0. COVER

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ANNEX II.B - TECHNICAL ANNEX

INVITATION TO TENDER TAXUD/2012/AO-03

Specification, development, maintenance and support of Trans-European IT Services in the areas of Taxation and Excise

(FITSDEV3)

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0.3. ACRONYMS AND DEFINITIONS

In this Call for Tenders, 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".

AN	As Needed
AFS	Application Functional Specifications
ARIS	Architektur integrierter Informations Systeme (Software AG)
BCP	Business Continuity Plan
BMM	Bilateral Monthly Meeting
CAB	Change Advisory Board
CASE Tools	Computer-Aided Software Engineering
CC	Candidate Countries
CCN	Common Communications Network
CCN/CSI	Common Communications Network/Common Systems Interface
CDA	Centrally Developed Applications
CDEA	Centrally Developed Excise Applications
CSIP	Continuous Service Improvement Programme
CMDB	Configuration Management Data Base
COTS	Commercial Off-the-Shelf (software packages)
CPT	Central Project Team
CQP	Contract Quality Plan
DE	German (DEutsch)
DG	Directorate General
DG HR	Directorate-General Human Resources
DG TAXUD	Taxation and Customs Union Directorate General
DIGIT	Directorate-General for Informatics
DIGIT/DC	DIGIT Data Centre
DLV	Deliverable
DRP	Disaster Recovery Plan
DSDM	Dynamic Systems Development Method
DTM	Deliverable Tracking Matrix
EC	European Commission
EfA	Estimate for Action
EMCS	Excise Movement and Control System
EMM	Excise Monthly Meeting
EN	ENglish
EU	European Union
Europa	Commission's official Web portal
FAT	Factory Acceptance Test
FIS	Fiscalis Information Systems
FITS	Fiscalis Information Technology Systems, which cover the EMCS and Taxation systems and applications
FITSDEV2	The current contractor responsible for the development of the systems/applications in the areas of taxation and excise
FITSDEV3	The future contractor responsible for the development of the systems/applications in the areas of taxation and excise, selected through this ITT
FITSDEV3 contract	The Framework Contract to be developed with the scope of this ITT

FP	Function Point
FPA	Function Point Analysis
FQP	Framework contract Quality Plan
FR	FRancais (French)
FUR	Functional User Requirements
FWC	Framework Contract
GQI	General Quality Indicator
GW	Gateway
HR DS	Directorate Security
IA	Individual Acceptance
ID	Individual Delivery
IFPUG	International Function Point User Group
IP	Internet Protocol
IT	Information Technology
ITIL	IT Infrastructure Library
ITSM2 Contractor	IT Service Management : the DG TAXUD operations contractor
ITT	Invitation to Tender
KEL	Known Error List
LAN	Local Area Network
LISO	Local Informatics Security Officer
MA	Mutually Agreed
MPR	Monthly Progress Report
MS	Member States or, when relating to names of software; Microsoft
MSA	Member State Administration
MSR	Monthly Service Report
NA	National Administration
NDA	Nationally Developed Application
NDEA	Nationally Developed Excise Application
NEA	National Excise Application (It could either be NDEA, CDEA or a combination of those)
OLA	Operational Level Agreement
OR	On Request (trigger)
PC	Personal Computer
Pdev	Development Profile
Pho	Hand Over Profile
PMM	Project Monthly Meeting
Pqa	Quality Profile
PQP	Programme Quality Plan
PreSAT	Pre Site Acceptance Test
Pspec	Specification Profile
Q	Quarter of the year
QA	Quality Assurance
QC	Quality Control
QoS	Quality of Service
RfA	Request for Action
RfE	Request for Estimate
RfO	Request for Offer
SAT	Site Acceptance Testing
SC	Specific Contract
SCAC	Standing Committee for Administrative Co-operation
SCIT	Standing Committee responsible for Information Technology
SE	Service

SfA	Submit for Acceptance
SfR	Submit for Review
SLA	Service Level Agreement
SQI	Specific Quality Indicator
SQP	Specific Quality Plan
SQP/A	Specific Quality Plan Addendum for each Specific Contract
TA	Technical Annex
TBP	Total Budget Provision
TBP/EI	Total Budget Provision / Evolution of Infrastructure
TBP/IS	Total Budget Provision / IT Services
TBP/T&S	Total Budget Provision / Travel and Subsistence
TC	Technical Centre
TEMPO	TAXUD Electronic Management of Projects Online
TES	Trans-European Systems
TIP	Technological Infrastructure Plan
TMM	Taxation Monthly Meeting
TOC	Terms of Collaboration
ToR	Terms of Reference
VPN	Virtual Private Network
WBS	Work Breakdown Structure
Wdays	Working days
WP	Work-package

0.4. REFERENCES

Please refer to Annex II.A – Terms of Reference, section 0.4 for information concerning the following references used in this Technical Annex:

- The Terms of Reference of the Call for Tenders (Annex II.A);
- The baseline of this Call for Tenders (Annex XI);
- TEMPO;
- ITIL;
- ISO Standards.

The contractor needs to take into account that the baseline reflects the situation applicable at the time of publication this Call for Tenders and that it will evolve.

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

- The FITSDEV3 Call for Tenders Technical Annex of FITSDEV3 (this document);
- The FITSDEV3 Call for Tenders Terms of Reference of FITSDEV3 (Annex II.A);
- The other FITSDEV3 Call for Tenders documents (of which this document is part);
- TEMPO (DG TAXUD's methodology);
- International standard and best practises;
- All documents in the Call for Tenders baseline.

1. WORK PACKAGES, DELIVERABLES AND PLANNING REQUIRED

1.1. OVERVIEW OF THE WORK PACKAGES

The following tree depicts the structure of the work packages covered by the framework contract.

- **WP.0 Project Management**
  - WP.0.1 Produce & maintain the FQP
  - WP.0.3 Produce and maintain the CQP
  - WP.0.4 Produce Proposals for Specific Contracts (SC) and Request for Actions (RFA)
  - WP.0.5 Internal activities: Quality Assurance (QA), Quality Control (QC), Risk Management (RM), Self Assessment (SA), Internal Auditing (IA), Team Organisation and Management
    - WP 0.5.1 Internal QA: Promote Compliance
    - WP.0.5.2 Internal QC
    - WP.0.5.3 Risk Management
    - WP.0.5.4 Self Assessment & Internal Audit: Control Compliance
    - WP.0.5.5 Internal Team Organisation and Management
  - WP.0.6 Interaction and Co-ordination with the Commission
  - WP.0.7 Reporting
  - WP.0.8 Planning
  - WP.0.9 Co-operation with the Commission during Quality, Process and Security Audits
  - WP.0.10 Delivery of Artefacts
  - WP.0.11 Delivery and Management of Translations
    - WP.0.11.1 Manage and deliver translations amongst EN, FR, DE.
    - WP.0.11.2 Manage and deliver translations amongst the EU official languages
  - WP.0.12 Manage Procurement of Necessary Products and Services
- **WP.1 Set up and maintenance of resources**
  - WP.1.3 Set up and maintain the office infrastructure
  - WP.1.6 Set up, install, operate and maintain the IT and Telecom infrastructure
- **WP.2 Take over**
  - WP.2.1 Take over of Excise systems and applications
    - WP.2.1.1 Define the detailed take-over plan for the Excise systems and applications
    - WP.2.1.2 Take over of Excise system and related activities resulting in FAT report
  - WP.2.2 Take over of Taxation systems and applications
    - WP.2.2.1 Define the detailed take-over plan for the Taxation systems and applications
    - WP.2.2.2 Take over of Taxation activities resulting in FAT report
- **WP.3 Support via Training/Workshop/Working Group/Demonstration, Mission, Consultancy**
  - WP.3.1 Training/Workshop/Demonstration
    - WP.3.1.1 Preparation of material
    - WP.3.1.2 Performance
    - WP.3.1.3 Attendance
    - WP.3.1.4 Hosting Facilities and infrastructure
    - WP.3.1.5 Organisation and Reporting
  - WP.3.2 Missions
  - WP.3.4 Consultancy
- **WP.4 Co-ordination with all involved actors**
  - WP.4.1 Technical meetings with the Commission or other contractors involved in the programme or related projects
  - WP.4.2 Project Monthly Meetings
    - WP.4.2.1 Attendance
  - WP.4.5 Working Committee meetings and their sub groups
    - WP 4.5.1 Preparation
    - WP 4.5.2 Performance
    - WP.4.5.3 Attendance

- WP.4.7 Technical review of the deliverables of other contractors

WP.5 Hand over

- WP.5.1 Define the detailed Hand over plan
- WP.5.2 Hand over of all documentation, source code, infrastructure
- WP.5.3 Training and support

WP.6 Trans-European Systems Specifications

- WP.6.0 Feasibility Study
- WP.6.1 System Specifications
  - WP.6.1.1 New System Business Specifications
  - WP.6.1.2 New System Technical Specifications
  - WP.6.1.3 New System Test Design Specifications
- WP.6.2 System supporting Documentation
- WP.6.3 Enterprise Architecture
- WP.6.8 Evolutive maintenance of specifications
  - WP.6.8.1 Evolutive maintenance of System Business Specifications
  - WP.6.8.2 Evolutive maintenance of System Technical Specifications
  - WP.6.8.3 Evolutive maintenance of System Test Design Specifications
- WP.6.9 Corrective maintenance of system specifications
  - WP.6.9.1 Corrective maintenance of Excise system taken over specifications
  - WP.6.9.2 Corrective maintenance of Taxation system taken over specifications
  - WP.6.9.3 Corrective maintenance of specifications written under this framework contract
- WP.6.10 Transformation of taken-over system and application specifications
  - WP.6.10.1 Transformation of System Business Specifications
  - WP.6.10.2 Transformation of System Technical Specifications
  - WP.6.10.3 Transformation of Application Specifications

WP.7 Applications Specifications, Build and Test

- WP.7.0 Application Business Process model, Requirements and Functional Specifications
- WP.7.1 Application Technical Specifications
  - WP.7.1.0 Function Points measurement
  - WP.7.1.1 Production of Application Technical Specifications
  - WP.7.1.2 Production of Application Test Specifications
- WP.7.2 Application Development
- WP.7.3 Evolutive Maintenance of Application Specifications
  - WP.7.3.1 Evolutive Maintenance of Application BPM, Requirements and Functional Specifications
  - WP.7.3.2 Evolutive Maintenance of Applications Technical Specifications
  - WP.7.3.3 Evolutive Maintenance of Applications Test Specifications
- WP.7.4 Evolutive Maintenance of developed applications
- WP.7.5 Prototyping
- WP.7.6 Evolutive Maintenance of developed prototypes
- WP.7.7 Production and Evolutive Maintenance of the package of test data
- WP.7.9 Corrective maintenance of the build and test software and applications specifications
  - WP.7.9.1 Corrective maintenance of Excise taken over build and test software
  - WP.7.9.2 Corrective maintenance of Taxation taken over build and test software
  - WP.7.9.3 Corrective maintenance of build and test software written under this framework contract

WP.8 Operation Technical Support activities

- WP.8.1 Incident and Problem Management
- WP.8.2 Incident Resolution
- WP.8.3 Problem Resolution
- WP.8.4 Change Management
  - WP.8.4.1 Change Management: prepare and attend CAB meetings
  - WP.8.4.2 RfCs preparation for CAB (incl. Review cycle after CAB) for Configuration Items related to Trans-European Systems Specifications
  - WP.8.4.3 RfCs preparation for CAB (incl. Review cycle after CAB) for Configuration Items related to Applications Specifications, Build and Test
- WP.8.5 Configuration Management
- WP.8.6 Technical Support for applications and deployment of the Trans-European Systems
- WP.8.8 Support outside Working Hours
  - WP.8.8.1 Support outside working hours for specifications activities
  - WP.8.8.2 Support outside working hours for development activities

WP.A Deliverables and services on request in the scope of the Framework Contract

Figure 1 – List of the Work Packages

1.2. SPECIFICATIONS OF THE WORK PACKAGES

The following table gives a description of the work packages covered by the framework contract.

