeure needs to be requested by the **ITSM3 Operations** contractor to DG TAXUD.

It is the responsibility of the **ITSM3 Operations** contractor to plan any scheduled unavailability in such a way that it affects customers as little as possible (outside of service window for the CIs tagged as 5d-13h and 7d-13h service window, and on Sundays for CIs tagged as 7d-24h service window). Agreed, planned unavailability shall only be granted in cases that continuity may not be achieved due to human or technical constraints that may not be overcome, or due to requests of National Administrations.

10.10.2 SQI-002 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE CONF/BACKUP ENVIRONMENT FOR ALL THE "5D-13H" SERVICE WINDOW AND THE "NORMAL" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-002

- SQI Description value: Environment by "CONF/BACKUP"

10.10.3 SQI-003 - MEASURES THE AVAILABILITY OF CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN SERVICED ENVIRONMENTS OTHER THAN PROD/CONF/BACKUP FOR ALL THE "5D-13H" SERVICE WINDOW AND THE "NORMAL" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-003

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- SQI Description value: Environment by "Serviced Environment other than Prod/Conf/Back up"

Please refer to section (5.1.1) for definition of "Serviced Environment".

10.10.4 SQI-004 - MEASURES THE AVAILABILITY OF ALL THE PLATFORM INSTANCES AND APPLICATIONS (CIs) IN THE PROD ENVIRONMENT FOR ALL THE "5D-13H" SERVICE WINDOW AND THE "EXTENDED" QOS

Please refer to 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-004

- SQI Description value: QOS by "Extended"

- Target value by:99.8%

- Limit value by: 99.5%

10.10.5 SQI-005 - MEASURES THE AVAILABILITY OF ALL CIs (PLATFORM INSTANCE, APPLICATION, ETC) IN THE CONF/BACKUP ENVIRONMENT FOR ALL THE "5D-13H" SERVICE WINDOW AND THE "EXTENDED" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-005

- SQI Description value: Environment by "CONF/BACKUP"

- SQI Description value: QOS by "Extended"

- Target value by: 99.8%

- Limit value by: 99.5%

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10.10.6 SQI-006 - MEASURES THE AVAILABILITY OF CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN SERVICED ENVIRONMENTS OTHER THAN PROD/CONF/BACKUP FOR ALL THE "5D-13H" SERVICE WINDOW AND THE "EXTENDED" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-006

- SQI Description value: Environment by "Serviced Environment other than Prod/Conf/Back up"

- SQI Description value: QOS by "Extended"

- Target value by: 99.8%

- Limit value by: 99.5%

Please refer to section (5.1.1) for definition of "Serviced Environment".

10.10.7 SQI-007 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE PROD ENVIRONMENT FOR ALL THE "5D-13H" SERVICE WINDOW AND THE "HIGH AVAILABILITY" QOS

Please refer to 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-007

- SQI Description value: QOS by "High Availability"

- Target value by:99.9%

- Limit value by: 99.7%

10.10.8 SQI-008 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE CONF/BACKUP ENVIRONMENT FOR ALL THE "5D-13H" SERVICE WINDOW AND THE " HIGH AVAILABILITY " QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-008

- SQI Description value: Environment by "CONF/BACKUP"

- SQI Description value: QOS by " High Availability "

- Target value by: 99.9%

- Limit value by: 99.7%

10.10.9 SQI-009 - MEASURES THE AVAILABILITY OF CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN SERVICED ENVIRONMENTS OTHER THAN PROD/CONF/BACKUP FOR ALL THE "5D-13H" SERVICE WINDOW AND THE "HIGH AVAILABILITY" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-009

- SQI Description value: Environment by "Serviced Environment other than Prod/Conf/Back up"

- SQI Description value: QOS by " High Availability "

- Target value by: 99.9%

- Limit value by: 99.7%

Please refer to section (5.1.1) for definition of "Serviced Environment".

10.10.10 SQI-010 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE PROD ENVIRONMENT FOR ALL THE "7D-13H" SERVICE WINDOW AND THE "NORMAL" QOS

Please refer to 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-010

- SQI Description value: Service Window by "7d-13h"

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10.10.11 SQI-011 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE CONF/BACKUP ENVIRONMENT FOR ALL THE "7D-13H" SERVICE WINDOW AND THE "NORMAL" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-011

- SQI Description value: Environment by "CONF/BACKUP"

- SQI Description value: Service Window by "7d-13h"

10.10.12 SQI-012 - MEASURES THE AVAILABILITY OF CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN SERVICED ENVIRONMENTS OTHER THAN PROD/CONF/BACKUP FOR ALL THE "7D-13H" SERVICE WINDOW AND THE "NORMAL" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-012

- SQI Description value: Environment by "Serviced Environment other than Prod/Conf/Back up"

- SQI Description value: Service Window by "7d-13h"

Please refer to section (5.1.1) for definition of "Serviced Environment".

10.10.13 SQI-013 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE PROD ENVIRONMENT FOR ALL THE "7D-13H" SERVICE WINDOW AND THE "EXTENDED" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-013

- SQI Description value: Service Window by "7d-13h"

- SQI Description value: QOS by "Extended"

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- Target value by: 99.8%

- Limit value by: 99.5%

10.10.14 SQI-014 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE CONF/BACKUP ENVIRONMENT FOR ALL THE "7D-13H" SERVICE WINDOW AND THE "EXTENDED" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-014

- SQI Description value: Environment by "CONF/BACKUP"

- SQI Description value: Service Window by "7d-13h"

- SQI Description value: QOS by "Extended"

- Target value by: 99.8%

- Limit value by: 99.5%

10.10.15 SQI-015 - MEASURES THE AVAILABILITY OF CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN SERVICED ENVIRONMENTS OTHER THAN PROD/CONF/BACKUP FOR ALL THE "7D-13H" SERVICE WINDOW AND THE "EXTENDED" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-015

- SQI Description value: Environment by "Serviced Environment other than Prod/Conf/Back up"

- SQI Description value: Service Window by "7d-13h"

- SQI Description value: QOS by "Extended"

- Target value by: 99.8%

- Limit value by: 99.5%

Please refer to section (5.1.1) for definition of "Serviced Environment".

10.10.16 SQI-016 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE PROD ENVIRONMENT FOR ALL THE "7D-13H" SERVICE WINDOW AND THE "HIGH AVAILABILITY" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-016

- SQI Description value: Service Window by "7d-13h"

- SQI Description value: QOS by "High Availability"

- Target value by: 99.9%

- Limit value by: 99.7%

10.10.17 SQI-017 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE CONF/BACKUP ENVIRONMENT FOR ALL THE "7D-13H" SERVICE WINDOW AND THE "HIGH AVAILABILITY" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-017

- SQI Description value: Environment by "CONF/BACKUP"

- SQI Description value: Service Window by "7d-13h"

- SQI Description value: QOS by " High Availability "

- Target value by: 99.9%

- Limit value by: 99.7%

10.10.18 SQI-018 - MEASURES THE AVAILABILITY OF CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN SERVICED ENVIRONMENTS OTHER THAN PROD/CONF/BACKUP FOR ALL THE "7D-13H" SERVICE WINDOW AND THE "HIGH AVAILABILITY" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-018

- SQI Description value: Environment by "Serviced Environment other than Prod/Conf/Back up"

- SQI Description value: Service Window by "7d-13h"

- SQI Description value: QOS by " High Availability "

- Target value by: 99.9%

- Limit value by: 99.7%

Please refer to section (5.1.1) for definition of "Serviced Environment".

10.10.19 SQI-019 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE PROD ENVIRONMENT FOR ALL THE "7D-24H" SERVICE WINDOW AND THE "NORMAL" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-019

- SQI Description value: Service Window by "7d-24h"

10.10.20 SQI-020 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE CONF/BACKUP ENVIRONMENT FOR ALL THE "7D-24H" SERVICE WINDOW AND THE "NORMAL" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-020

- SQI Description value: Environment by "CONF/BACKUP"

- SQI Description value: Service Window by "7d-24h "

10.10.21 SQI-021 - MEASURES THE AVAILABILITY OF CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN SERVICED ENVIRONMENTS OTHER THAN PROD/CONF/BACKUP FOR ALL THE "7D-24H" SERVICE WINDOW AND THE "NORMAL" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-021

- SQI Description value: Environment by "Serviced Environment other than Prod/Conf/Back up"

- SQI Description value: Service Window by "7d-24h"

Please refer to section (5.1.1) for definition of "Serviced Environment".

10.10.22 SQI-022 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE PROD ENVIRONMENT FOR ALL THE "7D-24H" SERVICE WINDOW AND THE "EXTENDED" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-022

- SQI Description value: Service Window by "7d-24h"

- SQI Description value: QOS by "Extended"

- Target value by: 99.8%

- Limit value by: 99.5%

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10.10.23 SQI-023- MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE CONF/BACKUP ENVIRONMENT FOR ALL THE "7D-24H" SERVICE WINDOW AND THE "EXTENDED" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-023

- SQI Description value: Environment by "CONF/BACKUP

- SQI Description value: Service Window by "7d-24h"

- SQI Description value: QOS by "Extended"

- Target value by: 99.8%

- Limit value by: 99.5%

10.10.24 SQI-024 - MEASURES THE AVAILABILITY OF CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN SERVICED ENVIRONMENTS OTHER THAN PROD/CONF/BACKUP FOR ALL THE "7D-24H" SERVICE WINDOW AND THE "EXTENDED" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-024

- SQI Description value: Environment by "Serviced Environment other than Prod/Conf/Back up"

- SQI Description value: Service Window by "7d-24h"

- SQI Description value: QOS by "Extended"

- Target value by: 99.8%

- Limit value by: 99.5%

Please refer to section (5.1.1) for definition of "Serviced Environment".