	Work Packages
WP.0	**Project Management**
	This work package covers all the activities needed to ensure management of the Framework Contract and of the related specific contracts. It mainly relates to the management of the FITSDEV3 contractor's activities, its internal team organisation and the co-ordination with the Commission. This work package also covers the management of all administrative procedures related procurement, accounting and invoicing of all services covered by the Framework Contract.
WP.0.1	Produce and maintain the FQP
	To produce, deliver and maintain the Framework Quality Plan (FQP), ensuring that all activities performed under this Framework Contract comply with the Programme Quality Plan (PQP). The FQP will contain among other topics: – a Work Breakdown Structure (WBS) of the activities; – the structure of the overall Monthly Progress Report (MPR) and the Monthly Service Report (MSR); see section 3.12 for an MPR model a Deliverable Tracking Matrix (DTM), in line with the life cycle chosen; – the overall FITSDEV3 process model (application management, incident management, problem management, change management, configuration management, security management etc.), the internal processes in application for the contract, including team organisation and composition, Quality Assurance and Control procedures, the escalation process and rules; – the "interaction model" between Commission and contractor (see section 3.2 for information on the interaction model), – a planning schedule of the activities in Gantt presentations; – the security plan and associated controls (separate document – see next paragraph); – the generic Operational Level Agreement (OLA) which defines service quality requirements, quality of services, quality targets, objective metrics to measure performance achieved and monitoring means for all services to be provided during the course of the framework contract. It includes the generic definition of the SQI which will be commonly reused across all Specific Contracts (SC's). It can refer to the SLAs of DG TAXUD towards its customers, OLAs between the Commission and its partners and ToC between the NAs and the Commission. The specific OLA applicable to each of the Specific Contracts must be part of the Contract Quality Plan (CQP) produced under WP.0.3; – Business continuity, disaster recovery plan (can be annexed to the security plan). The contractor will perform the activities **compliant with TEMPO security management and EC standards**. In particular in the case of information system development (system supplier), **the contractor will apply the TEMPO "*Security Software Development Lifecycle*" reference manual** (TMP-REF-SDLC-v1.00), in line with the EC "*Standard on Secure Systems Development*". As such, it will deliver a Security Plan to the Commission. Other specific EC standards to consider especially during the development of information systems are the "*Standards on Technical Vulnerability Management", "Standard on Mobile Code", "Standard on IS Security Incident Management"* and

	Work Packages
	"*Standards on Logging and Monitoring*". The Commission reserve the right to impose additional specific physical and logical security rules in the future, must the need arise. The FQP will need revisions, reflecting the evolution of the programme, quality procedures, CSIP and OLA. Similarly, the Security Plan may require revisions of the same nature.
WP.0.3	Produce and maintain the CQP
	The contractor has to produce, deliver and maintain the Contract Quality Plan (CQP) for each Specific Contract (SC) issued under the Framework Contract which defines the specifics applicable for the SC. The CQP must be compliant to the FQP produced as described under WP.0.1. The CQP will contain among other topics: – the detailed Work Breakdown Structure (WBS) of the activities; – the Deliverable Tracking Matrix (DTM); – the planning schedule of the activities in Gantt presentations; – the structure of MPR's and/or MSRs; – any deviation/addition to the PQP and/or the FQP; – the contractual OLA which defines specific service quality requirements, specific quality of services, specific quality targets, objective metrics to measure performance achieved and monitoring means for all services to be provided during the course of the Specific Contract (see section 2.4 for more information on the OLA); The CQP will need revisions, reflecting the evolution of the programme, quality procedures and contractual OLA. The CQP and OLA templates are available from TEMPO.
WP.0.4	Produce Proposals for Specific Contracts (SC) and Request for Actions (RfA)
	In the context of demand management[1], the contractor has to produce proposals on request from the Commission for Specific Contracts (SC) and for Requests for Action (RfA) to provide services and deliverables in the context of this FWC. The Commission will request proposals for SCs via the Request for Offer (RfO) form, and proposals for triggers and RfAs via the Evaluation Request (ER) and Request for Estimation (RfE) forms respectively. The quotes must be expressed in quantities of service units, and associated unit prices, with reference to the Price Schedule of the Framework Contract and the Budget Provision. The quality of the SC and RfA proposals process will be monitored by means of the time required to receive an acceptable offer/estimate. Each proposal/offer will go through an internal review cycle (T1/T2/T3) which will be defined by DG TAXUD in the RfO, ER or RfE. If applicable, the amount of effort proposed to perform the work covered by SC/RFA will be justified by using the output based measurement as described in section 3.8 of the Terms of References. The measurement will be documented by the FITSDEV3 contractor. Samples of RfO, RfE, RfA templates as well as a description of the ordering process are included in the Annex XI – Baseline: General documents\Samples of RFE-RFA-RFO templates
WP.0.5	Internal activities: Quality Assurance (QA), Quality Control (QC), Risk Management (RM), Self-Assessment (SA), Internal Auditing (IA), Team Organisation and Management
WP .0.5.1	Internal QA: Promote Compliance
	Quality inspections will be performed by the contractor's quality officer. The main goal is to check the

[1] Demand management covers the follow-up of available quantities versus future needs, and the monitoring of orders (from Request for Estimation down to execution and closure of a Request for Action.

	Work Packages
	compliance of the activities and deliverables with the quality objectives, and with the contract standards and procedures. The contractor is requested to maintain a list of internal quality assurance meetings and minutes of those internal meetings, to be kept available on site in case of audit by the Commission (see WP.0.9).
WP.0.5.2	Internal QC
	To ensure internal quality review of ALL deliverables, including translations, prior to delivery to the Commission, ensuring that all quality criteria are complied with consistently across all deliverables. Quality Inspections will be performed by the Internal Quality Control Staff. The main goal is to check the compliance of the activities and deliverables with the Quality Objectives and with the Contract Standards and Procedures. Furthermore, this Work Package covers the effort required to complete the review cycle of a deliverable: – provide the author's position on technical and quality review comments, given by the Commission and/or any other party involved in the project, on deliverables submitted for review to the Commission, – participate in the review meeting(s) to clarify the author's position on review comments and reach agreement on implementation of the review comments (either in the Commission's premises or by conference call), and implement the review meeting decisions in the relevant deliverable. The contractor is requested to keep all the internal quality inspections on site in case of audit by the Commission (see WP.0.9).
WP.0.5.3	Risk Management
	The contractor has to perform the Risk Management for the OLA and report on this to the Commission via the Monthly Progress Report (MPR), including risk analysis and mitigation. The contractor must keep its internal risk analysis records available on request of the Commission.
WP.0.5.4	Self-Assessment and Internal Audit: Control Compliance
	The contractor has to perform self-assessment and internal audits periodically, as a minimum twice a year, for all service processes of the contract, report outcome/findings to the Commission and introduce the necessary improvements in line with the proposed Continuous Service Improvement Programme (CSIP) (as described in the FQP) and /or corrective actions. The contractor must follow up the implementation of the actions agreed with the Commission and/or those resulting from the quality audit process. The self-assessment and internal audit activities must ensure that: – the Technical Annex, FQP, CQP and OLA are adhered to and implemented consistently across all activities, – any corrective measures are taken in case of deviation. Self-assessment will be conducted by the contractor's staff responsible for delivering the activities. Internal audits will be performed by an authorised contractor's Quality Officer, external to the team, to ensure independence and objectivity. The contractor is requested to keep all self-assessment and internal audit reports available on site in case of audit (see WP.0.9).
WP.0.5.5	Internal Team Organisation and Management
	The contractor must take all necessary steps so that the internal team needed to provide all required services is organised in such a way that, – it functions as one team internally, – layers are created from an hierarchical viewpoint in function of the size of the overall team and the different activities in order to create a correct balance of concentration and distribution of the acquired knowledge. This means that the overall knowledge must be shared, on the one hand, by several persons responsible for sub-domains of the project in order to reduce the risk of dependency on particular staff members but, on the other hand, not too fragmented amongst too many staff members so that the overall picture is lost,

	Work Packages
	– uniformity in terms of methodology and technical implementation is guaranteed.
WP.0.6	Interaction and Co-ordination with the Commission
	The contractor must put into place an organisational structure that matches the one set up by the Commission, and specify and put into place an "interaction model" as specified in section 3.2. The contractor must nominate a number of Single Points of Contact (SPOCs) for coordinating effort and activities with the SPOCs nominated by the Commission at all levels (i.e. contractual, technical, administrative, etc). The contractor has to co-ordinate efforts with the Commission on a monthly and on an ad hoc basis. Also, the contractor must prepare, hold and minute monthly and ad hoc meetings with the Commission in the Commission's premises. The availability of the contractor for this co-ordination must be as follows: – bilateral monthly meetings (BMM) are planned in advance, – Steering Committee meetings, typically on a quarterly basis, chaired by the Commission and focusing on the strategic aspects of the contract and risk management, – Ad hoc meetings, called on request, at a mutually agreed date and time. The contractor will produce the agenda and the minutes of the meetings. In case of conflict between the minutes and the contractual documents, the latter take precedence. In addition, the contractor must take the necessary management steps to ensure that the actions that he has committed to undertake are performed according to expectations. On request of DG TAXUD, ad hoc coordination meetings can also be organised with a minimum of 4 working hours notice.
WP.0.7	Reporting
	The contractor has to report to the Commission on a monthly basis via the Monthly Progress Report (MPR). The MPR to the Commission details the contractual situation, the activities, status of deliverables, resource allocation, cost allocation per system/project[2], services consumption, plans. If applicable, the inventory of hardware and software (including end of maintenance date) will be added in an appendix to every MPR. Furthermore, the monthly progress report will include the Monthly Service Report (MSR). In cases where more than one SC run in parallel, the contractor may be requested to provide a bundle of MPRs, that is, one per SC. A model of the MPR is shown in section 3.12. The FQP or CQP will define the structure of the Monthly Progress Report, as well as the content of the overall monthly progress report based on the indicative model given in section 3.12 of this technical annex. 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 (FWC, SC and RfA), on the other hand, the latter will always take precedence. The contractor has in addition to report to Commission on a weekly basis on the ordered and used quantities of the on-going Specific Contracts (consumption report), and on the status of the deliverables (DTM). Indicative examples/templates of consumption report and DTM are included in the Annex XI – Baseline: • General documents\Samples of reporting consumption and DLV status Finally, an "Acceptance Report" for every issued Request for Action (RfA), regardless its type (i.e. OD, QTM) has to be drafted and delivered by the contractor to DG TAXUD before the drafting of the "Acceptance Letter" by DG TAXUD. In this report, the contractor states: – Deliverables data (i.e. deliverable ID/name, SfR/SfA dates together with the registration

[2] Cost allocation per system/project will be a separate annex to MPR. The objective is to have a clear picture on the spending made per every single application/system.

	Work Packages
	reference, delivery delay expressed in days, SQI value, reference to verification report issued by QA contractor), – Impact, if any, due to a delay in the submission of a deliverable for example, – GQI, if applicable, of the RFA subject to acceptance, – Consumption data (i.e. total units ordered, consumed, remaining) in case the RFA concerns the release of quantified services (i.e. meetings, missions, etc). Once this acceptance report is agreed or accepted by DG TAXUD, the "Acceptance Letter" will be drafted. During invoicing, the contractor has to provide all relevant acceptance letter(s) as part of the supporting documentation to the invoice. See also document "Guide on Ordering, RFA acceptance and invoicing process" in the Annex XI – Baseline: General documents\Guide to ordering and RFA acceptance process
WP.0.8	Planning
	The contractor is responsible for maintaining the planning schedules for ordered and/or forecasted activities in the scope of the contract. The planning schedules will be maintained, on the one hand, with the support of a project management tool compatible with that used at the Commission (currently MS Project) and, on the other hand, with the support of a Deliverables Tracking Matrix (DTM) tool as described in the FQP and CQP. The planning schedules will be annexed to the MPR and the DTM will be delivered on a weekly basis.
WP.0.9	Co-operation with the Commission during Quality, Process and Security Audits
	The Commission or a party nominated by the Commission will request on average one audit per year in the contractor's premises. The number and timing of these audits are determined by the Commission. The contractor has to collaborate with and fully support the audit team during its entire mission. After the audit report is released, the contractor will issue his position regarding the points raised in the audit report. These will be discussed between the Commission and the contractor. Follow-up of the decisions, agreed between both parties, will be implemented via the MPRs, or if necessary, by conducting another verification audit in the contractors' premises. Note that audit reports are kept confidential.
WP.0.10	Delivery of Artefacts
	Apart from the scheduled delivery of artefacts, the contractor has to re-deliver on request by DG TAXUD, at the end of each quarter, all artefacts from the past quarter to an electronic repository of the Commission in general infrastructure (CIRCABC for example). However, the Commission may request the contractor to re-deliver artefacts on a DVD-ROM, if necessary.
WP.0.11	Delivery and Management of Translations
	The Commission can ask the contractor to manage and deliver translation from EN into any official EU language and from FR into EN and/or DE and from DE into EN and/or FR. The source can be plain text or more technical items such as screen labels, error messages, etc.
WP.0.12	Manage Procurement of Necessary Products and Services
	This work package covers the following activities: – Management of the administrative process of procurement and maintenance of the necessary products and services (mainly IT infrastructure and telecom services), – Maintenance of a detailed inventory of all hardware and software material under contract, with contractual maintenance and insurance status specified. The detailed inventory and procurement schedule will be annexed to the MPR (see WP.0.7).
WP.1	**ICT Infrastructure Management**
	This work package encompasses the set-up, operation and maintenance of all the resources required by the contractor to perform his contractual obligations: – office infrastructure; – specification, development, test and support environment; – telecom infrastructure and services.