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10.10.25 SQI-025 - MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE PROD ENVIRONMENT FOR ALL THE "7D-24H" SERVICE WINDOW AND THE " HIGH AVAILABILITY" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-025

- SQI Description value: Service Window by "7d-24h"

- SQI Description value: QOS by "High Availability"

- Target value by: 99.9%

- Limit value by: 99.7%

10.10.26 SQI-026- MEASURES THE AVAILABILITY OF ALL CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN THE CONF/BACKUP ENVIRONMENT FOR ALL THE "7D-24H" SERVICE WINDOW AND THE " HIGH AVAILABILITY" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-026

- SQI Description value: Environment by "CONF/BACKUP

- SQI Description value: Service Window by "7d-24h"

- SQI Description value: QOS by "High Availability"

- Target value by: 99.9%

- Limit value by: 99.7%

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10.10.27 SQI-027 - MEASURES THE AVAILABILITY OF CIS (PLATFORM INSTANCE, APPLICATION, ETC) IN SERVICED ENVIRONMENTS OTHER THAN PROD/CONF/BACKUP FOR ALL THE "7D-24H" SERVICE WINDOW AND THE "HIGH AVAILABILITY" QOS

Please refer to Section 10.10.1 – "SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS" replacing:

- SQI ID value by: SQI-027

- SQI Description value: Environment by "Serviced Environment other than Prod/Conf/Back up"

- SQI Description value: Service Window by "7d-24h"

- SQI Description value: QOS by "High Availability"

- Target value by: 99.9%

- Limit value by: 99.7%

Please refer to section (5.1.1) for definition of "Serviced Environment".

10.10.28 SQI-028 - MEASURES THE RECOVERY TIME OF PLATFORM INSTANCES AND APPLICATIONS (CIS) IN THE PROD ENVIRONMENT WITH "NORMAL" QOS

SQI Attribute	SQI Attribute description
SQI Name	SQI-028
SQI Description	IT services recovery time on fail over events of the CIs identified as: **Environment: "PROD"** **QOS: "Normal"** **Service Window: ALL**
Unit of Measurement of the SQI	Minutes
SQI Target	60
SQI Limit	240
SQI Calculation	**Step 1:** The availability raw data is that of KPI-004 corresponding to fail over events per CI on production environments of CI's of QoS identified as "Normal" on any service window. **Step 2:** The value of the event with the worst value of the reporting month will correspond to the monthly values for this SQI. SQI = HIGHEST(**monthly values calculated in step 1**)

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SQI Attribute	SQI Attribute description
Applicable services/deliverables	Please refer to the SQI Description above. Please refer to section 5.1 & 5.1.1 on the definition of CIs and applicable Quality of Service.
Minimum number of Measurements	1

⚠️ The calculation of the availability includes all events of fail over either planned or unplanned. However, certain events can be excluded for the calculation of this SQI if DG TAXUD so decides; this decision can be taken a priori or a posteriori and will be expressed accordingly in the minutes of the BMM.

10.10.29 SQI-029 - MEASURES THE RECOVERY TIME OF PLATFORM INSTANCES AND APPLICATIONS (CIS) IN THE PROD ENVIRONMENT WITH "EXTENDED" QOS

Please refer to Section 10.10.28 – "SQI-020 - Measures the Recovery Time of Platform Instances and applications (CIs) in the Prod environment with "Normal" QOS " replacing:

- SQI ID value by: SQI-029

- SQI Description value: QOS by "Extended"

- Target value by: 30 minutes

- Limit value by: 120 minutes

10.10.30 SQI-030 - MEASURES THE RECOVERY TIME OF PLATFORM INSTANCES AND APPLICATIONS (CIS) IN THE PROD ENVIRONMENT WITH "HIGH AVAILABILITY" QOS

Please refer to Section 10.10.28 – "SQI-020 - Measures the Recovery Time of Platform Instances and applications (CIs) in the Prod environment with "Normal" QOS " replacing:

- SQI ID value by: SQI-030

- SQI Description value: QOS by "High Availability"

- Target value by: 0 minutes

- Limit value by: 30 minutes

10.10.31 SQI-031 - MEASURES THE RESPECT OF THE DEADLINE FOR SENDING FOR REVIEW/ACCEPTANCE (SFR/SFA) A DELIVERABLE FOR WHICH A DELAY WOULD HAVE A LOW IMPACT

SQI Attribute	SQI Attribute description
SQI Name	SQI-031
SQI Description	Measures the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable for which a delay would have a **Low** Impact
Unit of Measurement of the SQI	%
SQI Target	0 delay
SQI Limit	15 working days delay
SQI Calculation	The actual delivery date is the date the deliverable is uploaded on CIRCABC.
	If the deliverable must be uploaded several times on CIRCA for Review:
	• The actual delivery date is the date of the last upload for Review;
	If the deliverable must be uploaded several times on CIRCA for acceptance:
	• The actual delivery date is the date of the last upload for acceptance;
	• For each re-SfA, the number of days to be considered in the calculation of this SQI will be the number of days between the moment the ITSM3 Operations contractor received the IVE_NOK (or the request for re-SfA from DG TAXUD) and the moment the new version of the document has been uploaded on CIRCA.
	The planned delivery date is defined in the last approved version of the DTM for all deliverables.
	The SQI will be calculated for every reporting period.
	The SQI for the reporting period will be normalised, then profiled.
	The SQI value for the final GQI will be an average of all profiled SQIs during the SC.
	SQI = AVERAGE(AD-PD)
	where:
	AD is the actual delivery date of each deliverable, which has been tagged as having a delay impact defined in the SQI Description above, which was actually delivered for Review/Final acceptance during the reporting period.
	and
	PD is the planned delivery date of the deliverable
	Note: if $A_D < P_{D\ then}$ the delay is to be considered as zero.

SQI Attribute	SQI Attribute description
Applicable services/deliverables	Please refer to Section 11– "Services Deliverables" for the classification of delay impacts considered in the calculation of this SQI. In the absence of classification, a deliverable is considered to have a delay impact of **Medium**.
Minimum number of Measurements	1 deliverable

10.10.32 SQI-032 - MEASURES THE RESPECT OF THE DEADLINE FOR SENDING FOR REVIEW/ACCEPTANCE (SFR/SFA) A DELIVERABLE FOR WHICH A DELAY WOULD HAVE A MEDIUM IMPACT

Please refer to Section – "10.10.31" replacing:

- SQI ID value by: SQI-032

- SQI Description value: Impact by: Medium

- SQI Limit value by: 10 working days

10.10.33 SQI-033 - MEASURES THE RESPECT OF THE DEADLINE FOR SENDING FOR REVIEW/ACCEPTANCE (SFR/SFA) A DELIVERABLE FOR WHICH A DELAY WOULD HAVE A HIGH IMPACT

Please refer to Section – "10.10.31 SQI-031 - Measures the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable for which a delay would have a Low Impact" replacing:

- SQI ID value by: SQI-033

- SQI Description value: Impact by: High

- SQI Limit value by: 5 working days

10.10.34 SQI-034 - MEASURES THE RESPECT OF THE DEADLINE FOR SENDING FOR REVIEW/ACCEPTANCE (SFR/SFA) A DELIVERABLE FOR WHICH A DELAY WOULD HAVE A MAJOR IMPACT

Please refer to Section – 10.10.31 SQI-031 - Measures the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable for which a delay would have a Low Impact replacing:

- SQI ID value by: SQI-034

- SQI Description value: Impact by: Major

- SQI Limit value by: 1 working days

10.10.35 SQI-035 - MEASURES THAT ACTIONS AGREED WITH DG TAXUD HAVE BEEN IMPLEMENTED WITHIN THE GIVEN TIMEFRAME.

SQI Attribute	SQI Attribute description
SQI Name	SQI-035
SQI Description	Measures that actions agreed with DG TAXUD have been implemented within the given timeframe. This is limited to actions tagged as: "SQI-035" actions.
Unit of Measurement of the SQI	working days
SQI Target	0 delay
SQI Limit	3 working days
SQI Calculation	$= A_{EA}-P_{EA}$ where: A_{EA} is the actual date for the action's end. and P_{EA} is the planned date for the action's end. The actual date for the action's end is the date when the **ITSM3 Operations** contractor finishes the implementation of the action (i.e. closes it). The decision to close an action is taken during the meeting that follows the one during which the action was raised, or by an e-mail confirmation from DG TAXUD to an e-mail sent by the **ITSM3 Operations** contractor requesting the closure. When closing an action, an e-mail will be sent to the action requester. If the action requester refuses the closure of the action, the action is re-opened, but the time between the sending of the action closure request and the reply of the action requester is not taken into account in the calculation of this SQI. The planned date for the action's end (due time) has to be agreed during the meeting, when the action is raised. This date may be readjusted within the next 2 working days by mutual agreement. The SQI will be calculated for each action closed in the "**Master action list**" during the reporting period, and the value will be normalised, then profiled. The SQI reported in the MPR will then be the average of the several profiled SQIs for the actions closed in the "Master action list" during the reporting period. The SQI value for the final GQI will be an average of all profiled SQIs during the SC.
Applicable services/deliverables	The actions covered are requested by DG TAXUD, and identified as actions flagged under this SQI. The **ITSM3 Operations** contractor will **maintain, online, a "Master action list**", which will consolidate all the actions that were agreed. All differences with the previous version will be clearly tagged.
Minimum number of Measurements	5 actions

10.10.36 SQI-036 - MEASURES THE RESPECT OF THE INCIDENT RESOLUTION TIME

SQI Attribute	SQI Attribute description
SQI Name	SQI-036
SQI Description	Measures the respect of the incident resolution time
Unit of Measurement of the SQI	%
SQI Target	98%
SQI Limit	95%
SQI Calculation	$SQI = C_{IT}/C_{ALL}$ C_{ALL} is the total number of incidents for which all interactions are closed in the SMT during the reporting period and C_{IT} is the total number of incidents for which all interactions are closed in the SMT during the reporting period and, where the resolution time is lower than or equal to the maximum resolution time. Please refer to Section 4.2.4.2 – "Service Calls Resolution Time" for the maximum resolution times. The Service Management Tool (SMT) classifies the incidents according to Category, Area and Sub-Area. It should be noted that this SQI applies only to incidents of the following types:
Category	Area	Sub-Area
CT Incident	All	All
Incident	All	All
Request for Information	All	All
Request for Service	Unavailability	All
	User Management	All
Applicable services/deliverables	All
Minimum number of Measurements	10

10.10.37 SQI-037 - MEASURES THE NUMBER OF DEVIATIONS DETECTED IN THE CMDB

SQI Attribute	SQI Attribute description
SQI Name	SQI-037
SQI Description	Measures the number of deviations in the CMDB
Unit of Measurement of the SQI	CIs with Deviations
SQI Target	0
SQI Limit	3
SQI Calculation	SQI = Number of CIs of the CMDB for which deviations have been detected during the reporting period. A deviation is any data stored or absent in the CMDB that causes the CMDB not to correspond to the real situation. A deviation is only considered for this SQI whenever it has a potential impact in DG TAXUD operations, activities or services either internally or externally. The **ITSM3 Operations** contractor must open full access to the CMDB to DG TAXUD or third parties designated by DG TAXUD; this access may be used for the identification of deviations, which will be reported to the Service Desk. The **ITSM3 Operations** contractor must record all deviations reported in the Service desk database and mark them as such associated to the corresponding CI. The **ITSM3 Operations** contractor provides a list of the deviations per CI detected during the reporting period in the MPR. During the BMM, DG TAXUD assesses the different deviations and declares them as applicable or not. The CIs with applicable deviations are used for the calculation of this SQI.
Applicable services/deliverables	All
Minimum number of Measurements	1

10.10.38 SQI-038 - MEASURES THE NUMBER OF DEVIATIONS DETECTED IN THE ASSET REPOSITORY

SQI Attribute	SQI Attribute description
SQI Name	SQI-038
SQI Description	Measures the number of deviations in the Asset Repository
Unit of Measurement of the SQI	CIs with Deviations
SQI Target	0
SQI Limit	3
SQI Calculation	SQI = Number of Assets (HW, SW, licences, certificates, etc.) of the Asset Repository for which deviations have been detected during the reporting period. A deviation is any data stored or absent in the Asset repository that causes the Asset repository not to correspond to the real situation. A deviation is only considered for this SQI whenever it has a potential impact in DG TAXUD operations, activities or services either internally or externally. The **ITSM3 Operations** contractor must open full access to the Asset Repository to DG TAXUD or third parties designated by DG TAXUD, this access may be used for the identification of deviations, which will be reported to the Service Desk. The **ITSM3 Operations** contractor must record all deviations reported in the Service desk database and mark them as such indicating the corresponding asset and type. The **ITSM3 Operations** contractor provides a list of the deviations per asset or type of asset detected during the reporting period in the MPR. During the BMM, DG TAXUD assesses the different deviations and declares them as applicable or not. The assets with applicable deviations are used for the calculation of this SQI. If the reporting is done by type of asset, the number of applicable deviations shall be divided by the number of assets of that type in the Asset Registry and rounded up to the next integer value.
Applicable services/deliverables	All
Minimum number of Measurements	1

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10.10.39 SQI-039- MEASURES THE TRAINING/WORKSHOP APPRAISAL

SQI Attribute	SQI Attribute description
SQI Name	SQI-039
SQI Description	Measures the Training/workshop appraisal
Unit of Measurement of the SQI	%
SQI Target	100%
SQI Limit	79%
SQI Calculation	For each event, the average of the appraisal of the participants measured in percentage will be calculated. The SQI will correspond to the average of the resulting values for all considered events.
Applicable services/deliverables	All training sessions provided by the contractors, except if explicitly excluded by DG TAXUD.
Minimum number of Measurements	2 events.

10.10.40 SQI-040 - MEASURES IF THE ISSUER OF A SERVICE CALL HAS RECEIVED AN ACKNOWLEDGEMENT WITHIN THE GIVEN TIMEFRAME

SQI Attribute	SQI Attribute description
SQI Name	SQI-040
SQI Description	The Service Desk will send an acknowledgment e-mail for each Service Call, containing the unique identification number referring to that Service Call. This SQI measures the number of Service Calls for which the acknowledgement delay was greater than 30 minutes.
Unit of Measurement of the SQI	%
SQI Target	0%
SQI Limit	5%
SQI Calculation	(Sum of delays / sum of maximum elapsed time for all tickets[26]) * 100
Applicable services/deliverables	Service Desk
Minimum number of Measurements	500 Service Calls

10.10.41 SQI-041- MEASURES THE NUMBER OF COMPLAINTS RECEIVED

SQI Attribute	SQI Attribute description
SQI Name	SQI-041
SQI Description	Measures the number of complaints received and confirmed by DG TAXUD
Unit of Measurement of the SQI	Number of occurrence
SQI Target	0
SQI Limit	2

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[26] Tickets that are automatically generated are not to be considered in the calculation.

SQI Attribute	SQI Attribute description
SQI Calculation	The **ITSM3 Operations** contractor must record all user complaints in the Service desk database and mark them as such. When the Commission receives a complaint from the users, it will open a Service call, which will be marked as such. The **ITSM3 Operations** contractor provides a list of the complaints raised during the reporting period in the MPR. During the BMM, TAXUD assesses the different complaints, and accepts or rejects them. The accepted complaints are used for the calculation of this SQI. For the rejected complaints, the contractor provides to DG TAXUD a complete explanation (based on the minutes of the BMM), that can then be sent to the issuer of the complaint to explain why the complaint was rejected.
Applicable services/deliverables	All
Minimum number of Measurements	1

10.10.42 SQI-042 - MEASURES IF THE ITSM3 OPERATIONS CONTRACTOR DOES NOT EXPOSE ITS INTERNAL LEGAL ORGANISATION TO DG TAXUD AND THEIR USERS

SQI Attribute	SQI Attribute description
SQI Name	SQI-042
SQI Description	The number of times the internal organisation (e.g. members of a consortium or other) are exposed to DG TAXUD, its third party contractors or users of the services.
Unit of Measurement of the SQI	Number of occurrences
SQI Target	0
SQI Limit	2
SQI Calculation	Count the number of occurrences when there is a breach of this SQI notified by DG TAXUD over the reporting period (Monthly).
Applicable services/deliverables	All
Minimum number of Measurements	0

10.10.43 SQI-043 - MANAGEMENT TEAM EXPERIENCE SAFEGUARD (DIRECT LIQUIDATED DAMAGES)

SQI Attribute	SQI Attribute description
SQI Name	SQI-43 - **Direct Liquidated Damages**
SQI Description	Measures if the initial value of the "Total number of months experience in managerial roles of the management team that will be assigned full time to the project" remains at an acceptable level defined by the SQI Limit below.
Unit of Measurement of the SQI	%
SQI Target	95%
SQI Limit	85%

SQI Attribute	SQI Attribute description
SQI Calculation	Total months of professional experience in similar functions for the management team staff assigned full time to the project. Total months of professional experience in similar functions for the management team staff proposed in the bid
Direct Liquidated Damages	⚠ Each month where the SQI limit is not reached will induce a direct liquidated damage of €**50 000** per month.
Applicable services/deliverables	All
Minimum number of Measurements	1[27]

10.10.44 SQI-044 - FUNCTIONS FULFILLED BY DG TAXUD INSTEAD OF THE ITSM3 OPERATIONS CONTRACTOR– (DIRECT LIQUIDATED DAMAGES)

SQI Attribute	SQI Attribute description
SQI Name	SQI-044 - **Direct Liquidated Damages**
SQI Description	DG TAXUD should not have to fulfil functions that are to be provided by the **ITSM3 Operations** contractor. The objective of this SQI is to measure such situations
SQI Target	0 days
SQI Limit	5 days
SQI Calculation	Sum of the number of days that DG TAXUD officials or other staff performed work duties to cover the deficiency of the **ITSM3 Operations** contractor.
Direct Liquidated Damages	⚠ Each day above the SQI limit (5 days), will induce a direct liquidated damage of €**1000** per day with a maximum of €**50.000** per month.
Applicable services/deliverables	All
Minimum number of Measurements	1

10.10.45 SQI-045 - MEASURES THE NUMBER OF OCCURRENCES THE SERVICE DESK IS UNREACHABLE.

SQI Attribute	SQI Attribute description
SQI Name	SQI-045
SQI Description	Measures the number of occurrences the Service Desk is unreachable.
SQI Target	0
SQI Limit	2

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[27] First calculation 8 weeks after the signature of the first Specific Contract.

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SQI Attribute	SQI Attribute description
SQI Calculation	Number of occurrences the Service Desk is unreachable. Each occurrence may not last more that ½ hour or will be considered as a new occurrence.
Applicable services/deliverables	Service desk
Minimum number of Measurements	None

10.10.46 SQI-046 - MEASURES THE RESPECT OF THE DELAY TO ESCALATE TO DG TAXUD FOR CRITICAL IMPACT (INCIDENTS, EVENTS, RISKS) OR PROLONGED DELAYS/UNAVAILABILITY

SQI Attribute	SQI Attribute description
SQI Name	SQI-046
SQI Description	Measures the respect of the delay to escalate to DG TAXUD for Critical impact (incidents, events, risks) or prolonged delays/unavailability
Unit of Measurement of the SQI	%
SQI Target	100%
SQI Limit	90%
SQI Calculation	T SQI = IEIT/ITOT x 100 Where IEIT is the number of incidents (see below) where the escalation was made in less than 2 hours And ITOT is the total number of relevant incidents (see below) recorded during the reporting period. The relevant incidents are high Critical incidents and/or introducing risks/prolonged delays on the system security.
Applicable services/deliverables	All
Minimum number of Measurements	10

10.10.47 SQI-047 - MEASURES THE NUMBER OF SERVICE CALLS OPENED FOR EVENTS THAT SHOULD NOT YIELD A SERVICE CALL

SQI Attribute	SQI Attribute description
SQI Name	SQI-047
SQI Description	Measures the number of Service Calls opened for events that should not yield a Service Call
Unit of Measurement of the SQI	%
SQI Target	0%
SQI Limit	3%
SQI Calculation	"Number of unduly counted Service Calls opened during the reporting period" / "Total number of Service Calls opened during the reporting period"
Applicable services/deliverables	Service Desk

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SQI Attribute	SQI Attribute description
Minimum number of Measurements	5