	Work Packages
WP.1.3	Set up and Maintain the Office Infrastructure
	To set up the office infrastructure: PC's (incl. office automation tools), printers, printer and e-mail servers, all modern connectivity facilities (internet, e-mail, phone, fax). The contractor must set up the necessary office infrastructure in his premises for the successful execution of the work packages. This infrastructure must comply with the office automation in use within the Commission. The contractor is responsible for defining and estimating this infrastructure. The basic office infrastructure must cover at least: – An adequate office environment, including phone, fax and photocopying facilities; – One industry standard PC (personal computer) per staff member with tools compatible with the Central Project Office automation environment per person, and suitable printing and file server facilities, plus laptop PCs; – Individual e-mail addresses and Web access for each person; – Functional e-mail addresses as appropriate; – A dedicated meeting room for up to 16 persons (with phone and Internet accesses) available for meetings with the Commission and/or other contractors; – Facilities for Internet meetings/conferencing/learning/collaborative environment. Access to the office infrastructure must be restricted to pre-defined authorised persons (contractor's team members, the Commission's representatives and occasional accompanied visitors, such as staff members of the other contractors).
WP.1.6	Set up, Install, Operate and Maintain the IT and Telecom Infrastructure
	Set up, install, configure, stage in, fine tune, operate and maintain the necessary infrastructure related to specification, build, test and support (amongst which material, computer rooms, COTS, telecom, servers, bandwidth, security devices, conference calls service, Internet access, Internet VPN connection to the call/action management system, test/reference/production environment, e-mail, connectivity to CCN gateways (Commission and the contractor). The infrastructure used for development must be in line with DIGIT Data Centre hosting guidelines [Annex XI – Baseline: Information System Hosting Guidelines]. The Commission will provide access to its ARIS infrastructure. The Commission reserves its right either to order the set-up of the required infrastructure by the contractors at his premises or to grant the contractor access to the Commission's specification/development/testing/Operation environment via a remote connection or to request transition during the life of the contract from one configuration to the other or any alternative. The contractor will specify the IT configuration needed to perform the job. All these activities cover specification, planning, installation, configuration, acceptance and running-in. The contractor will produce FAT reports for all IT and Telecom infrastructure and services procured or rented from a third party. The contractor will need to take the necessary insurance to cover the needed infrastructure against usual risks, security issues(fire, flood, thefts, etc). A disaster recovery plan will be set up, implemented and tested periodically (at least once a year). The initial proposed infrastructure for Excise and Taxation systems will be rented on a monthly basis for an initial duration of 12 months, followed by extensions as needed. Within the duration of the contract, the Contractor could be requested to use the infrastructure hosted in the Commission data centre.
WP.2	**Take over**
	The following section describes the various technical environments and specifications which are currently in use for the Taxation and Excise systems and applications and which must be taken over by the contractor.

	Work Packages
	The contractor will take-over activities, application source code, infrastructure if any, documentation, processes and reports from the Commission or a party nominated by the Commission. Currently one contract (Framework Contract number TAXUD/2008/CC/095 for Informatics Services and Products in the context of Specification, development, maintenance and support of Trans-European IT services in the areas of taxation and excise – FITSDEV2) is in place to provide services and products of similar nature to FITSDEV3 (i.e. specifications and development of trans-European IT services) for the Excise and Taxation systems and applications. The take-over will be synchronised with the ending of the services of the incumbent contractor. Since FITSDEV2 provides services to two areas, taxation and excise, DG TAXUD requires FITSDEV3 to organise two take-over threads, one for taxation systems and applications and one for excise systems and applications. Each take-over thread will last from 4 to 6 months. The key objectives of each take-over are to: – achieve a thorough integration of the contractor's team and the CPTs for all involved systems and applications; – ensure that proper coordination and collaboration are put into place with the other involved stakeholders (e.g. other contractors, Commission internal services). If needed, meetings will be organised with the key actors of other entities and to confirm the coordination processes; – formalise the transfer of responsibility from the previous contractor/organisation to the new contractor and define a clear reference baseline on the status of the specifications, software and related documentation and infrastructure if any; – be ready to deliver all required services without a regression in level of quality, availability and continuity. The contractor will take-over all items included in the EMCS and TAXATION sections included in the Annex XI – Baseline. The contractor will have the responsibility, for the Excise and Taxation systems respectively, to: – produce and deliver the detailed take-over plan in line with the situation in which the systems and applications will be at the time; – assess and acquire the knowledge of specifications, software and related documentation for all involved systems and applications; – proceed to the take-over according to the agreed plan. The take-over must not affect the quality of service delivered, regardless of the situation in which the system or application will be at the time. **The contractor is responsible for taking all the steps required to achieve a rapid induction and a seamless take-over of the activities in order to meet the planning requirements of each Central Project Team (CPT) (see Annex II.A – Terms of reference, section 3.4.1)**. During each take-over period, the CPT for Excise systems and the CPT for Taxation systems will provide the following at no cost/no charge[3] for the contractor: – access to all relevant Excise and Taxation deliverables; – whenever deemed necessary for the objective of the take-over, invitations to participate in Member State Committee meetings or Working Parties and relevant technical meetings with

[3] This means that the Commission organises the training at "no cost" for the contractor, and that the separate activities, such as attendance at training courses, will have no individual charge, but are all included in the total take-over price. This is not to be confused with the "attendance at training sessions" as specified under WP.3

	Work Packages
	other contractors that may be involved; – shadowing from the incumbent contractor for a number of days to be defined during the preparation of the Take-over plans; – training of a maximum of 2-3 persons from the contractor in Commission premises or at the contractor's premises on the following subjects: – during the Taxation take-over period: – Taxation Systems and Applications (maximum of 5 days); – CCN/CSI (maximum of 2 days); – Quality procedures (maximum of 3 days); – during the Excise take-over period to cover: – Excise System and Applications (maximum of 5 days). A maximum of 3 meetings of ½ day with each CPT to address induction questions. At the end of the take-over phase, all responsibility will have completely switched to the new contractor who must be ready to execute all the services in the scope of the framework contract. There is no hardware to be taken over from the previous contractors. DG TAXUD reserves the right to launch, before the take-over completions, a SC to cover new deliverables not related to legacy applications.
WP.2.1	Take-over of EMCS systems and applications
WP.2.1.1	Define the detailed take-over plan for the EMCS systems and applications
	In accordance with his offer, the contractor will have to propose the detailed take-over plan for the EMCS systems and applications which will be precise in terms of resources, schedule, deliverables and acceptance. The take-over plan must guarantee the smooth transition of all operations without any discontinuity of services. The take-over will be planned according to the end-date of the existing contracts.
WP.2.1.2	Take-over of the EMCS system and related activities resulting in FAT report
	This work package consists in taking over all the EMCS activities performed under the FITSDEV2 framework contract, either in production or in development (EMCS section of the Annex XI – Baseline). All specifications, application source code, infrastructure if any, documentation, service calls databases, quality review material, etc., will have to be migrated to the FITSDEV3 environment, so as to ensure their seamless use with the material produced or service delivered under FITSDEV2 framework contract. The Take-over activities must result in a FAT report to be produced by the contractor and proving that the contractor is ready to start all the other activities.
WP.2.2	Take over of Taxation systems and applications
WP.2.2.1	Define the detailed take-over plan for the Taxation systems and applications
	In accordance with his offer, the contractor will have to propose the detailed take-over plan for the Taxation systems and applications which will be precise in terms of resources, schedule, deliverables and acceptance. The take-over plan must guarantee the smooth transition of all operations without any discontinuity of services. The take-over will be planned according to the end date of the existing contracts.

	Work Packages
WP.2.2.2	Take-over of Taxation activities resulting in FAT report
	This work package consists in taking over all the Taxation activities performed under the FITSDEV2 framework contract, either in production or in development (TAXATION section of the Annex XI – Baseline). All specifications, application source code, infrastructure if any, documentation, service calls databases, quality review material, etc., will have to be migrated to the FITSDEV3 environment, so as to ensure their seamless use with the material produced or service delivered under FITSDEV2 framework contract. The Take-over activities must result in a FAT report to be produced by the contractor and proving that the contractor is ready to start all the other activities.
WP.3	**Support via Training/Workshop/Working Group/Demonstration, Mission, Consultancy**
	This work package covers all activities oriented towards all the parties involved in the programme (among which MS and CC, traders federations, economic operators, other contractors), providing support via organisation of training, workshops, working groups, on-site missions and consultancy missions. Reporting is requested for the training/workshops.
WP.3.1	Training/Workshop/Demonstration
	Considering the high number of parties involved, there is a continuous need for demonstration, workshops and training sessions on the specifications, development and testing, products and services that the Central Project Team delivers. The training material can be composed of all kind of items going from classical documents to multi-media facilities imbedded in an E-learning module. The training/workshops/demonstrations will be held in English. A training session or workshop has an average duration of 2 days, excluding travel time, if any. A demonstration has an average duration of 1 day, excluding travel time, if any.
WP.3.1.1	Preparation of Material
	The contractor is requested to cover under this work package the preparation of training/workshop/demonstration material. The preparation of a training session/demonstration includes: – content specification of the training session/demonstration; – ad-hoc material, software development, if needed In the case that the same training material is provided during several sessions, then only one preparation effort (cost) must be accounted for by the contractor.
WP.3.1.2	Performance
	Active contribution to Training/Workshops/Demonstration and performance in Commission's premises (Brussels and Luxembourg), MS, CC, or at the contractor's premises, upon request from the Commission. The training/workshops/demonstrations will be held in English.
WP.3.1.3	Attendance
	Passive attendance at training sessions, workshops, demonstrations in Commission's premises (Brussels and Luxembourg), MS or CC. A short report will be produced.
WP.3.1.4	Hosting Facilities and Infrastructure
	Covers infrastructure and associated operational needs (like material move, set up) for hosting demonstrations, training and workshops, and providing facilities required. This includes, amongst other things, meeting rooms (up to 90 persons), training rooms, PCs (minimum one per two

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	participants when applicable) and beamer. It also includes the copies of training/workshop/demonstration material for the participants as well as the administrative services needed for photocopying plane tickets.
WP.3.1.5	Organisation and Reporting
	It consists in: – briefing with agenda; – detailed minutes of the training/workshop/demonstration, reports including; – evaluation of the training/workshop/demonstration.
WP.3.2	Missions
	Participate in missions to support the MS and CC in order to set up their projects, set up their environment, build their applications, start and speed-up operation, including on-site training and on-site support for the MS and CC; It covers: – preparation of agenda, briefing; – preparation of mission material; – performance during the mission; – mission report and evaluation. A mission has an average duration of 2 days, excluding travel time, if any.
WP.3.4	Consultancy
	This work package covers consultancy services targeted at supporting the MS and CC in: – setting up and running their applications; – providing consultancy on governance and IT valuation.
WP.4	**Co-ordination with all involved actors**
	The co-ordination will rely on the following means: – Meetings, including: – Technical meetings between the contractor, the Commission and any other contractors; – Monthly meetings between all contractors involved in Excise or Taxation projects; – Working Group meetings (and sub-groups) with MS and CC; – Other ad hoc meetings; – Review of the compliance of deliverables from other contractors with the specifications; – Central baseline, which is the repository of documents, accessible to all parties.
WP.4.1	Technical meetings with the Commission or other contractors involved in the programme or related projects
	The scope of these meetings: – information exchange, knowledge transfer; – technical problem issue and resolution; – co-ordination of activities on the basis of a subset of the detailed planning of the CPT activities; – producing minutes of the meeting. The meetings are held in the premises of one of the participating parties
WP.4.2	Project Monthly Meetings
WP.4.2.1	Attendance
	The contractor will have to attend both the EMM and TMM which will be scheduled ½ day each, once per month in the Commission's premises.