10.10.48 SQI-048 - MEASURES THE SATISFACTION OF USERS WITH THE SERVICES PROVIDED BY ITSM3 OPERATIONS

SQI Attribute	SQI Attribute description
SQI Name	SQI-048
SQI Description	Measures the satisfaction of users with the services provided by **ITSM3 Operations**
Unit of Measurement of the SQI	**Notation:** - Very satisfied (Value=5) - Somewhat satisfied (Value=4) - Neither satisfied nor dissatisfied (Value=3) - Somewhat dissatisfied (Value=2) - Very dissatisfied (Value=0)
SQI Target	Very satisfied
SQI Limit	Somewhat satisfied
SQI Calculation	The satisfaction will be measured when requested by DG TAXUD, but at least once a year. It will be measured by a survey based on an agreed set of questions and sent to a user population defined by DG TAXUD (By default all registered users). Each answer will be collected and assigned its associated value. One occurrence of the two extreme values of the answer set will be removed and the remaining values averaged.
Applicable services/deliverables	ALL
Minimum number of Measurements	5 answers

10.10.49 SQI-049 - MEASURES THE SATISFACTION OF USERS WITH THE SERVICE CALLS MANAGEMENT BY ITSM3 OPERATIONS

SQI Attribute	SQI Attribute description
SQI Name	SQI-049
SQI Description	Measures the satisfaction of users with the service calls management by ITSM3 Operations

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SQI Attribute	SQI Attribute description
Unit of Measurement of the SQI	**Notation:** • Very satisfied (Value=5) • Somewhat satisfied (Value=4) • Neither satisfied nor dissatisfied (Value=3) • Somewhat dissatisfied (Value=2) • Very dissatisfied (Value=0)
SQI Target	4.5
SQI Limit	2.5
SQI Calculation	The satisfaction will be measured monthly. Every month the Service Desk will contact five users that have opened a call during that period and will ask their satisfaction on the three following topics: 1 - Satisfaction with the Technical Quality of the answers/support provided (0- 5) 2 - Satisfaction with the speed with which the call(s) were treated and answered (0-5) 3 – Satisfaction with the quality of contact and communication in the treatment of the call(s) (0-5) Whenever a user is not reachable or refuses to answer the questionnaire the Service Desk will choose another user(s) until five have answered. The question can be asked either by mail or by telephone. If it is asked by telephone, a mail shall be sent to the user with his/her answers to the questions. The same user should not be consulted more than once every three months. The value of the SQI shall correspond to the sum of all the values corresponding to the answers given to the three (3) question by the five (5) consulted users; divided by fifteen (15) and rounded up to the first decimal.
Applicable services/deliverables	ALL
Minimum number of Measurements	15 answers (3 questions answered by 5 users)

10.10.50 SQI-050 - MEASURES THAT THE TEAM IN CHARGE OF THE ITSM3 OPERATIONS CONTRACTOR IS STAFFED WITH THE KEY PERSONNEL AS PROPOSED IN THE ITSM3 OPERATIONS TENDER AND THAT THEY ARE ALLOCATED AND REMAIN STAFFED TO THE ACTIVITY AS OF THE SIGNATURE OF THE FIRST SC – (DIRECT LIQUIDATED DAMAGES)

SQI Attribute	SQI Attribute description

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SQI Attribute	SQI Attribute description
SQI Name	SQI-050 - Direct Liquidated Damages
SQI Description	Measures that the team in charge of the ITSM3 Operations contractor is staffed with the key personnel as proposed in the ITSM3 Operations tender and that they are allocated and remain staffed to the activity as of the signature of the first SC
Unit of Measurement of the SQI	This SQI will measure the occurrence of one of the following events: (1) The 20 key functions[28] of the Takeover team are not staffed by full time staff 1 month after the start of the first SC; (2) The 20 key functions have a turnover of more than 20% (4 people) over a 12 months sliding window.
Direct Liquidated Damages	⚠️For situation (1) above (except for "force majeure"), the liquidated damage will represent **20%** of the total Takeover costs per month where the situation occurs. ⚠️For situation (2) above (except for "force majeure"), the liquidated damage will represent 2**0%** of the total costs of the FP services (Continuous Services) for each month where the situation occurs.
SQI Target	0 occurrences
SQI Limit	0 occurrences
SQI Calculation	The full staff sheet will be provided as an annex to the MPR; any movements to key personnel will be clearly indicated.
Applicable services/deliverables	ALL
Minimum number of Measurements	NA

10.10.51 SQI-051 - MEASURES THAT TRANSFORMATION PROJECTS AND OPERATIONAL ACTIONS ARE NOT DELAYED BY CAPACITY ISSUES OR KNOWN THIRD PARTY DEPENDENCIES.

SQI Attribute	SQI Attribute description
SQI Name	SQI-051

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[28] Based on the organisation proposed in the **ITSM2 Operations** contractor's bid and respecting the key roles specified on section .

SQI Attribute	SQI Attribute description
SQI Description	Measures that Transformation projects and Operational actions are not delayed by capacity issues or known third party dependencies This includes all **ITSM3 Operations** actions and projects foreseen in the diverse types of planning (ITOP, Portfolio planning, operational planning.
Unit of Measurement of the SQI	working days
SQI Target	0 delay
SQI Limit	One-tenth (1/10) of the duration of the activity or project (as expressed in the last version of the planning) rounded up to the next integer. (For example for a project planned for a duration of 63 working days the SQI limit would be of 7 working days)
SQI Calculation	$= A_{EA}-P_{EA}$ where: A_{EA} is the actual action's closure date and P_{EA} is the planned date for the action's completion The planned date for the action's completion has to be agreed in advance with the person in DG TAXUD assigned as responsible for the action. When closing an action, an e-mail will be sent to the person in DG TAXUD assigned as responsible for the action. Explicit agreement expressed by this responsible person fixes the closure date. If there is no agreement on the closure date, the actual date for the action's end is decided during the BMM meeting based on a proposal by **ITSM3 Operations** requesting the closure. The delay of actions or projects due to external dependencies are also not deducted from the measure of this SQI unless explicitly agreed by the person responsible in DG TAXUD. . The SQI value for the final GQI will be an average of all profiled SQIs during the SC.
Applicable services/deliverables	All **ITSM3 Operations** actions and projects foreseen in the various types of planning (ITOP, Portfolio planning, operational planning.
Minimum number of Measurements	1 action / project

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10.10.52 SQI-052 - MEASURES THE DELAY TO SUBMIT A COMPLETE RFC AND RELATED IMPACT ANALYSIS TO THE SERVICE CHANGE ADVISORY BOARD

SQI Attribute	SQI Attribute description
SQI Name	SQI-052
SQI Description	Measures the delay to submit to the SCAB a complete Request for Change and a complete Impact Analysis from the moment a written request from any valid actor has been submitted to **ITSM3 Operations**.
Unit of Measurement of the SQI	Working days
SQI Target	5
SQI Limit	10
SQI Calculation	$= A_R - A_S$ where: A_R is the date when the request for change was submitted to **ITSM3 Operations** end and A_S is the date when a Request for Change including a full impact analysis is submitted to the SCAB
Applicable services/deliverables	Service Block 02 – Service Change Management
Minimum number of Measurements	1

10.10.53 SQI-053 - MEASURES THE DELAY IN COMPLETING THE TAKEOVER WITHIN THE FORESEEN TAKEOVER PERIOD – (DIRECT LIQUIDATED DAMAGES)

SQI Attribute	SQI Attribute description
SQI Name	SQI-053 - **Direct Liquidated Damages**
SQI Description	Measures the delay in completing the Takeover within the foreseen Takeover period.
Unit of Measurement of the SQI	This SQI will measure the delay in completing the Takeover activities: Each day of delay within a single month will be considered as a full month delay (e.g. for January, 1 day delay or 31 days delay will both be considered as a full month delay).
Direct Liquidated Damages	⚠ For the **Takeover of the ITSM2 Lot 1** activities, each month of delay will induce €**100.000** liquidated damage up to a maximum of 6 months (€**600.000**) at which time the contract will also be terminated by DG TAXUD.
SQI Target	0 occurrences
SQI Limit	0 occurrences
SQI Calculation	The planning will be provided as an annex to the MPR; any risks will be clearly indicated.

SQI Attribute	SQI Attribute description
Applicable services/deliverables	Takeover
Minimum number of Measurements	1 per month during the Takeover of ITSM2 Lot 1

10.10.54 SQI-054 - MEASURES THE NUMBER OF DEVIATIONS WITH THE PRINCIPLE OF LEAST PRIVILEGE

SQI Attribute	SQI Attribute description
SQI Name	SQI-054
SQI Description	Measures the number of deviations with the principle of least privilege in the granting of rights to privileged accounts of infrastructure, platform, or application components.
Unit of Measurement of the SQI	Absolute value
SQI Target	0
SQI Limit	1
SQI Calculation	Each right or profile unduly granted.
Applicable services/deliverables	SB 03, 05, 06, 07, 10
Minimum number of Measurements	None

10.10.55 SQI-055 - MEASURES THE RESPECT OF RESOLUTION TIME FOR SECURITY INCIDENTS

SQI Attribute	SQI Attribute description
SQI Name	SQI-055
SQI Description	Measures the respect of resolution time for security incidents
Unit of Measurement of the SQI	%
SQI Target	100%
SQI Limit	90%
SQI Calculation	$SQI = C_{IT}/C_{ALL}$ C_{ALL} is the total number of security incidents (incidents involving security components or having a potential impact on security) for which all interactions are closed in the SMT during the reporting period and C_{IT} is the total number of security incidents for which all interactions are closed in the SMT during the reporting period and, where the resolution time is lower than or equal to the maximum resolution time. Please refer to Section 4.2.4.2 – "Service Calls Resolution Time" for the maximum resolution times.