	Work Packages
	These meetings are held to coordinate all the contractors. They are chaired by the Commission. The CPT reserves its right to cancel this meeting.
WP.4.5	Working Committee meetings and their sub-groups
WP 4.5.1	Preparation
	Active technical contribution to the meetings in Commission's premises. This work package covers the preparation of the meeting material.
WP 4.5.2	Performance
	Active technical contribution to the meetings in Commission's premises. This work package covers the performance during the meeting: presentation, answers to questions from the audience.
WP.4.5.3	Attendance
	Passive attendance at the Working Committee meetings and their sub-groups. Schedule of the Working Committee events will be provided to the contractor at least 2 weeks in advance.
WP.4.7	Technical review of the deliverables of other contractors
	The contractor will contribute to the verification of the technical conformance[4] of the deliverables of the other contractors with the specifications. This encompasses the following activities: – list and log of all comments related to a deliverable under review; – attendance at meetings or conference calls with all reviewers and authors, for clarification of the issues and author positions; – warnings to the Commission in case of severe defect in the technical conformance of the deliverable; The review cycle will be detailed in the PQP and/or the related DTM. The CPT reserves its right to decide which of the review comments will be implemented amongst those submitted. The contractor has no right to limit its overall responsibility in the project on the grounds that the CPT would have implemented only a subset of the comments issued.
WP.5	**Hand-over**
	The Commission may request the contractor to take specific steps to hand over part or whole of their activities to the Commission or to a third party at the end of the contractors' framework contract, or earlier on request from the Commission.
WP.5.1	Define the detailed Hand-over Plan
	Prepare plan for hand-over.
WP.5.2	Hand-over of all documentation, source code, infrastructure
	Hand-over to the Commission (or a party nominated by it) of all documentation, source code, and infrastructure procured under the contract.
WP.5.3	Training and support
	Training and support to a third party

[4] To avoid any confusion on the activities covered by the expression "Quality Control", the description text uses the wording "technical conformance", which means that the reviewer is asked to comment on the quality of the deliverable at the level of the "technical conformance", as opposed to the "Quality Control" comments, which concentrate on problems of conformance with the Quality Procedures or Quality Assurance systems put in place or typographical type problems. The latter will be performed by the QA contractor. In practice though, the comments concerning "technical conformance" and those concerning "quality control" will be gathered in a single database of comments, for the sake of author's facility.

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	Support includes support to the "shadowing" of the contractor's activities by the third party, on request and for a duration of the applicable phase.. Training sessions are to be accounted via WP.3.
WP.6	**Trans-European Systems Specifications**
	This Work Package covers the activities undertaken to produce and maintain the Trans-European System Specifications as defined in TEMPO Trans-European Lifecycle. It is the contractor's main responsibility to ensure consistency throughout all specifications. The specifications are produced and maintained in EN. Some of them might be translated into DE and FR.
WP.6.0	Feasibility Study
	This Work Package covers the production of a Feasibility Study. A Feasibility Study aims at making a choice between business and technical scenarios, to decide on the activation of subsequent development phases for a given system or application. The Feasibility Study document can cover various items following the request of the Commission. Some examples of these items are (non-exhaustive list): – a problem statement, – high-level requirements, – business cases, – operational, business or technical considerations, – technical solutions, – costs-benefit analysis, – deployment scenarii etc. The document will always contain a costing plan and a time schedule. In particular, the contractor could be requested to contribute to the production of a business case and vision document as defined by the Commission Corporate IT Governance. Example on Annex XI – Baseline: • TAXATION\Current Systems\2.2 Direct Taxation\2.2.2 Automatic Exchange Inform (AEoI)\A. System Specifications

	Work Packages
WP.6.1	New System Specifications
	The work package consists in producing the specifications at the Trans-European level. The System Specifications concentrate on the interfaces/interactions between the different applications/systems constituting the TES but do not consider the specifications that are strictly specific to the different applications. The System Specifications will guide the behaviour of the complete TES and the interactions between the different systems/applications. These specifications need to be agreed by all parties involved (DG TAXUD, national administrations) before starting the development of the different applications that will compose the system. All documents produced under this WP must prove compliance with requested standards and include statements on portability and scalability of the technical solution.
WP.6.1.1	New System Business Specifications
	The activities covered by this work package will include the production of: – System Business Process Model. The documentation and models will be made with the support of the ARIS family of applications – System Requirements – System Functional Specifications
WP.6.1.2	New System Technical Specifications
	The activities covered by this work package will include the production of: – System Architecture – System Design
WP.6.1.3	New System Test Design Specifications
	The activities covered by this work package will include the production of: – Conformance Test Protocol as defined in TEMPO.
WP.6.2	System Supporting Documentation
	The work package consists in producing all the artefacts that will allow putting into place the organisational rules for the development and operation of the TES. The most important document produced during this phase is the "Terms of Collaboration" that will define the roles and responsibilities of all actors and the decision process during the development and operation phases of the TES. The other "non-technical" general documents, such as System Security Policy, System Scope Document, are created during this phase. The activities covered by this work package will include the production of: – Terms of Collaboration – Service Level Agreements – Security Policy – Phasing and Scope Specifications – Security Specifications – Central Office Specifications – TES Management Specifications
WP.6.3	Enterprise Architecture
	This work package covers the production of Enterprise Architecture artefacts, both documentation and models with the support of the ARIS family of applications (ARIS Business designer, ARIS IT

	Work Packages
	Architect, etc..). The Enterprise Architecture activities comprise: – Business Architecture, – IT Architecture for the Taxation European Information systems, via systems and applications maps and analysis. This Work Package covers all domains of architecture, so as well information architecture, system services architecture, etc. The Commission will provide the contractor, without costs, with an access to its ARIS infrastructure.
WP.6.8	Evolutive maintenance of the Business and Applications Functional specifications
	The evolutive maintenance covers the implementation of the change requests made by the Commission following the change management procedures. This Work Package applies to System specifications (produced via WP.6.1 and taken over WP.2). It applies to specifications written under this FWC or taken over specifications.
WP.6.9	Corrective maintenance of the system specifications
	The corrective maintenance covers the correction of all specifications necessary for the resolution of recorded errors. This Work Package includes specific activities covering pre-emptive monitoring of the quality of the specifications. The Quality of Service to be maintained for corrective maintenance will be specified in the contractual OLA.
WP.6.9.1	Corrective maintenance of Excise system taken-over specifications
	This work package relates to the corrective maintenance of all Excise system taken-over specifications under WP.2.1.2 and necessary for the resolution of recorded errors.
WP.6.9.2	Corrective maintenance of Taxation system taken-over specifications
	This work package relates to the corrective maintenance of all taxation system taken-over specifications under WP.2.2.2 and necessary for the resolution of recorded errors.
WP.6.9.3	Corrective maintenance of Specifications written under this framework contract
	This work package relates to the corrective maintenance of all specifications written under WP.6 and necessary for the resolution of recorded errors.
WP.6.10	Transformation of System and Applications Specifications
	The tasks to be performed under this work package consist in transforming / completing the existing systems and applications that are not making use of the output based measurements to make use of: – BPM – UML notation, – Any other relevant output based measurements mentioned in the Terms of References section 3.8. The activities under this work package also include the measures of the system using the output based elements. Once the measurements of the systems done under this work package, the amount of effort proposed to perform any changes to the corresponding system will have to be justified by using the output based measurement as described in section 3.8 of the Terms of References. The measurement will be documented by the FITSDEV3 contractor. The measurement of the function points for the applications is covered by WP.7.1.0.
WP.7	**Applications Specifications, Build and Test**

	Work Packages
	The contractor will provide deliverables and services to build and test the Excise and Taxation system applications/services following the TEMPO Trans-European Application Lifecycle. The Work Package covers in general terms: – the application specifications; – the development and unit testing of programmes or software components; – the production of manuals; – the assembling and packaging of a software release together with the installation procedures; – the integration and factory acceptance testing; – the load, stress and performance testing; – the maintenance of the build and test software and document deliverables; – the quality control of the build and test document deliverables. The acceptance of the build and test deliverables consists of FAT, PreSAT and SAT activities, as described in detail in the PQP, FQP or CQP. As for the specifications, all items produced under this Work Package must be placed under strict Configuration Management in order to support their iterative, incremental production and their future maintenance. Maintenance can be of the following nature: – Evolutive maintenance will always be triggered by a request from the Commission; – Corrective maintenance is triggered by incidents resulting in error recording and subsequent correction. The incident can be initiated by the service desk (managed by the IT service management contract) or the Central Project Team. The contractor must, within this task, apply preventive maintenance in order to limit the error detection by other parties subsequently. The document deliverables and software parts which have linguistic dependencies are produced and maintained in EN. The contractor may be asked to translate some of them into DE and FR.

	Work Packages
WP.7.0	Application Business Process Model, Requirements and Functional Specifications
	The work package consists in producing all the artefacts related to the Application Requirements and Functional Specifications. The Work Package covers the production of: – Business Process Model; – Application Requirements; – Application Functional Specifications;
WP.7.1.0	Function Points Measurements
	This work package covers the measurement of application in Function Points (based on IFPUG measurement as referenced in section 0.4 of Annex II.A - Terms of Reference).
WP.7.1.1	Production of Application Technical Specifications
	The specifications produced at the Trans-European Level (WP.6.0 and the application specifications WP.7.0) are completed so that there is enough information available for the building and testing of the application. These application technical and test specifications do not need to be agreed at trans-European Level. In some cases the systems specifications, or part of the system specifications, are immediately applicable at application level. In such cases, the corresponding documents will not be developed under WP.7, but those of WP.6 will be applicable instead. The activities covered by this work package will include: – Production of Application Architecture – Production of Application Design – Production of External Interface Specification
WP.7.1.2	Production of Application Test Specifications
	The activities covered by this work package will include: – Production of Application Test Specification and test scenario, including, but not limited to, nominal conditions, erroneous conditions, stress, robustness and performance tests, tests of the installation procedures, – Production of Application Conformance Test Protocol
WP.7.2	Application Development
	This Work Package covers: – documenting, programming and unit testing of the programmes or software components; – the writing of manuals and other help and training material facilitating the use of the software from the viewpoint of – the user: user guides and on-line help text facilities; – operations: administrator and operator guidelines. **All supporting material must be complete, accurate and non-ambiguous. It must allow the users (including the system administrators and other stakeholders) to work independently and autonomously.** – release assembling, packaging and installation procedure; – assembling a software release in order to be able to deploy it and execute a system test or a FAT; – integration testing of a software release; – performing the FAT testing, including:

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	– setup and prepare the FAT environment; – execute the installation of the application and test the installation procedure; – execute the tests including non-regression tests in case of corrections; – collect and process the test results; – produce the FAT report. The FAT is executed at the premises of the contractor. – Performing performance and stress testing – packaging the release and producing the installation procedure to be applied for subsequent deployments. – Support to Pre Site Acceptance Tests (PreSAT) The PreSAT precedes the SAT and is executed on the Commission environment which may be located (accessible) in a third party premises or at the Commission's premises. The purpose of the PreSAT is to prepare the SAT, i.e. it allows: – Integrating the parties involved in the Site Acceptance Test and the tested application – Identifying and raising issues regarding the tested software – Identifying and raising issues regarding the test infrastructure – Identifying and raising issues regarding the Test Cases and Test Scenarios – Identifying and raising issues regarding the accompanying technical and user documentation – Testing the installation, exploitation, operation documents – Analysing and correcting all raised issues before formal Site Acceptance Test may begin – Training the testers in the specific technical procedures and techniques required to execute the Tests and manage the infrastructure – Integrating all the resources needed: human and material – Support to Site Acceptance Tests (SAT); – All test cases must be run during PreSAT. This WP covers also the security and monitoring aspects of the developed applications: i.e. the FITSDEV3 contractor must take into account the monitoring requirements provided by the ITSM2 contractors. **Note that training/support costs exposed during Pre-SAT has to be accounted as an integral part of the build and test activities**.
WP.7.3	Evolutive Maintenance of Applications Specifications
	The evolutive maintenance covers the change requests made by the Commission on the applications specifications taken-over under WP.2.1.2 and WP.2.2.2 and the applications specifications produced or modified under WP.7.
WP.7.4	Evolutive Maintenance of developed applications
	The evolutive maintenance covers the change requests made by the Commission on the applications taken-over under WP.2.1.2 and WP.2.2.2 and the applications developed or modified under WP.7.
WP.7.5	Prototyping
	The main objective of the prototype is to demonstrate to the users how the business functionality specified will be automated. This activity must help to foster a common understanding between users and developers of the system around the actual user requirements, and to facilitate the acceptance by the users of the system specifications and their future implementation, thanks to early and frequent feedback cycles. Handling of non-functional requirements will be made in technical prototypes. The methodology supporting all the prototyping activities is DSDM, completed by TEMPO wherever deemed necessary.