SQI Attribute	SQI Attribute description
	Security Incidents are considered as P1 if they imply a risk of: • Breach of confidentiality of a limited high system (or higher) • Breach of integrity of a critical system (or higher) • Denial of service of a critical system (or higher) Are considered as P2: • Breach of confidentiality of a moderate system • Breach of integrity of a limited basic system • Denial of service of any other system Security Incidents resulting from defects published by a CERT are covered by SQI-057 and excluded from this SQI-056.
Applicable services/deliverables	All
Minimum number of Measurements	None

10.10.56 SQI-056 - MEASURES THE RESPECT OF INCIDENT CREATION AND RESOLUTION TIME FOR SECURITY INCIDENTS RELATED TO SECURITY DEFECTS

SQI Attribute	SQI Attribute description
SQI Name	SQI-056
SQI Description	Measures the respect of Incident creation and Resolution Time for security incidents related to Security Defects (i.e. as a security advisory published by a CERT).
Unit of Measurement of the SQI	%
SQI Target	98%
SQI Limit	90%
SQI Calculation	$SQI = C_{IT}/C_{ALL}$ C_{ALL} is the total number of security defects published during the reporting period by a CERT affecting IT systems deployed in DG TAXUD DCs. and C_{IT} is the total number of incidents for which all interactions are closed in the SMT during the reporting period and, where the resolution time is lower than or equal to the maximum resolution time. Please refer to Section 4.2.4.2 – "Service Calls Resolution Time" for the maximum resolution times. Priority values for security incidents related to Security Defects: • **P2** for critical advisories or defects • **P3** for all other advisories or defects

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SQI Attribute	SQI Attribute description
Applicable services/deliverables	All
Minimum number of Measurements	None

10.10.57 SQI-057 - MEASURES THE NUMBER OF SECURITY DEVICES NOT MANAGED

SQI Attribute	SQI Attribute description
SQI Name	SQI-057
SQI Description	Measures the number of security devices not managed
SQI Target	0
SQI Limit	0
SQI Calculation	Number of security assets whose alarms are not forwarded to and managed by the appropriate management platform
Applicable services/deliverables	SB5
Minimum number of Measurements	None

10.11 General Quality Indicators

The following General Quality Indicators (GQI) need to be considered:

- **GQI_Mgnt** measuring the General Quality of the continuous services related to basic management services;

- **GQI_RfAs** including the Handover and Takeover activities triggered by RfA during the SC.

10.11.1 GQI FOR THE CONTINUOUS SERVICES RELATED TO BASIC MANAGEMENT SERVICES

The **GQI_Mgnt** is calculated as the sum of the specified f(**SQI)** (profiled SQI) taking their respective weight into account. It is calculated monthly. The final GQI is the **average** of the individual f(**SQI)** computed each month during the SC.

The **GQI_Mgnt** indicator during a specific month is calculated as follow:

$$GQI\_Mgnt = \sum_{k=1}^{N} (f_k (\underline{SQI})*weight_k) / \sum_{k=1}^{N} (weight_k)$$

Where: N *is the number of Service Quality Indicators (SQI);* f_k *(SQI) is the value of the profiled SQI number "k"; weight_k is the weight of the SQI number "k"*

The SQIs to contribute on the calculation of the GQI Mgnt are identified on each SC.

DG TAXUD may decide to include in a given SC any SQIs in the tables below.

The table below summarises the related SQI and their respective weight used to compute the final GQI_Mgnt:

SQI Name	Weight
SQI-001 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "Normal" QOS	4
SQI-002 - Measures the availability of all CIs (Platform Instance, application, etc) in the Conf/Backup environment for all the "5d-13h" Service window and the "Normal" QOS	4
SQI-003 - Measures the availability of CIs (Platform Instance, application, etc) in Serviced environments other than Prod/conf/Backup for all the "5d-13h" Service window and the "Normal" QOS	3
SQI-004 - Measures the availability of all the Platform Instances and applications (CIs) in the Prod environment for all the "5d-13h" Service window and the "Extended" QOS	4
SQI-005 - Measures the availability of all CIs (Platform Instance, application, etc) in the Conf/Backup environment for all the "5d-13h" Service window and the "Extended" QOS	3
SQI-006 - Measures the availability of CIs (Platform Instance, application, etc) in Serviced environments other than PROD/CONF/Backup for all the "5d-13h" Service window and the "Extended" QOS	4
SQI-007 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "5d-13h" Service window and the "High Availability" QOS	4

SQI Name	Weight
SQI-008 - Measures the availability of all CIs (Platform Instance, application, etc) in the Conf/Backup environment for all the "5d-13h" Service window and the " High Availability " QOS	3
SQI-009 - Measures the availability of CIs (Platform Instance, application, etc) in Serviced environments other than PROD/CONF/Backup for all the "5d-13h" Service window and the "High Availability" QOS	4
SQI-010 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "7d-13h" Service window and the "Normal" QOS	3
SQI-011 - Measures the availability of all CIs (Platform Instance, application, etc) in the Conf/Backup environment for all the "7d-13h" Service window and the "Normal" QOS	4
SQI-012 - Measures the availability of CIs (Platform Instance, application, etc) in Serviced environments other than PROD/CONF/Backup for all the "7d-13h" Service window and the "Normal" QOS	4
SQI-013 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "7d-13h" Service window and the "Extended" QOS	4
SQI-014 - Measures the availability of all CIs (Platform Instance, application, etc) in the Conf/Backup environment for all the "7d-13h" Service window and the "Extended" QOS	3
SQI-015 - Measures the availability of CIs (Platform Instance, application, etc) in Serviced environments other than PROD/CONF/Backup for all the "7d-13h" Service window and the "Extended" QOS	4
SQI-016 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "7d-13h" Service window and the "High Availability" QOS	4
SQI-017 - Measures the availability of all CIs (Platform Instance, application, etc) in the Conf/Backup environment for all the "7d-13h" Service window and the "High Availability" QOS	3
SQI-018 - Measures the availability of CIs (Platform Instance, application, etc) in Serviced environments other than PROD/CONF/Backup for all the "7d-13h" Service window and the "High Availability" QOS	4
SQI-019 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "7d-24h" Service window and the "Normal" QOS	4
SQI-020 - Measures the availability of all CIs (Platform Instance, application, etc) in the Conf/Backup environment for all the "7d-24h" Service window and the "Normal" QOS	3
SQI-021 - Measures the availability of CIs (Platform Instance, application, etc) in Serviced environments other than PROD/CONF/Backup for all the "7d-24h" Service window and the "Normal" QOS	4
SQI-022 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "7d-24h" Service window and the "Extended" QOS	4
SQI-023- Measures the availability of all CIs (Platform Instance, application, etc) in the Conf/backup environment for all the "7d-24h" Service window and the "Extended" QOS	3
SQI-024 - Measures the availability of CIs (Platform Instance, application, etc) in Serviced environments other than PROD/CONF/Backup for all the "7d-24h" Service window and the "Extended" QOS	4
SQI-025 - Measures the availability of all CIs (Platform Instance, application, etc) in the Prod environment for all the "7d-24h" Service window and the " High Availability" QOS	4
SQI-026- Measures the availability of all CIs (Platform Instance, application, etc) in the Conf/backup environment for all the "7d-24h" Service window and the " High Availability" QOS	3
SQI-027 - Measures the availability of CIs (Platform Instance, application, etc) in Serviced environments other than PROD/CONF/Backup for all the "7d-24h" Service window and the "High Availability" QOS	3
SQI-028 - Measures the Recovery Time of Platform Instances and applications (CIs) in the Prod environment with "Normal" QOS	4
SQI-029 - Measures the Recovery Time of Platform Instances and applications (CIs) in the Prod environment with "Extended" QOS	4

SQI Name	Weight
SQI-030 - Measures the Recovery Time of Platform Instances and applications (CIs) in the Prod environment with "High Availability" QOS	4
SQI-031 - Measures the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable for which a delay would have a Low Impact	4
SQI-032 - Measures the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable for which a delay would have a Medium Impact	4
SQI-033 - Measures the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable for which a delay would have a High Impact	4
SQI-034 - Measures the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable for which a delay would have a Major Impact	4
SQI-035 - Measures that actions agreed with DG TAXUD have been implemented within the given timeframe.	4
SQI-036 - Measures the respect of the Incident resolution time	3
SQI-037 - Measures the number deviations detected in the CMDB	3
SQI-038 - Measures the number deviations detected in the ASSET Repository	3
SQI-039- Measures the Training/workshop appraisal	3
SQI-040 - Measures if the issuer of a Service Call has received an acknowledgement within the given timeframe	2
SQI-041- Measures the number of complaints received	4
SQI-042 - Measures if the ITSM3 Operations contractor does not expose its internal legal organisation to DG TAXUD and their users	3
SQI-045 - Measures the number of occurrences the Service Desk is unreachable.	3
SQI-046 - Measures the respect of the delay to escalate to DG TAXUD for Critical impact (incidents, events, risks) or prolonged delays/unavailability	4
SQI-047 - Measures the number of Service Calls opened for events that should not yield a Service Call	1
SQI-048 - Measures the satisfaction of users with the services provided by ITSM3 Operations	4
SQI-049 - Measures the satisfaction of users with the service calls management by ITSM3 Operations	3
SQI-051 - Measures that Transformation projects and Operational actions are not delayed by capacity issues or known third party dependencies.	3
SQI-052 - Measures the delay to submit a complete RfC and related Impact Analysis to the Service Change Advisory Board	3
SQI-054 - Measures the number of deviations with the principle of least privilege	3
SQI-055 - Measures the respect of Resolution Time for security incidents	4
SQI-056 - Measures the respect of incident creation and Resolution Time for security incidents related to Security Defects	3
SQI-057 - Measures the number of security devices not managed	4

Table 8: SQIs and their respective weights for GQI_Mgnt

The table below summarises the SQIs linked to a Direct Liquidated Damage:

SQI Name	Note
SQI-043 - Management team experience safeguard	**Direct Liquidated Damages**
SQI-044 - Functions fulfilled by DG TAXUD instead of the ITSM3 Operations contractor– (Direct Liquidated Damages)	**Direct Liquidated Damages**
SQI-050 - Measures that the team in charge of the ITSM3 Operations contractor is staffed with the key personnel as proposed in the ITSM3 Operations tender and that they are allocated and remain staffed to the activity as of the signature of the first	**Direct Liquidated Damages**
SQI-053 - Measures the delay in completing the Takeover within the foreseen Takeover period – (Direct Liquidated Damages)	**Direct Liquidated Damages**

Table 9: SQIs linked to a Direct Liquidated Damage

10.11.2 GQI FOR THE ADDITIONAL ON-DEMAND SERVICES TRIGGERED BY RFA (GQI_RFAS)

The **GQI_RfAs** is calculated as the sum of the specified f(**SQI**) (profiled SQI) taking their respective weight into account. It is calculated at the end of each activity, which has been triggered by RfA.

A SQI may be defined, mutatis mutandis, for an RfA, in which case the liquidated damages would be calculated at the end of the RfA on the total budget of the RfA and applied on the last payment related to the RfA, when applicable.

The Quality of Service of each RfA will be assessed by calculating a Global Quality Indicator (GQI).The following is an **example** of RfA for which 2 SQIs have been associated.

$$GQI^{RfA} = 0{,}20 * f(SQI\ x) + 0{,}80 * f(SQI\ y)$$

10.12 Liquidated Damages

Liquidated damages may be applied to the Service Provider in the framework of the current Service Level Agreement. The liquidated damages are related to deficient quality of the services provided. They are derived directly from the GQI calculation.

Liquidated damages are expressed as a reduction of the amount due by the service requester to the service provider.

By submitting a tender, the Tenderer expressly acknowledges that liquidated damages computed as described below represent a reasonable estimate of fair compensation for the deficient quality of provided services.

10.12.1   DIRECT LIQUIDATED DAMAGES

Direct liquidated damages, not linked to GQI may be applied and are defined for the following SQIs:

- Section 10.10.43 - SQI-043 - Management team experience safeguard (Direct Liquidated Damages)
- Section 10.10.44 - SQI-044 - Functions fulfilled by DG TAXUD instead of the ITSM3 Operations contractor– (Direct Liquidated Damages)
- Section 10.10.50- SQI-050 - Measures that the team in charge of the ITSM3 Operations contractor is staffed with the key personnel as proposed in the ITSM3 Operations tender and that they are allocated and remain staffed to the activity as of the signature of the first SC – (Direct Liquidated Damages)
- Section 10.10.53 – SQI-053 - Measures the delay in completing the Takeover within the foreseen Takeover period – (Direct Liquidated Damages)

10.12.2   FROM GQI_MGNT TO LIQUIDATED DAMAGES CALCULATION

For the global GQI_Mgnt, the liquidated damages are applied at the end of the SC and applied on the last payment related to the SC, when applicable.

If (GQI) < -1	then liquidated damages = 20% of the Continuous Services amount due for the SC
If -1 <= (GQI) < 0	then liquidated damages = (-(GQI))*20% of the Continuous Services amount due for the SC
If (GQI) => 0	then liquidated damages = 0

10.12.3   FROM GQI_RFAS TO LIQUIDATED DAMAGES CALCULATION

For the GQI_RfAs, the liquidated damages are calculated at the end of each RfA as follows (**except for T.O. and H.O. activities** for which the liquidated damages are computed as described below):

If (GQI_RfAs) < -1	then liquidated damages = 20% of the amount due for the RfA
If -1 <= (GQI_RfAs) < 0	then liquidated damages = (-GQI_RfAs))*20% of the amount due for the RfA

If (GQI_RfAs) => 0   then liquidated damages = 0

For the Takeover, the liquidated damages are calculated as follows and are based on the amount due for the Takeover services:

If GQI_TO < -1

For the **Takeover of the ITSM** activities, each month of delay will induce **€100 000** liquidated damages up to a maximum of 6 months (€**600 000)** at which time the contract shall also be terminated by DG TAXUD.

If -1 <= GQI_TO < 0   then liquidated damages = (-GQI_TO) * 100%
If GQI_TO => 0   then liquidated damages = 0

For the Handover, the GQI is calculated as follows and are based on the amount due for the Handover services:

If GQI_HO < -1   then liquidated damages = 100% of price element 11.2
If -1 <= GQI_HO < 0   then liquidated damages = (-GQI_HO) * 100%
If GQI_HO => 0   then liquidated damages = 0

11 Services Deliverables

The deliverables and services are classified on the basis of the impact that the late SfA delivery has on the project and its participants and possible stakeholders. There are 4 categories that are applicable: Major, High, Medium, and Low.

The Commission may request other parties involved in the business threads (BT) (like the operations contractor, the QA2 contractor) to review deliverables submitted by the **ITSM3 Operations** contractor. The comments from the Commission will include the comments of these third parties. If comments are delivered in various batches, the date of the last batch of comments is considered as the start of the T2 period.

Furthermore, DG TAXUD reserves the right to mutually agree (and record in the DTM) with the **ITSM3 Operations** contractor a review cycle different from the one originally agreed upon in the SC.

The delivery to DG TAXUD is measured by a SQI. The late delivery impact is classified, by DG TAXUD, as one of the following values:

- **Major**;
- **High**;
- **Medium**;
- **Low**.

The default classification is "**Medium**":

The following sections provide a list of the deliverables to be provided for each Service Block. The deliverables are qualified by their planning, acceptance mechanism and the impact of their late delivery (SQI).

11.1   Planning Mechanism

The planning information will relate:

- **For a service:** to start, end or change of the service, as a service is considered as continuous by nature;
- **For a deliverable**: to its submission for review and/or for acceptance.

The planning of the services and activities will be agreed in the SC, in compliance with this document, using the following mechanisms, **in order of decreasing precedence**:

- In the SC, with a planning schedule specified in reference to T0, the starting date of the activity of the SC, and/or possibly to other internal/external dependencies. When applicable, the planning specifies for a deliverable if the date is for submission, for review or for acceptance;
- In an RfA within an SC;

- Mutual agreement between DG TAXUD and the **ITSM3 Operations** contractor during the course of the SC, each planning agreement being recorded in the MPR of the month when the agreement took place;
- Up to the **ITSM3 Operations** contractor to take the initiative to provide the deliverable/service whenever an external event triggers the need for it (usually call/action driven).

No higher planning mechanism may be over-ruled by a lower one. However, a lower one may include provisions not considered in the higher one, which do not contradict its text.

All the agreed planned dates and actual dates of delivery are reported in the monthly progress report, both for SfR and SfA.

11.2   Acceptance mechanism

11.2.1   ACCEPTANCE OF DELIVERABLES

The acceptance procedures applicable to the deliverables and services are specified hereafter. The Framework Quality plan (FQP) may specify further the acceptance process details of the deliverables but in case of conflict between these documents, the SC and this document, the following decreasing precedence will prevail: SC, this document and FQP.

No formal acceptance applies for deliverables for which neither this document nor the SC defines an acceptance procedure.

All deliverables will be subject to a formal **T1/T2/T3 review cycle** (also referred to as SfR/SfA cycle):

T1 period:

(1)   The **ITSM3 Operations** contractor Submits for Review (SfR) its deliverable to the Commission, and any nominated party[29], at the agreed date, starting T1;

(2)   The Commission reviews the SfR deliverable and returns its comments to the **ITSM3 Operations** contractor at the end of T1;

(3)   The Commission reserves its right to reject the review in case the deliverable SfR is not fit for review, ending T1.

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[29]   The Commission may use the support of the QA2 contractor for the management of the review cycles of submitted deliverables.

T2 period:

(1)   T2 starts with the reception by the **ITSM3 Operations** contractor of the review comments from the Commission[30];

(2)   The **ITSM3 Operations** contractor submits his author's positions for each of the comments submitted by the Commission;

(3)   The Commission may call a review meeting with the **ITSM3 Operations** contractor to resolve outstanding review issues;

(4)   The review meeting decisions are submitted by:

> (a)   The **ITSM3 Operations** contractor in case of minor or medium size review;
>
> (b)   The Commission (or any other third party designated by it, such as the QA3 contractor) in case of major size review;

(5)   The **ITSM3 Operations** contractor Submits for Acceptance (SfA) his deliverable before the end of the T2 delay, closing temporarily the T2 period, the final closure of T2 being subject to the approval of the deliverable (the time stamp of the delivery of the accepted version constitutes the final closure of T2).

T3 period:

(1)   T3 starts with the reception of the SfA deliverable by the Commission;

(2)   The Commission will then verify the SfA deliverable and inform the **ITSM3 Operations** contractor of any deviation of the SfA deliverable from the author's positions and meeting decisions, within a pre-agreed period T3;

(3)   In case of deviation, the T2 period is re-opened, up to the time that the **ITSM3 Operations** contractor submits the version of the deliverable that the Commission will accept.

Once accepted, all deliverables become the property of the Commission, which is then the only party that can authorise their further use and distribution.

The FQP defines some of those pre-agreed periods (review cycles), while the Requests for Action (RfA) will define additional periods if required and will set the pre-agreed dates for delivery.

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[30] The Commission may request other parties involved in the business threads (like the development contractors, the QA2 contractor) to review deliverables submitted by the **ITSM3 Operations** contractor. The comments from the Commission will include the comments of these third parties.

The Commission draws the attention of the **ITSM3 Operations** contractor to the fact that the T1/T2/T3 review cycle is tightly related to the contractual planning. Indeed, a contractual date qualified for acceptance implies that the T1/T2 part of the cycle must be completed for the deliverable by that date, while a date qualified for review implies that the T1/T2/T3 cycle for the deliverable starts at that date.

11.2.1.1 Individual acceptance

The deliverables marked for Individual Acceptance (IA) in the SC or RfA will be subject to an individual acceptance letter by the Commission.

11.2.1.2 Deliverables accepted via the Monthly Progress Report (MPR)

The deliverables specified with an acceptance mechanism MPR ("to be accepted via the Monthly Progress Report") are formally accepted through the formal acceptance of the MPR in which they are proposed for acceptance. The MPR should contain a list of all deliverables presented for acceptance through it.

11.2.2 SERVICES

The definition and the targets for the Quality of Services (QoS) are set in the contractual documents, in the FQP and/or in the contractual OLA (FWC, SC, RfA), which itself may refer to other applicable SLAs/OLAs. They are also referred to in the Service Catalogue.

The Monthly Progress Report (MPR) must report the actual QoS (via SQIs) of all the provided services and justify any deviation from target. The SQI is compiled from the target and actual QoS to quantify the deviation of reality from target and is recorded in the MPR.

The correctness of the reported QoS and associated SQI is accepted by the acceptance of the MPR.

Note that it is the factual correctness (alias integrity) of the reported QoS and associated SQI, which are subject to acceptance via the MPR and not the service itself. The accepted QoS and SQI become then the indisputable bases for computing the liquidated damages where applicable.

11.2.3 MONTHLY PROGRESS REPORT (MPR) AND THE BILATERAL MONTHLY MEETING (BMM) MINUTES

The Commission will formally accept on a monthly basis the bundle made of the MPR, which includes the various service statistics and the minutes of the Bilateral Monthly Meeting (BMM). The Commission will not issue a separate acceptance for these deliverables.

The acceptance of the bundle will trigger the acceptance by default of the deliverables presented for acceptance in the accepted MPR.