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	The activities to be performed are common to business or technical prototypes. They consist in: – scoping – allows identifying the "must do" and "should do" elements of the prototype; – Agree schedule - this will drive the prioritisation of features as the prototype evolves; – Create prototype - this is done jointly with the users, although their involvement will be less for technical prototypes; – Review prototype (including Acceptance); In addition to the four (4) threads of activities foreseen in DSDM, a 5th one will take place: – Demonstrate prototype - every prototype's intrinsic use is to be demonstrated to all parties involved. These activities will not be accounted under this WP but under WP.3.1. During the prototype's lifecycle, it is recommended to proceed with several iterations (usually three) of the related activities, so as to benefit from comments and feedback, leading to several versions of the same prototype. The individual acceptance of the prototypes will be performed via FAT, at the end of the last foreseen iteration. Once accepted by the DG TAXUD, the prototypes will fall under a corrective and evolutive maintenance phase. The prototypes must be placed under strict Configuration Management in order to support their iterative, incremental development and their further corrective and evolutive maintenance. Training/workshop and Demonstration will be accounted under WP.3.1.
WP.7.6	Evolutive Maintenance of developed prototypes
	The evolutive maintenance covers the change requests made by the Commission on the prototypes taken-over under WP.2.1.2 and WP.2.2.2 and the prototypes developed or modified under WP.7.
WP.7.7	Production and Evolutive Maintenance of the package of test data
	This Work Package covers the activities for the production and evolutive maintenance of the package of test data dedicated to be used during: – the FAT session; – the PreSAT and SAT session; – stress and performance test session – Conformance Test. It also covers the support for execution of the performance and stress tests. The evolutive maintenance activity will cover the continuous process of collection of business test data.
WP.7.9	Corrective maintenance of the build and test software and documents
	The corrective maintenance covers the correction of all build and test software and documents necessary for the resolution of known errors. This work package includes specific activities performed by the contractor on a regular basis covering pre-emptive testing/improvement/fixing of the quality of the software. The corrective maintenance must ensure the integrity of the application in its whole, and reflect consistently the change brought by the corrections to other affected applications (i.e. "ripple effect"). If affected, the related specifications must also be updated accordingly. The Quality of Service to be maintained for corrective maintenance will be specified in the Contractual OLA.
WP.7.9.1	Corrective maintenance of Excise taken-over build and test software and application specifications
	This work package relates to the corrective maintenance of all Excise taken-over build and test

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	software and application specifications under WP.2.1.2 and necessary for the resolution of recorded errors.
WP.7.9.2	Corrective maintenance of Taxation system taken-over build and test software and application specifications
	This work package relates to the corrective maintenance of all Taxation system taken-over build and test software and application specifications under WP.2.2.2 and necessary for the resolution of recorded errors.
WP.7.9.3	Corrective maintenance of build and test software and application specifications written under this framework contract
	This work package relates to the corrective maintenance of all build and test software and application specifications written under WP.7 and necessary for the resolution of recorded errors.
WP.8	**Operation Technical Support activities**
	This Work Package covers the services and deliverables required to support the developed or taken-over systems and applications. This work package includes: – close support to the ITSM2 contractors in charge of the IT service management; – close support to DG TAXUD or any other involved party; – close integration with the processes and tools put into place by the ITSM2 contractors for operations. This type of support can be remote or on-site. The contractor must follow ITIL processes.
WP.8.1	Incident and Problem Management
	The contractor has to manage the complete life cycle (up to closure) of each incident in the scope of the contract, to resolve incidents falling under his/her direct responsibility or escalate to, and coordinate effort with, 3rd parties responsible for resolving them In case of an incident escalation towards a 3rd party, unless otherwise specified in an applicable OLA, the contractor has to issue periodic reminders as appropriate until the incident is resolved. These activities include analysis of the call, finding an immediate solution, otherwise allocation to a further level of support for action, follow-up and qualification and link back with the IT Service Management contractor.
WP.8.2	Incident Resolution
	This Work Package covers all the activities required to resolve the incident, up to its closure. This Work Package covers also support activities triggered by NAs. Note that the support to NAs is only to be performed remotely (no on-site support). The scope of the calls covers all activities under WP.6 and WP.7 and taken-over under WP.2.
WP.8.3	Problem Resolution
	This Work Package covers all the activities required to resolve the problem, up to its closure. This Work Package covers also support activities triggered by NAs. Note that the support to NAs is only to be performed remotely (no on-site support). The scope of the calls covers all activities under WP.6 and WP.7 and taken-over under WP.2.
WP.8.4	Change Management
	This Work Package covers the change management activities for Configuration Items produced under WP.6, WP.7 and the Configurations Items from WP.2
WP.8.4.1	Change Management: prepare and attend CAB meetings
	This Work Package covers the attendance of the contractor at the Change Advisory Board (CAB) and

	Work Packages
	the follow-up on CAB decisions and actions. The CAB meetings take place at the Commission's premises. Depending on the CPT organisation, there could be one CAB meeting for Taxation and one separate one for Excise. The Configuration Item (CI) owners from contractor must attend the CAB for the Request for Changes (RfCs) under their domain of responsibility but also when there is no RfC for their domain of responsibility as their CI could be affected by RFC from other domains.
WP.8.4.2	RfCs preparation for CAB (incl. Review cycle after CAB) for Configuration Items related to Trans-European Systems Specifications
	This work package covers the preparation of RfCs for CAB (incl. Review cycle after CAB) for Configuration Items handled under WP.6, including the follow-up on the review cycle organised for the RfCs after the CAB. This work package covers also those CIs taken-over under WP.2 that correspond to the scope of WP.6 deliverables. Note that the implementation of the RfCs is not covered by this work package
WP.8.4.3	RfCs preparation for CAB (incl. Review cycle after CAB) for Configuration Items related to Applications Specifications, Build and Test.
	This work package covers the preparation of RfCs for CAB (incl. Review cycle after CAB) for Configuration Items handled under WP.7, including the follow-up on the review cycle organised for the RfCs after the CAB. This work package covers also those CIs taken-over under WP.2 that correspond to the scope of WP.7 deliverables. Note that the implementation of the RfCs is not covered by this work package.
WP.8.5	Configuration Management
	Ensure that the CDA in terms of software, hardware and COTS needs is aligned to the evolution of the configuration baseline requirements as defined by the ITSM2 Lot 1 contractor. Contribute to the CMDB and Enterprise Architecture artefacts maintained by the ITSM2 contractors. This activity, which will encompass porting, migration, phasing out of software/COTS/hardware, will guarantee that Excise and Taxation applications are never in a situation of lack of support/end of support from software/COTS/hardware vendors. A typical activity under this work package is the alignment of the applications to a newer version of a COTS (same product/family range) for which the end of support has been notified (eg. upgrade). These activities will have to be carefully planned in order to have the minimum disruptive effect on operations. Alignment of the CDA which requires migration, porting from one COTS family to another one, or from one hardware platform to a different one, will be kept outside of this WP.
WP.8.6	Technical Support for applications and Trans-European Systems
	This Work Package covers the following support activities: – for Centrally Developed Applications which are centrally deployed: – assistance in monitoring the production environment in case of major incidents such as long duration bad performance situations, bad functioning of one or several system components. – installation of software releases in the production environment or assistance in the installation. – for the Trans-European System: assistance to the ITSM2 contractors and the Member States in particular, but not exclusively, during the Conformance Tests campaigns, including the aftercare after the entry in operations.. This work package includes close support to the contractor in charge of the IT service management.

	Work Packages
	This type of support can be remote or on-site.
WP.8.8	Support outside working hours[5]
	The contractor may provide, at the request of the Commission, services outside working hours. Services to be provided may include specifications and development related activities. The support offer will be expressed by the contractor as resource quantities to be used. The contractor will produce a report for each and every ad-hoc request support activity.
WP.8.8.1	Support outside working hours for specifications activities
	This work package related to the specifications activities.
WP.8.8.2	Support outside working hours for development activities
	This work package related to the development activities.
WP.A	**Other deliverables and services in the scope of the Framework Contract**
	This work package is intended to cover all unforeseen activities falling in the scope of the Framework Contract. The ordering method is On-Demand and the price may based on any of the man-day profile prices or deliverables/unit price.

Table 1 - Specifications of the Work Packages

1.3. CATALOGUE OF SERVICES AND DELIVERABLES

The following sections provide a list of services and deliverables to be provided for each work package. The services are qualified by their planning when relevant, Quality of Service requirements, and Specific Quality Indicators, the deliverables by their planning, delivery and acceptance mechanism and their Specific Quality Indicators (SQI).

The planning and acceptance mechanisms are explained in sections 1.3.1 and 1.3.2, the SQIs are defined in section 1.3.3, and request and delivery mechanisms are explained in section 1.3.4.

1.3.1. PLANNING MECHANISM

The planning information will relate:

- **For a service**: to the 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 Specific Contract, in compliance with this Technical Annex, 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

[5] Working hours are defined in the General Terms and Conditions for IT Contracts

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 **(MA**) between the Commission and the contractor during the course of the SC, each planning agreement being recorded in the MPR of the month when the agreement took place;
- In a **Trigger:** (operational way to indicate to the contractor to start an activity which has already been ordered and for which the quantities to be consumed are well-defined (trigger has no financial impact). The trigger may be sent to the contractor either by paper mail or by a registered e-mail;
- In the **CQP**.

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, foreseen date, actual date of delivery are reported in the Monthly Progress Report.

1.3.2. ACCEPTANCE MECHANISM

1.3.2.1. ACCEPTANCE OF DELIVERABLES

The acceptance procedures applicable to the deliverables and services are specified hereafter. The Quality plans (PQP, FQP and CQP, refer to section 2.2) may specify further the acceptance process details of the deliverables but in case of conflict between these documents, the specific contract and this Technical Annex, the following decreasing precedence will prevail: SC, Technical Annex, CQP, FQP and PQP.

No formal acceptance applies for deliverables for which neither this Technical Annex nor does the SC define 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:

- The contractor Submits for Review (SfR) its deliverable to the Commission, and any nominated party[6], at the agreed date, starting T1;
- The Commission reviews the SfR deliverable and returns its comments to the contractor at the end of T1;
- The Commission reserves its right to reject the review in case the deliverable SfR is not fit for review, ending T1;

T2 period:

- T2 starts with the reception by the contractor of the review comments from the Commission[7];
- the contractor submits his author positions for each of the comments submitted by the Commission;
- the Commission may call a review meeting with the contractor to resolve outstanding review issues;
- the review meeting decisions are submitted by:
  - the contractor in case of minor or medium size review;
  - the Commission (or any other 3rd party designated by it, such as the QA contractor) in case of major size review;
- the 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:

- T3 starts with the reception of the SfA deliverable by the Commission;
- The Commission will then verify the SfA deliverable and inform the contractor of any deviation of the SfA deliverable from the author positions and meeting decisions, within a pre-agreed period T3;
- In case of deviation, the T2 period is re-opened, up to the time that the 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.

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[6] The Commission may use the support of the QA contractor for the management of the review cycles of submitted deliverables.

[7] The Commission may request other parties involved in the business threads (like the operations contractor, the QA contractor) to review deliverables submitted by the contractor. The comments from the Commission will include the comments of these 3rd parties. If the comments are delivered in various batches, the date of the last batch of comments is considered as the start of the T2 period.

The PQP defines some of those pre-agreed periods (review cycles), while the FQP, the specific contracts, their associated CQP and the Requests for Action will define additional periods if required and will set the pre-agreed dates for delivery.

The Commission draws the attention of the 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.

1.3.2.1.1. 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.

1.3.2.1.2. DELIVERABLES ACCEPTED VIA THE MONTHLY OR QUARTERLY PROGRESS REPORT

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 must contain a list of all deliverables presented for acceptance through it. Refer to section 3.12 for the proposed MPR structure.

1.3.2.2. SERVICES

The definition and the targets for the Quality of Services are set in the contractual documents, in the PQP/FQP/CQP and/or in the contractual OLA, which itself may refer to other applicable SLAs/OLAs.

The Monthly Service Report must report the actual QoS 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 also recorded in the Monthly Service Report.