In case of conflict between the MPR and the BMM minutes (even when accepted by the Commission), on the one hand, and the contractual documents, FQP on the other hand, the latter will always take precedence.

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11.2.4   FQP, TAKEOVER AND HANDOVER.

The acceptance of the FQP and the Takeover will be subject to a FAT, the aim of which is to verify the integrity between the FQP and Takeover reports with the set up of the **ITSM3 Operations** contractor.

The acceptance of the Handover will be subject:

(1)   Firstly, to a FAT performed in the premises of the **ITSM3 Operations** contractor;

(2)   Secondly, to a SAT in the premises of the third parties nominated by the Commission to Takeover from the **ITSM3 Operations** contractor after the transfer of knowledge.

11.2.5   BESPOKE SOFTWARE

Acceptance of new applications or extensions of existing applications is performed according to a FAT/preSAT/SAT scheme, unless the Commission decides to go through a simple qualification.

11.2.6   ICT INFRASTRUCTURE SERVICES

The ICT infrastructure services will be accepted after reception of the delivery notification and by the formal acceptance of the Site Acceptance Test report delivered by the **ITSM3 Operations** contractor following an on-site verification of the report quality.

11.2.7   REVIEW AND ACCEPTANCE BY THE NATIONAL ADMINISTRATIONS (NAS)

In the context of deliverables, which issue recommendations to and/or place obligations on the NAs, the NAs are invited to submit their comments, in an agreed format, (in EN, FR or DE) within a given period of time (from 2 to 10 weeks according to the volume of the deliverables and their importance).

The **ITSM3 Operations** contractor will have to translate the comments received in FR or DE into EN, consolidate the comments, and for each of them propose an "author position" to the Commission according to a SfR/SfA cycle.

The Commission will call a review workshop with the NAs, the outcome of which is a "workshop decision" on each of the received comments.

The **ITSM3 Operations** contractor will deliver the minutes of the workshop also according to a SfR/SfA cycle.

The Commission will then submit the bundle made of the documents as accepted by the Commission, and of the "workshop decision" for the approval of the National Administrations of Member States and Candidate Countries/Third Countries.

Once the NAs and the Candidate Countries accept the bundle, the **ITSM3 Operations** contractor will consolidate the "workshop decision" into the deliverables and deliver the final version of the specifications, again according to a SfR/SfA cycle. This final version becomes part of the documentation baseline of the project.

All deliverables produced by the **ITSM3 Operations** contractor under this step will be produced in EN only.

The timing of the consecutive SfR/SfA cycles can be defined in the FQP, SCs and their associated RfAs.

11.3   List of Deliverables

The following table provides an overview of the current existing and foreseen deliverables, the indicative planning and the classification of the impact of a late delivery. This list is provided **for information only**, it is neither exhaustive nor binding, as it constantly evolves and does not take into account the eventual transformations that will occur during the lifetime of the **ITSM3 Operations** contract. The present list is provided to give an indication to the Tenderer of the current level of deliverables produced by the incumbent ITSM2 Lot 1 contractor and an estimation of those to be added in the context of ITSM3 Operations. This list may be updated by DG TAXUD at each SC.

For all deliverables mentioned below, the following information will be completed in the first delivery of the FQP: Delivery Mechanism (Individual Delivery (ID), Bundled with other deliverable, etc.), Delivery milestones (linked to SFR and/or SFA delivery), review cycle, ordering method, publication (CIRCA, e-mail, online), SQI, triggering/ordering mechanism, etc . The structure of the main deliverables will be in line with the one provided by the incumbent ITSM2 Lot 1 contractors and, if needed, will be updated in the first delivery of the FQP.

All deliverables defined in SB05 and SB07 can be requested for CIs and services linked to SB06 (Interoperability & Application Platforms)..

All "ITSM one off deliverables" are regrouped in SB02 and cover the CIs and services of the incumbent ITSM2 Lot 1 contractor.

The delivery format of all deliverables mentioned below will have to be agreed with DG TAXUD and described in the first delivery of the FQP. By default, it will be a MS-Office (or compatible) deliverable uploaded on CIRCA, but DG TAXUD may agree to change the format of some deliverables (e.g.. extracts from the SMT data available on the portal or log files of test tools).

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.1	1	Internal Quality Control and Assurance reports	On-Site, available on demand - max 2 working days upon request from the Commission	MPR	High
D.2	1	Internal Risk analysis records	On-Site, available on demand - max 2 working days upon request from the Commission	MPR	High
D.3	1	List of internal QC review criteria	On-Site, available on demand - max 2 working days upon request from the Commission	MPR	Medium
D.4	1	Offers (on RfE, RfO...)	On Request and as per RFE (default 10 working days after RFE) , RFO (default 15 working days after RFO), starting at the end of TO Step1	Offer attached to the signed SC, RfA	High
D.5	1	Official Price List	As Needed (at each change) – available via project portal as well	IA	High
D.6	1	External audit material : - Contractors position to audit findings, - action list from audit meeting, …	20 working days after reception audit report - Continuous	MPR	Medium
D.7	1	Monthly Progress Report (MPR) bundled with all Monthly Service Reports (service statistics) and all annexes as agreed per FQP (i.e. service statistics, BMM minutes, availability and capacity data, Risk register, SLM calculation and raw data, action lists, recommendations, DTM; Consolidated planning, List of personnel, calls related reporting, quantity consumption status report, all action lists, testing status reports, document review status reports, status reporting on CSIP related activities …)	SFR 7th Commission working day after the end of the reporting month – available via project portal as well	IA	High
D.8	1	Risk register – Continuously updated and available online	Online – via project portal	MPR	High
D.9	1	Action list – Continuously updated and available online	Online – via project portal	MPR	High

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.10	1	Meetings related to the contract follow up like BMM, STEERCO, ad hoc, ... Agenda, Briefing Material, Minutes	Agenda : 1 working day before the meeting or MA, Briefing: as needed, Material: as needed, Minutes : SFR = date of the meeting + 5 working days or MA,	MPR	Medium
D.11	1	Forecast of activities in the framework of new SCs	As Needed but minimum 4 months before the end of the SC	MPR	Medium
D.12	1	Proof of disposal or destruction of assets	On Request	IA	Low
D.13	2	Update of FQP and its annexes taken over from the incumbent ITSM2 Lot 1 contractors, including the IWP, along with an FQP test plan and its FAT report	On Takeover of ITSM2 Lot 1 services Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	IA	Medium
D.14	2	Evolutive maintenance of contractual OLA and Hosted infrastructure OLA	Bundled with FQP	FQP	Medium
D.15	2	Updated documentation related to processes, policies and procedures and agreements including missing parts (risk management and analysis, …).	After Takeover of ITSM2 Lot 1 services Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	MPR	Low
D.16	2	Capacity Plan for IT Commission Services	After Takeover of ITSM2 Lot 1 services. Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	IA	Medium

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.17	2	IT Service Continuity plan for IT Commission Services including a risk analysis and Disaster Recovery Plan addressing all taken over BTH	After Takeover of ITSM2 Lot 1 services. Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	IA	Medium
D.18	2	Availability Plan for IT Commission Services	After Takeover of ITSM2 Lot 1 services. Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	IA	Medium
D.19	2	ICT architecture for the Commission IT services	After Takeover of ITSM2 Lot 1 services. Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	IA	Medium
D.20	2	Application Architecture framework/standard of reference	After Takeover of ITSM2 Lot 1 services. Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	IA	Medium
D.21	2	Updated External processes & procedures documentation covering all taken over BTH	After Takeover of ITSM2 Lot 1 services. Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	IA	Low

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.22	2	SLA/OLA per business thread and user community (incl. CCN)	After Takeover of ITSM2 Lot 1 services. Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	IA	Medium
D.23	2	Service Catalogues (one for TAXUD, one for the NAs)	Online available After Takeover of ITSM2 Lot 1 services. Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	IA	Medium
D.24	2	Complete set of measurable End-to-End (E2E) SLAs related to the operations lifecycle	After Takeover of ITSM2 Lot 1 services. Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	IA	Medium
D.25	2	Service Strategy & Vision document	Quarterly	MPR	Medium
D.26	2	Service Change Registry	continuously updated - Online – via project portal	MPR	Medium
D.27	2	Service Change Management quarterly report	Quarterly after the TO	MPR	Medium
D.28a	2	Service Change Management Change Request	As needed	IA	Medium
D.29b	2	Transformation Business Case	As needed	IA	Medium
D.30c	2	Transformation High Level Design	As needed	IA	Medium
D.31d	2	Transformation Impact Analysis	As needed	IA	Medium

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.32d	2	Transformation Technical Annex & Bill of Materials	As needed	IA	Medium
D.33d	2	Transformation Implementation / Migration Plan & Detailed Design	As needed	IA	Medium
D.34d	2	Transformation Implementation / Migration Report	As needed	IA	Medium
D.35	2	Master Plan of Transformations	First at end of Takeover Monthly update after Takeover	IA	High
D.36	2	ITSM Processes description & Tools enterprise architecture	BPM & EA Models Online available After Takeover of ITSM2 Lot 1 services Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	IA	Medium
D.37	3	ITSM3 Service Management – Specifications Deliverables: Feasibility Studies; Proof of concepts; Business process models; Business requirements Definition (collection & analysis, including risk analysis of impact on overall system performance and security requirements - functional, non functional, usability, infrastructure) (SRD); Functional Specifications (FS); Technical Specifications (TS); Acceptance Test Specification (ATS);	RfA, maintenance part of Continuous Services	IA (if linked to RfA), MPR	Medium