The correctness of the reported QoS and SQI is confirmed by the acceptance of the Monthly Service Report.

Note that it is the factual correctness (alias integrity) of the reported QoS and associated SQI which are subject to acceptance via the MSR and not the service itself. The accepted QoS and SQI become then the indisputable bases for computing liquidated damages where applicable.

1.3.2.3. 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 Monthly Service Reports (MSR) 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, PQP, FQP and CQP on the other hand, the latter will always take precedence.

1.3.2.4. 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 setup of the contractor.

The acceptance of the Handover will be subject to a FAT performed in the premises of the contractor.

1.3.2.5. SOFTWARE

Acceptance of new applications or extensions of existing applications is performed according to a FAT/pre-SAT/SAT scheme, as detailed in the project PQP, unless the Commission decides to go through a simple qualification.

It must be noted that, although the acceptance of software is subject to a successful FAT, the invoicing will be subject to a successful pSAT / SAT execution.

1.3.2.6. SPECIFICATIONS LIFE CYCLE INVOLVING NATIONAL ADMINISTRATIONS

The lifecycle of a specification involving the National Administrations of the Member States and/or Candidate Countries or the administrations of other 3rd countries comprises three consecutive steps: (1) production of the specification in order to have it accepted by the Commission, (2) review for subsequent acceptance by the involved NAs, (3) maintenance and support.

The 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 contractor will deliver the minutes of the workshop, also according to a SfR/SfA cycle.

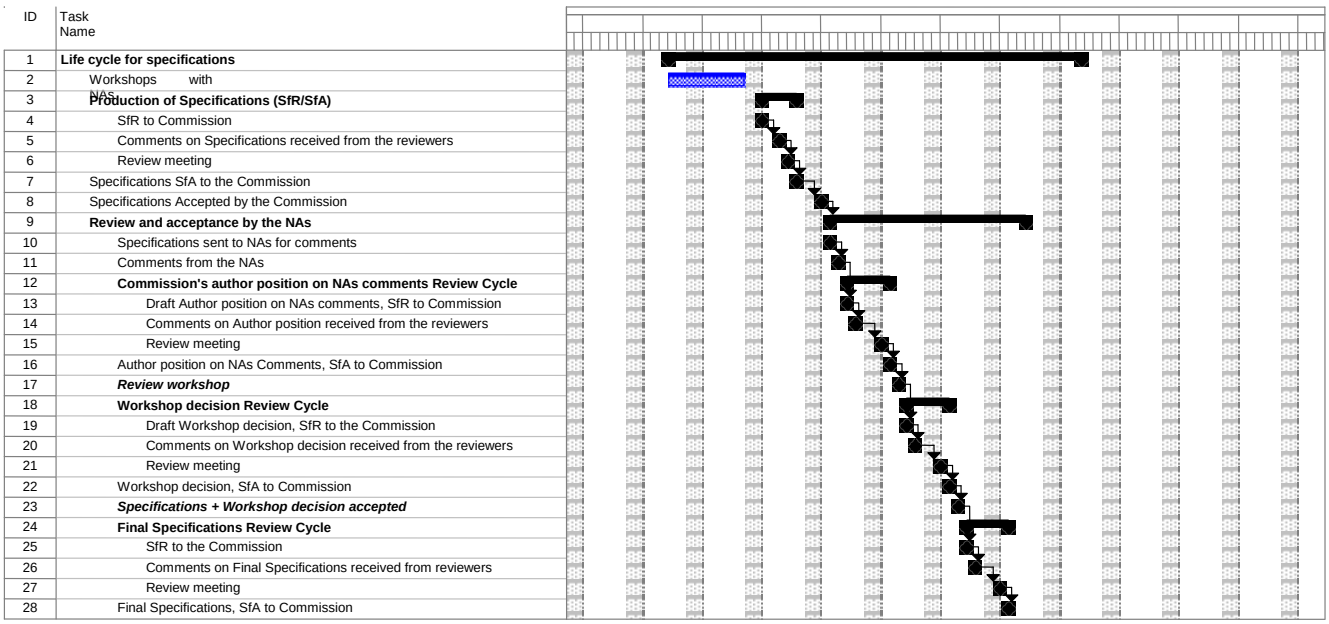
The Commission will then submit the bundle made of the documents as accepted by the Commission, and of the "workshop decision", for the approval of the national Administrations.

Once the NAs accept the bundle, the contractor will consolidate the "workshop decision" into the deliverables and deliver the final version of the specification, again according to a SfR/SfA cycle. This final version becomes part of the documentation baseline of the project.

All deliverables produced by the contractor under this step will be in EN only.

The timing of the consecutive SfR/SfA cycles can be defined in the PQP or further refined in the FQP, specific contracts, their associated CQP and the Requests for Action.

The following planning schedule is provided for information purposes. It shows the detailed sequence of events for the life cycle of specifications to be agreed with the National Administrations as described above.



ID	Task Name
1	**Life cycle for specifications**
2	Workshops with NAs
3	**Production of Specifications (SfR/SfA)**
4	SfR to Commission
5	Comments on Specifications received from the reviewers
6	Review meeting
7	Specifications SfA to the Commission
8	Specifications Accepted by the Commission
9	**Review and acceptance by the NAs**
10	Specifications sent to NAs for comments
11	Comments from the NAs
12	**Commission's author position on NAs comments Review Cycle**
13	Draft Author position on NAs comments, SfR to Commission
14	Comments on Author position received from the reviewers
15	Review meeting
16	Author position on NAs Comments, SfA to Commission
17	***Review workshop***
18	**Workshop decision Review Cycle**
19	Draft Workshop decision, SfR to the Commission
20	Comments on Workshop decision received from the reviewers
21	Review meeting
22	Workshop decision, SfA to Commission
23	***Specifications + Workshop decision accepted***
24	**Final Specifications Review Cycle**
25	SfR to the Commission
26	Comments on Final Specifications received from reviewers
27	Review meeting
28	Final Specifications, SfA to Commission

Figure 3 – Specifications Lifecycle: Detailed Sequence of Events

1.3.3. DEFINITION OF THE SQIS

Refer to section 2.7 for the formal definition of the SQI and GQI models and the way to calculate them from the QoS measurements, along with general indications on their use.

The table below in this section defines a minimum set of SQIs which may be used to measure the service quality. Some could be included in the GQI of future specific contracts or directly in the RFAs. Further SQIs may be defined by the Commission in the course of the contract as deemed adequate for reporting purposes and for inclusion in the GQI of an SC/RFA.

The choice of the SQI contributing to the GQI and their respective weights will be defined in the specific contracts (SC). The Commission reserves the right to change the SQI combination and weights in the GQI for each SC or in an RFA, as an instrument to enforce non-regression and continuous improvement of the quality of service.

In order to emphasise the importance the Commission attaches to a successful delivery of the FQP and the FAT Reports of the Take-Over, the combined weight of SQI11 and SQI21 used in the calculation of the GQI for the first SC (SC.01) will be not less than 50% of the sum of all SQI weights.

SQI#	Name	Target	Limit	Min nb of events
SQI01	**Delivery of a major deliverable**	**"0 delay" for acceptance**	**10 wdays**	**1**
SQI02	Delivery of a common deliverable	"0 delay" for acceptance	15 wdays	1
SQI03	FAT report (SW/Infra)	"0 delay" for FAT report acceptance	10 wdays	1
SQI04a	Monthly Progress Report (SfR)	"0 delay" for review	2 wdays	3
SQI04b	Monthly Progress Report (SfA)	"0 delay" for acceptance	5 wdays	3
SQI05	Handling time for incidents and problems	95% "0 delay" according to rule in the OLA	90%	20
SQI06	Response time for RfI/RfD	95% "0 delay" according to rule in the OLA	85%	10
SQI07	Software release	1 test iteration	3 test iterations	1
SQI08	Time to escalate to Commission for critical incidents/major service risks/prolonged delays on major deliverables	95% less than 2 hours in the basic time coverage	90% less than 2 hours	5 events to escalate
SQI09	Delay to deliver an accepted offer/proposal	"0 delay" for getting an accepted offer/proposal	2 wdays	1
SQI11	Delivery of the FQP or the CQP	"0 delay" for acceptance	10 wdays	1
SQI17	Training/Workshop hosting and performance	80% participant rating >=8/10, if number of participants > 5 Max 0 participant rating < 8/10, if number of participant <= 5	70% 1	1
SQI21[8]	FAT report for the Take-over	"0 delay" for FAT report acceptance	10 wdays	1
SQI22	Process Compliance as measured by self assessment, internal and external audits, audit by the Commission	Maximum 2 critical and/or significant audit recommendations open	Number of critical and significant recommendations open less than 15	1 self assessment, 1 audit
SQI23	Resolution of audit recommendations	10% of important and critical recommendations unresolved after 6 months	20% of important & critical recommendations unresolved after 6 months	1 self assessment, 1 audit
SQI24	Corrective problem resolution	98% "0 delay"	93% "0 delay"	1 problem
SQI25	User complaints[9]	Less than 0,5 % of calls received	Less than 1% of calls received	3 complaints

[8] SQI21 will have a weight of minimum 90% in the SC dedicated to Take-Over activity

SQI27	Delay to deliver a patch during a pre-SAT session	4 hours	8 hours	1

Table 2 - Deliverable oriented SQIs

[9] E-mail or letter entitled 'Official Complaint' from a Commission official with copies to those fulfilling the roles at the next escalation level in the Escalation Procedure defined in the FQP. The exact procedure, in line with the escalation process, is to be detailed in the FQP.

1.3.4. SERVICE AND DELIVERABLES CATALOGUE

The table lists all the services and deliverables linked to the Work Packages identified in the sections 1.1 and 1.2 and contains the following information for each service and deliverable, where applicable;

- **Identification of the work package**: WP.w.x.y.z;
- **Identification of the service or deliverable**: DLV/SE-w.x.y.z;
  - **DLV:** a deliverable to be delivered to the Commission at a given date for review or acceptance;
  - **SE:** a service to be rendered to the Commission, the QoS of which must be reported in the monthly service report included in the monthly progress report.
- **Plain text description** of the deliverable or of the service;
- **Planning, coded as follows:**
  - Planning specified in reference to T0, the starting date of the activity of the SC, and/or possibly in reference to other internal/external dependencies. When applicable, the planning specifies if the date is for submission for review or for acceptance;
  - SC: Planning defined in the Specific Contract
  - FQP / CQP: Planning to be defined in the FQP and/or CQP,
  - RfA: Planning defined in the RfA,
  - Trigger: Planning will be defined in the Trigger,
  - MA: Planning mutually agreed and recorded in the MPR,

- AN: As Needed meaning that the contractor must take the initiative to produce the deliverable whenever an external event triggers the need for it (mainly a call),
- Continuous: self explanatory, applicable for service,
- Reference to another service or deliverable, which means it follows the same planning,
- Plain text.

All references made under this section to "month" and "quarter" periods, to "monthly" and "quarterly" periodicity are relative to T0, the starting date of an SC, unless explicitly stated otherwise.

- **Requesting Mechanism:**
  - A service and/or a deliverable can be requested through one of the following:
  - Specific Contract (SC),
  - Contract Quality Plan (CQP),
  - Request for Action (RFA),
  - Request for estimate,
  - Request for Offer,
  - Trigger (TR): On Request (OR).
- **Ordering Mechanism:**

  A service and/or a deliverable can be ordered through one of the following:

- Specific Contract (SC),
- Request for Action (RFA).

- **Delivery mechanism:**
  - Not shown for services, as the service reporting is systematically made in the Monthly Service Report to report the QoS metrics of the service.
  - In case of a deliverable,
    - **ID:** code used to specify that the deliverable is delivered on its own (Individual Delivery),
    - a **DLV**- w.x.y.z refers to the "hosting" deliverable which must include the deliverable to be delivered. In most cases both are very closely linked, but in the case of the service reports, these are all delivered via the monthly progress report,
    - **SC, RfA, Trigger:** as defined in the Specific Contract, Request for Action or Trigger.
- **Acceptance mechanism**:
  - Not shown for service, as the correctness of the reported QoS and SQI is accepted via the acceptance of the MSR, as a part of the MPR. Note that it is the factual correctness (alias integrity) of the reported Quality of Service which is subject to acceptance in the monthly progress report and not the service itself;
  - In case of a deliverable:
    - **No:** No formal acceptance required,
    - **IA:** The Commission will issue a dedicated acceptance letter for the deliverable (Individual Acceptance);
    - **SC, RfA**: as defined in the Specific Contract, Request for Action;

- **DLV.0.7** (MPR)**:** the acceptance by default of the deliverable by the acceptance of the Monthly progress report in which the deliverable is proposed for acceptance. The non-acceptance of the deliverable would need to be notified as a specific qualification in the letter of acceptance of the MPR;
- Reference to another deliverable, which means it has the same acceptance mechanism;

- **SQI[10]:**
  - Either a reference to an applicable SQI defined in section 1.3.3;
  - Or a reference to another deliverable/service, the SQI of which is applicable;
  - Or "SC", "RfA" or "Trigger", which means that the SQIs will be defined in the Specific Contracts, Requests for Action.