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.38	3	ITSM3 Service Management – Deliverables related to Design, Build & Deployment support: Design documentation, including the System Requirement Overview; Detailed design, including the interface specification with other applications, Test plan, test cases, test data, test configuration specification, Infrastructure requirement; Software builds (releases, patches, hot fixes, scripts) with documented source code and including associated and quality metrics; Support documentation and training material addressing infrastructure requirements, installation procedures, user and service provision manual; The FAT report and FAT'ed version, submitted for preSAT; Training material related to the deployment, operation and technical support on the application to be deployed ; Problem fixes during preSAT, Application & documentation submitted for SAT Deployment deliverables (installation plan, deployment plan, cutover plan, decommissioning plan, operational guide...) Operations deliverables (service operation manual, user provision manual, support documentation, operations training material)	RfA, maintenance part of Continuous Services	IA (if linked to RfA), MPR	Medium
D.39	3	Development of Synergia programme and other **ITSM3** Service Management tools roadmap, vision and programme (including Programme Charter)	After Takeover of ITSM2 Lot 1 services. Evolutive Maintenance at each major event but at least once a year.	MPR	Medium
D.40	3	ITSM3 Service Management – Operations deliverables : Support documentation, FAQ, Newsletter and news alerts, …	As needed	MPR	Medium
D.41	4	Daily/Weekly/Monthly/Quarterly/Yearly Call reports by (BTH + CCN) and /or CI – per call category and call status	As Needed and/or online available via portal	MPR	Medium
D.42	5	Vision document	RfA, maintenance part of Continuous Services	RfA, MPR	High

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.43	5	Detailed asset inventory (including COTS ICT CIs delivered by the Commission, services, licences, certificates...) with item identification, location, status (ordered, purchased, received, deployed, operational…), acquisition channel, provider, price, date of delivery, start & end date of maintenance & support, disposability, associated CIs, criticality …	Online After Takeover of ITSM2 Lot 1 services Evolutive Maintenance at least each quarter.	MPR	Medium
D.44	5	Technological Infrastructure (plan, schematics, topology diagrams…)	At each major event but at least once per SC covering the Continuous Services.	IA	Medium
D.45	5	Infra test plans and test reports	As Needed	MPR	Medium
D.46	5	Testing of IT Service continuity plans for Commission services: • Test plan • Test report	Yearly – as agreed	IA	Medium
D.47	5	COTS deployment SAT reports, including SAT Test cases, reference to applicable documents, including delivery notice	As Needed	MPR	Medium
D.48	5	Infrastructure feasibility studies and statement of requirements	RfA, maintenance part of Continuous Services	RfA, MPR	Medium
D.49	7	Hosting request for DIGIT-hosted applications deployments	As Needed, On Request	MPR	Major
D.50	7	Application Portfolio	Online	IA	Medium
D.51	6/7	Finalisation of acceptance test plan (pSAT/SAT or qualification) and test specifications	As Needed, On Request	MPR	Medium
D.52	6/7	Deployment Plan including strategy	As Needed	MPR	Medium

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.53	6/7	**Deployment Report (DER)** covering: • Installation Plan • Installation report in pSAT • Installation report in SAT • Installation report in CONF • Installation report in PROD • Installation report in TRAINING	As Needed	MPR	Medium
D.54	6/7	**pSAT** • Daily report (e-mail) including pSAT TIR • pSAT TIR • pSAT report including the minutes of the kick-off and exit meeting	• Daily report (e-mail) including pSAT TIR • As needed and requested • 1 working day after the exit meeting	MPR	Major
D.55	6/7	Update of Infrastructure requirements document from xDEVs based on installation and pSAT	As Needed	MPR	Medium
D.56	6/7	**SAT** • Daily report (e-mail) including SAT TIR • SAT TIR • SAT report including the minutes of the kick-off and exit meeting	• Daily report (e-mail) including SAT TIR • As needed and requested • 1 working day after the exit meeting	MPR	Major

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.57	6/7	Qualification report	As Needed	MPR	Major
D.58	6/7	**Conformance Test (CT)** • CT readiness statement • CT organisation document • CT Time Table • Pre-CT report per NA including minutes of kick-off and exit meeting with NA • CT report per NA CT including minutes of kick-off and exit meeting with NA • CT campaign report	• 5 WD before CT start • SFR 20 WD before CT start • Continuously updated during CT • SFR 2 WD after NA exit meeting • SFR 2 WD after NA exit meeting • 10 working days after campaign completion	MPR	Major
D.59	6/7	Monthly Consolidation Operational Planning (ITOP)	Weekly - Online	MPR	Medium
D.60	6/7	Test report including executive summary	As Needed	MPR	Medium
D.61	6	Definition and validation of the network infrastructure needed to participate in CCN/CSI	As Needed	MPR	Medium

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.62	8	Deliverables linked to all meetings in the framework of coordination e.g. Working group meetings, Technical meetings with the Commission and other third parties, Service Monthly Meetings, …. • Agenda • Briefing • Preparation material • Summary record including list of actions and agreements • Minutes	As Needed	MPR	Medium
D.63	8	Contact lists for all application support centres, external contractors and national technical representatives	As Needed	MPR	Medium
D.64	8	List of problems and issues to be addressed and requiring co-ordination between the contractors	As Needed	MPR	Medium
D.65	8	Interaction model encompassing all stakeholders	At each major event but at least once per SC covering the Continuous Services.	MPR	Medium
D.66	8	Yearly User Satisfaction Survey: • Questionnaire • Report • Action list follow up	Yearly	MPR	Low
D.67	8	Other surveys questionnaire and report	As Needed	MPR	Medium
D.68	8	Comments on any artefact sent to the **ITSM3 Operations** contractor for review	As Needed	MPR	Medium

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.69	8	Mission related: (1) Agenda (2) Briefing (3) Preparation of the on-site support material (4) Mission minutes (5) Mission report and evaluation	As Needed	MPR	Medium
D.70	9	Service level reporting (SQI, KPI, SLAs, OLAs, TOCs...)	With MPR	MPR	Major
D.71	9	Raw data used for SLM reporting calculations	With MPR	MPR	Major
D.72	9	Ad hoc SLM Service reviews	As Needed	MPR	Medium
D.73	9	Availability Dashboard	Online	MPR	Major
D.74	9	Ad-hoc availability reports	As Needed	MPR	Medium
D.75	9	Daily, weekly, monthly, quarterly and yearly reporting on business monitoring and statistics per (BTH + CCN) and CI	On Request	MPR	Major
D.76	9	Ad-hoc Business reporting on business monitoring and statistics + CCN	On Request	MPR	Medium
D.77	9	Quarterly activity report for the NA covering all BTH + CCN	Quarterly	MPR	High
D.78	9	Problem ticket, including root cause analysis	As Needed	MPR	Medium
D.79	9	List of incidents to be investigated in Problem Management	As Needed	MPR	Medium
D.80	9	Known error list (KEL), including workarounds	As Needed	MPR	Medium
D.81	9	Knowledge Management sheet (information to be entered in the KMDB, once validated as per procedure). It may be extracted from reviews of artefacts, problem analysis, change requirements, …	As Needed	MPR	Medium
D.82	9	CMDB and DSL ad hoc reports	As Needed	MPR	Medium
D.83	9	Reporting on all CIs which could impact the quality agreements of other contractors	As Needed	MPR	Medium
D.84	9	Ad-hoc logs, as per EC request	As Needed	MPR	Medium
D.85	9	List of changes, sorted as needed	As Needed	MPR	Medium

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.86	9	CAB related : • Agenda • List of RFCs including full problem statement, business and technical requirements, cost/benefit analysis, detailed impact assessment, … • Minutes of CAB meeting	As Needed	MPR	Medium
D.87	9	SLA reporting per business thread + CNN and user community			
D.88	9	Benchmark of the processes maturity	As Needed	MPR, IA	Medium
D.89	10	Yearly security campaign report	Once a year	IA	Medium
D.90	10	Security policies (and their "Baseline Checklist"), standards, procedures, processes and guidelines	With FQP	IA	Medium
D.91	10	Risk Identification Documents	As Needed	MPR	Medium
D.92	10	List of Contractor's staff	With MPR	MPR	Major
D.93	10	Business Contingency Plan	As Needed	IA	Medium
D.94	10	Crisis Management Plan / Procedure	With FQP	FQP	Medium
D.95	10	Security Plan, including identification and mitigation of Business Security risks (as per TEMPO, ISO27002 and 27005)	After Takeover of both ITSM and CCN services and their integration. Evolutive Maintenance at each major event but at least once per SC covering the Continuous Services.	IA	Medium
D.96	10	Audit trails, as per request of the EC	As Needed	MPR	Medium
D.97	10	Security recommendations	As Needed	MPR	Medium
D.98	10	Security assessment report	As Needed	IA	Medium
D.99	10	Security Training Material	As Needed	MPR	Medium
D.100	10	Security awareness assessment material	As Needed	MPR	Medium
D.101	10	Bi-annual user account management review report	Twice a year	MPR	Medium
D.102	10	Report on evaluation of alignment between TAXUD IS Security policy and EC IS Security policy	As Needed	MPR	Medium

DLV-ID	SB	Description	Planning	Acceptance Mechanism	Impact of Late Delivery
D.103	10	Security Conventions	As Needed	MPR	Medium
D.104	10	Risk Management training based on risk approach defined by TAXUD and on TEMPO Risk Management documents, including training material and report	As Needed	MPR	Medium
D.105	11	Takeover plan, with methodology (including change management), CSF, identification of all activities in scope, detailed planning, …)	SfR 10 Commission working days after start of TO	IA	Major
D.106	11	Takeover FAT plan, including acceptance criteria and tests specifications, including security tests;	SfR 25 Commission working days after start of TO	IA	Major
D.107	11	Takeover Report, including the reference baseline on the status of the all services, their requirements, specifications and related documentation	SfR 10 Commission working days after end of TO	IA	High
D.108	11	List of CIs to Handover	As Needed	MPR	Medium
D.109	11	Handover training material	As Needed	MPR	Medium
D.110	11	Handover plan	As Needed	IA	Medium
D.111	11	Handover FAT	As Needed	IA	Medium
D.112	11	Handover SAT	As Needed	IA	Medium
D.113	11	Handover Training report	As Needed	MPR	Medium
D.114	11	Handover "After Care" report	As Needed	IA	Medium
D.115	12	Translations	As Needed	MPR	Medium
D.116	12	Training/workshop - Preparation material	Date of the training/workshop – 5 working days, SfR Date of the training/workshop – 2 working days, SfA	MPR	High
D.117	12	Training/workshop/Demonstration – Agenda	Date of the training-workshop – 20 working days SfR, or MA	MPR	High
D.118	12	Training/workshop/Demonstration – Briefing	Date of the training/workshop – 10 working days SfR, or MA	MPR	High
D.119	12	Training/workshop/Demonstration - Evaluation and report	Date of the training/workshop + 10 working days, SfA	MPR	Medium

Table 10: List of Deliverables

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