All deliverables must be compliant with TEMPO

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[10] The SQIs in the table are indicative. The SC will contain the definitive SQIs applicable for this SC.

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.0	**Project Management**							
WP.0.1	*Produce and maintain the FQP*							
WP.0.1	DLV-0.1-1	FQP, including generic OLA, the Continuous Service Improvement Programme (CSIP) and the security plan	SC	SC	SC.01, T0 + 3 months for acceptance	ID	IA	SQI11
WP.0.1	DLV-0.1-2	Evolutive version of FQP	SC, RFA	SC, RfA	as per SC or RfA	ID	IA	SQI01
WP.0.3	*Produce and maintain the CQP*							
WP.0.3	DLV-0.3-1	CQP, including a specific OLA	SC	SC	SC.01, T0 + 3 months for acceptance (bundled with FQP). Following SC's, T0 + 2 months for acceptance	ID	IA	SQI11
WP.0.3	DLV-0.3-2	Evolutive version of CQP	RFA	SC, RfA	as per SC or RfA	ID	IA	SQI01
WP.0.4	*Produce Proposals for Specific Contracts (SC) and Request for Actions (RFA)*							
WP.0.4	DLV-0.4-1	SC offer in response to RFO	SC	RfO	As specified in the RFO	ID	As specified in the RFO	SQI09

[11] The SQI are defined in section 1.3.3

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.0.4	DLV-0.4-2	Proposal/Offer in response to RfE	RFA	RfE	The response time along with the T1/T2/T3 review cycle for a proposal/offer will be defined by the Commission in the RfE.	ID	Order (RFA or trigger) made on the basis of the offer/proposal	SQI09
WP.0.5	*Internal activities: Quality Assurance (QA), Quality Control (QC), Risk Management (RM), Self Assessment (SA), Internal Auditing (IA), Team Organisation and Management*							
WP.0.5.1	SE-0.5.1-1	Internal QA	SC	SC	Continuous	-	MPR	
WP.0.5.1	DLV-0.5.1-2	Quality records (minutes of internal meetings, filed in contractor's premises)	SC	OR	max 5 wdays upon request from the Commission	ID	no	
WP.0.5.2	SE-0.5.2-1	Internal QC	SC	SC	Continuous	-	MPR	
WP.0.5.2	DLV-0.5.2-2	Author's position on technical and quality review comments, given by the Commission and/or any other party involved in the project, on deliverables submitted for review to the Commission.	SC, RFA	SC, RFA	+ z wdays after receipt of the review comments, according PQP, FQP, CQP or RFA (with z usually = 1)	ID	no	
WP.0.5.2	SE-0.5.2-3	Participation in the review meeting(s) to clarify the author's position on review comments and reach agreement on implementation of the review comments (either in the Commission's premises or by conference call).	SC, RFA	SC, RFA	MA within the limit imposed by PQP, FQP, CQP or RFA and the review cycle (usually after 1 to 3 wdays after submission of DLV-0.5.3-3)	-	MPR	
WP.0.5.3	SE-0.5.3-1	Risk Management	SC	SC	Continuous	-	MPR	

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.0.5.3	DLV-0.5.3-2	Risk analysis records (filed in contractor's premises)	SC	OR	max 5 wdays upon request from the Commission	ID	no	
WP.0.5.4	DLV-0.5.4-1	Self Assessments reports	SC	OR	at least twice per year	ID	no	SQI22 SQI23
WP.0.5.4	DLV-0.5.4-2	Internal Audit reports	SC	OR				
WP.0.5.5	SE-0.5.5-1	Internal Team organisation and management am organisation and management	SC	SC	Continuous	-	MPR	
WP.0.6	*Interaction and Co-ordination with the Commission*							
WP.0.6	SE-0.6-1	Attendance at monthly meetings (BMM)	SC	SC	as per CQP and in exceptional case, MA	-	MPR	
WP.0.6	SE-0.6-2	Attendance at Ad hoc meetings	SC	OR	on 4 working hours notice	-	MPR	
WP.0.6	DLV-0.6-3	Agenda of Bilateral Monthly Meeting	SC	SC	1 wday before the meeting	ID	MPR	SQI02
WP.0.6	DLV-0.6-4	Minutes of the Bilateral Monthly Meeting bundled with MPR	SC	SC	Date of BMM + 10 wdays for acceptance	ID	IA bundled with MPR	
WP.0.6	DLV-0.6-5	Minutes of the steering committee and ad hoc meetings	SC	SC	Date of the meeting +5 wdays for acceptance	ID	MPR	SQI02
WP.0.6	SE.0-6-6	Attendance at the Steering Committee meetings	SC	SC	MA, on average once per quarter	On time and prepared to discuss strategic reports, plans and risks.		-
WP.0.7	*Reporting*							

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.0.7	DLV-0.7-1	Monthly Progress Reports, which includes Monthly Service Reports and other annexes.	SC	SC	Max (end of the reporting period + 5 wdays, Date of BMM – 5 wdays) for review Max (Date of BMM + 10 wdays) for acceptance	ID	IA	SQI04a SQI04b
WP.0.7	DLV-0.7-2	Acceptance Report	SC/RFA	SC/RFA	Before drafting of the acceptance letter for an RFA	ID	MPR	-
WP.0.7	DLV-0.7-3	Consumption Report and DTM	SC	SC	Weekly basis	ID	MPR	-
WP.0.8	*Planning*							
WP.0.8	DLV-0.8-1	Monthly update of the planning of contractors' activities, services and deliverables	SC	SC	as per MPR	MPR	MPR	-
WP.0.9	*Co-operation with the Commission during Quality, Process and Security Audits*							
WP.0.9	SE.0-9-1	Co-operate with the Commission (and any third party nominated by it) during quality, process and security audit	SC	SC	Average duration of 5 wdays, date as per request if requested date is more than 2 weeks from date of request, otherwise MA;	Positive feedback from the auditors regarding the co-operation of the contractor during audit.		SQI22
WP.0.9	DLV-0.-9-2	Position of the audited contractor on the audit report	SC	SC	20 wdays after reception of the audit report, for acceptance	ID	IA	SQI02
WP.0.9	DLV-0.-9-3	Management of the implementation of actions agreed by the contractor at the outcome of the audit.	SC	SC	MA	All actions performed by the contractor according to expectations		SQI23
WP.0.10	*Delivery of Artefacts*							

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.0.10	DLV-0.10-1	Re-delivery of all artefacts from the past quarter to an electronic repository of the Commission (Commission may also request re-delivery on DVD-ROM, if necessary)	SC	SC	As per SC or RFA	ID	MPR	SQI02
WP.0.11	*Delivery and Management of Translations*							
WP.0.11	DLV-0.11-1	Translations amongst EN, FR, DE.	SC, RfA	SC, RfA	as per SC or RFA	ID	IA	SQI02
WP.0.11	DLV-0.11-2	Translations amongst the EU official languages	SC, RfA	SC, RfA	as per SC or RFA	ID	IA	SQI02
WP.0.12	*Manage Procurement of Necessary Products and Services*							
WP.0.12	SE-0.12-1	Manage procurement of necessary products and services	SC, RFA	SC, RFA	As per SC or RFA	-	MPR	
WP.0.12	DLV-0.12-2	Detailed inventory of all hardware and software material under contract, with contractual maintenance and insurance status specified	SC, RFA	SC, RFA	As per SC or RFA	MPR	MPR	SQI02
WP.0.12	DLV-0.12-3	Schedule with the planned needs and procurement progress in terms of hardware, software and services	SC	SC	As per SC	MPR	MPR	SQI02
WP.1	**ICT Infrastructure Management**							
WP.1.3	*Set up and maintain the office infrastructure*							

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.1.3	SE-1.3-1	Set up and maintain the office infrastructure (incl. workspace with restricted access, meeting rooms)	SC	SC	Continuous	-	-	
WP.1.6	*Set up, install, operate and maintain the IT and Telecom infrastructure*							
WP.1.6	SE-1.6-1	Set up, install, operate and maintain the necessary infrastructure related to specifications, build, test and support	SC, RfA	SC, RfA	Continuous	-	FAT Report	
WP.1.6	DLV-1.6-2	FAT report related to SE-1.6-1	SC, RfA	SC, RfA	As per SC, RfA	ID	IA	SQI01
WP.1.6	SE-1.6-3	Provision for Evolution of the necessary infrastructure related to specifications, build, test and support	SC, RfA	SC, RfA	continuous as from requested date	-	FAT report related to SE-1.6-3	
WP.1.6	DLV-1.6-4	FAT report related to SE-1.6-3	SC, RfA	SC, RfA	As per SC, RfA	ID	IA	SQI01
WP.2	**Take over**							
WP.2.1	*Take over of Excise systems and applications*							
WP.2.1	DLV-2.1-1	Detailed take-over plan for Excise	SC	SC	Submitted for acceptance as per SC	ID	IA	SQI01
WP.2.1	SE-2.1-1	Take over for the Excise system and related activities	SC	SC	Submitted for acceptance as per SC	-	-	
WP.2.1	DLV-2.1-2	Take over for the Excise system and related activities: the FAT report	SC	SC	Submitted for acceptance as per SC	ID	IA	SQI21
WP.2.2	*Take over of Taxation systems and applications*							
WP.2.2	DLV-2.2-1	Detailed take-over plan for Taxation systems	SC	SC	Submitted for acceptance as per SC	ID	IA	SQI01
WP.2.2	SE-2.2-1	Take over for Taxation systems	SC	SC	Submitted for acceptance as per SC	-	-	

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.2.2	DLV-2.2-2	Take over for Taxation systems: the FAT report	SC	SC	Submitted for acceptance as per SC	ID	IA	SQI21
WP.3	**Support via Training/Workshop/Working Group/Demonstration, Mission, Consultancy**							
WP.3.1	*Training/Workshop/Demonstration*							
WP.3.1.1	DLV-3.1.1	Training/workshop/demo - Preparation material	SC, RfA	RfA, OR	Date of the Train/Wshp/Demo – 10 wdays, for review Date of the Train/Wshp/Demo – 5 wdays, for acceptance	ID	MPR	SQI02
WP.3.1.2	SE-3.1.2	Training/workshop/demo - Performance	SC, RfA	RfA, OR	date as per request if requested date is more than 3 weeks from date of request otherwise MA;	-	MPR	SQI17
WP.3.1.3	SE-3.1.3	Training/workshop/demo - Attendance	SC, RfA	RfA, OR	date as per request if requested date is more than 3 weeks from date of request otherwise MA;	-	MPR	
WP.3.1.4	SE-3.1.4-1	Training/workshop/demo - Hosting Facilities and infrastructure: Meeting room 6-16 persons in contractor's premises	SC, RfA	RfA, OR	average duration of 1 wday, date as per request if requested date is more than 3 weeks from date of request, otherwise MA;	-	MPR	SQI17
WP.3.1.4	SE-3.1.4-2	Training/workshop/demo - Hosting Facilities and infrastructure: Meeting room 90 persons in contractor's premises	SC, RfA	RfA, OR	average duration of 1 wday, date as per request if requested date is more than 3 weeks from date of request otherwise MA;	-	MPR	SQI17
WP.3.1.5	DLV-3.1.5-1	Training/workshop/demo – Agenda	SC, RfA	RfA, OR	Date of the Train/Wshp/Demo – 8 wdays, for review	ID	MPR	
WP.3.1.5	DLV-3.1.5-2	Training/workshop/demo – Briefing	SC, RfA	RfA, OR	Date of the Train/Wshp/Demo – 5 wdays, for review	ID	MPR	

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.3.1.5	DLV-3.1.5-3	Training/workshop/demo - Detailed minutes and evaluation	SC, RfA	RfA, OR	Date of the Train/Wshp/Demo + 10 wdays, for acceptance	ID	MPR	SQI02
WP.3.2	*Missions*							
WP.3.2	DLV-3.2-1	Mission - Preparation of material	SC, RfA	RfA, OR	Date of the mission – 5 wdays, for review Date of the mission – 2 wdays, for acceptance	ID	MPR	SQI02
WP.3.2	SE-3.2-2	Mission - Performance	SC, RfA	RfA, OR	date as per request if requested date is more than 2 weeks from date of request otherwise MA;	-	MPR	
WP.3.2	DLV-3.2-3	Mission – Agenda	SC, RfA	RfA, OR	Date of the mission – 15 wdays, for review, if mission date is more than 3 weeks from date of request, otherwise MA.	ID	MPR	SQI02
WP.3.2	DLV-3.2-4	Mission – Briefing	SC, RfA	RfA, OR	Date of the mission – 5 wdays, for review	ID	MPR	
WP.3.2	DLV-3.2-5	Mission - Report and evaluation	SC, RfA	RfA, OR	Date of the mission + 10 wdays, for acceptance	ID	MPR	SQI02
WP.3.4	*Consultancy*							
WP.3.4	DLV-3.4-1	Deliverables of the consulting services to be defined in SC, CQP, RfA	SC, RfA	RfA, OR	as per request	as per request	as per request	as per request
WP.4	**Co-ordination with all involved actors**							
WP.4.1	*Technical meetings with the Commission or other contractors involved in the programme or related projects*							
WP.4.1	SE-4.1-1	Technical meetings with the Commission or other contractors – Attendance	SC, RfA	RfA, OR	as per request	-	MPR	

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.4.1	DLV-4.1-2	Technical meetings – Minutes	SC, RfA	RfA, OR	Date of meeting + 5 wdays for review Date of meeting + 10 wdays for acceptance	ID	MPR	SQI02
WP.4.2	*Project Monthly Meetings*							
WP.4.2.1	SE-4.2.1-1	Project Monthly Meeting - Attendance	SC	SC, OR	as per CQP and in exceptional case MA	-	MPR	
WP.4.5	*Working Committee meetings and their sub groups*							
WP.4.5.1	DLV-4.5.1-1	Working Group meeting - Preparation of material	SC, RfA	RfA, OR	meeting date – 10 wdays for review, - 5 wdays for acceptance	ID	MPR	SQI02
WP.4.5.2	SE-4.5.2-1	Working Group meeting- Performance	SC, RfA	RfA, OR	date as per request	-	MPR	
WP.4.5.3	SE-4.5.3-1	Working Group meeting - Attendance	SC, RfA	RfA, OR	date as per request	-	MPR	
WP.4.7	*Technical review of the deliverables of other contractors*							
WP.4.7	SE-4.7-1	Technical review of deliverables from other contractors	SC,RfA	RfA, OR	From date of reception of the deliverables for review till x wdays after, according to the review cycle applicable, typically x = 3 to 10 wdays	-	MPR	
WP.4.7	DLV-4.7-2	Technical review reports of deliverable submitted for review, containing the list of review comments	SC,RfA	RfA, OR	x wdays after the reception of the deliverables for review, according to the review cycle applicable, typically x = 5 to 8 wdays	ID	MPR	SQI02

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.4.7	SE-4.7-3	Attendance at review meetings to clarify review comments issued	SC,RfA	RfA, OR	y days after the submission of the DLV-4.7-2, typically y= 2 to 5 wdays	-	MPR	
WP.5	**Hand-over**							
WP.5.1	*Define the detailed Hand over plan*							
WP.5.1	DLV-5.1-1	Detailed hand-over plan	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	as per request	as per request	SQI01
WP.5.1	SE-5.1-1	Hand-over for the systems, applications and related activities	SC	SC	Submitted for acceptance as per SC	-	-	
WP.5.2	*Hand over of all documentation, source code, infrastructure*							
WP.5.2	DLV-5.2-1	Hand-over of all documentation, source code, infrastructure resulting in a hand-over report	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	as per request	as per request	SQI01
WP.5.3	*Training and support*							
WP.5.3	SE-5.3-1	Support for the hand-over process	SC, RfA	SC, RfA	For the duration of the applicable phase.	as per request	as per request	
WP.6	**Trans-European Systems Specifications**							
WP.6.0	*Feasibility Study*							
WP.6.0	DLV-6.0-1	Feasibility Study	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.6.1	*System Specifications*							
WP.6.1.1	DLV-6.1.1-x[12]-y[13]	Produce System Business Specifications	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01
WP.6.1.2	DLV-6.1.2-z[14]-y[15]	Produce System Technical Specifications	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01

[12] System Functional Specifications related deliverables and services

- *x=1* *System Business Process Model*
- *x=2* *System Requirements*
- *x=3* *System Functional Specifications*

[13] For the deliverables to be reviewed by the Member States

- *y=1* *SfR/SfA with exec summary EN, FR, DE*
- *y=2* *SfR/SfA Commission's position report on the MSA review comments*
- *y=3* *SfR/SfA Workshop decision (stating on all comments & author's position)*
- *y=4* *SfR/SfA final version, incl. translations*

[14] System Technical Specifications related deliverables and services

- *z=1* *System Architecture*
- *z=2* *System Design*

[15] For the deliverables to be reviewed by the Member States

- *y=1* *SfR/SfA with exec summary EN, FR, DE*
- *y=2* *SfR/SfA Commission's position report on the MSA review comments*
- *y=3* *SfR/SfA Workshop decision (stating on all comments & author's position)*
- *y=4* *SfR/SfA final version, incl. translations*

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.6.1.3	DLV-6.1.3-w[16]-y[17]	Produce System Test Design Specifications	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01
WP.6.2	*System Supporting Documentation*							
WP.6.2	DLV-6.2-s[18]-y[19]	Produce System Supporting Documentation	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01

[16] System Test Design Specifications related deliverables and services

w=1 *Conformance Test Protocol*

[17] For the deliverables to be reviewed by the Member States

y=1 *SfR/SfA with exec summary EN, FR, DE*
y=2 *SfR/SfA Commission's position report on the MSA review comments*
y=3 *SfR/SfA Workshop decision (stating on all comments & author's position)*
y=4 *SfR/SfA final version, incl. translations*

[18] System Supporting Documentation related deliverables and services

s=1 *Terms of Collaboration*
s=2 *Phasing and Scope Specifications*
s=3 *Security Specifications*
s=4 *Scope Document*
s=5 *Security Policy*
S=6 *Central Office Specifications*

[19] For the deliverables to be reviewed by the Member States

y=1 *SfR/SfA with exec summary EN, FR, DE*
y=2 *SfR/SfA Commission's position report on the MSA review comments*
y=3 *SfR/SfA Workshop decision (stating on all comments & author's position)*
y=4 *SfR/SfA final version, incl. translations*

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.6.3	*Enterprise Architecture*							
WP.6.3	DLV-6.3-1	Enterprise Architecture specifications and models	SC, RfA	SC,CQP, RfA, OR	Submitted for review and acceptance as per request or SC	ID	MPR	SQI01
WP.6.8	*Evolutive maintenance of the specifications*							
WP.6.8	DLV-6.8.x-z	Evolutive maintenance of the specifications (x= all sub-work packages, z= all the specifications covered by WP.6 and WP.2)	SC, RfA	SC,CQP, RfA, OR	Submitted for review and acceptance as per request or SC	ID	IA	SQI01
WP.6.9	*Corrective maintenance of system specifications*							
WP.6.9.1	DLV-6.9.1-z	Corrective maintenance of the Excise specifications which have been taken over (z= all the specifications covered by WP.2.1)	SC, RfA	SC,CQP, RfA, OR	Submitted for review and acceptance as per request or SC	ID	MPR	
WP.6.9.2	DLV-6.9.2-z	Corrective maintenance of the Taxation specifications which have been taken over (z= all the specifications covered by WP.2.2)	SC, RfA	SC,CQP, RfA, OR	Submitted for review and acceptance as per request or SC	ID	MPR	
WP.6.9.3	DLV-6.9.3-z	Corrective maintenance of specifications (z= all the specifications covered by WP.6)	SC, RfA	SC,CQP, RfA, OR	Submitted for review and acceptance as per request or SC	ID	MPR	
WP.6.10	*Transformation of taken-over system and application specifications*							
WP.6.10	DLV-6.10.x-z	Transformation of the specifications (x= all sub-work packages, z= all the specifications covered by WP.6 and WP.2)	SC, RfA	SC,CQP, RfA, OR	Submitted for review and acceptance as per request or SC	ID	MPR	
WP.7	**Applications specifications, Build and test**							

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.7.0	*Application Business Process model, Requirements and Functional Specifications*							
WP.7.0	DLV-7.0-x[20]	Application Business Process model, Requirements and Functional Specifications	SC, RfA	SC,CQP, RfA, OR	Submitted for review and acceptance as per request or SC	ID	MPR	
WP.7.1	*Application Technical Specifications*							
WP.7.1.0	DLV-7.1.0-1	Production of Function Points measurement document	SC, RfA	SC,CQP, RfA, OR	Submitted for review and acceptance as per request or SC	ID	IA	SQI01
WP.7.1.1	DLV-7.1.1-s[21]	Production of Application Technical Specifications	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01
WP.7.1.2	DLV-7.1.2-t[22]	Production of Application Test Specifications	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01

[20] Application Business Process model, Requirements and Functional Specifications related deliverables and services

- *x=1* *Business Process Model*
- *x=2* *Application Requirements*
- *x=3* *Application Functional Specifications*

[21] Application specifications related deliverables and services

- *s=1* *Application Architecture*
- *s=2* *Application Design*
- *s=3* *External Interface Specification*

[22] Application specifications related deliverables and services

- *t=1* *Application Test Specifications*
- *t=2* *Application Conformance Test Protocol*

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.7.2	*Application Development*							
WP.7.2	DLV-7.2-w[23]	Application Development	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01 SQI03 SQI07 SQI27
WP.7.3	*Evolutive Maintenance of Application Specifications*							
WP.7.3	DLV-7.3-1- f[24]	Evolutive Maintenance of Applications Functional Specifications	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01
WP.7.3	DLV-7.3-2-s[20]	Evolutive Maintenance of Applications Technical Specifications	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01
WP.7.3	DLV-7.3-3-t[21]	Evolutive Maintenance of Applications Test Specifications	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01

[23] Development related deliverables and services

w=1	*Application (compiled)*	*w=4*	*Test plan, test cases and test data (out of WP.7.7)*	*w=7*	*The SAT configuration specification*
w=2	*The documented source code (pdf) and associated documentation and quality metrics*	*w=5*	*Performance and Stress Test Report*	*w=8*	*Training the ITSM2 contractors on the CDA package to be SATed; and On site support for PreSAT, Problem fixes during PreSAT to the CDA package.*
w=3	*Support documentation and help / training material addressing infrastructure requirements, installation procedures, user and administration manual*	*w=6*	*FAT Report and FAT'ed CDA package*	*w= 9*	*CDA package submitted for SAT*

[24] Application specifications related deliverables and services

f=1	*Application Business Process Model*	*f=2*	*Application Requirements*	*f=3*	*Application Functional Requirements*

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.7.4	*Evolutive Maintenance of developed applications*							
WP.7.4	DLV-7.4-w[7]	Evolutive Maintenance of developed applications	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01 SQI03 SQI07 SQI27
WP.7.5	*Prototyping*							
WP.7.5	DLV-7.5-u[25]	Prototyping	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	ID	IA	SQI01
WP.7.6	*Evolutive Maintenance of developed prototypes*							
WP.7.6	DLV-7.6-u[25]	Evolutive maintenance of the prototypes	SC, RfA	SC, RfA	Submitted for review and acceptance as per request or SC	-	IA	SQI01
WP.7.7	*Production and Evolutive Maintenance of the package of test data*							
WP.7.7	DLV-7.7-1	Production and Evolutive Maintenance of the package of test data	SC, RfA	SC,CQP, RfA, OR	Submitted for review and acceptance as per request or SC	ID	MPR	
WP.7.9	*Corrective maintenance of the build and test software and applications specifications*							

[25] Prototyping related deliverables and services as per the DSDM methodology (refer to TEMPO for more details)

- *u=1 PD.5 – Outline Prototyping Plan*
- *u=2 PD.6 – Functional Model*
- *u=3 PD.6a – Functional Prototype*
- *u=4 Prototype Test Plan and Test Cases*
- *u=5 PD.6c – Functional Model Review Records*
- *u=6 Prototype User Manual*
- *u=7 Prototype Installation Procedure Guide*
- *u=8 Prototype FAT reports*

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.7.9.1	DLV-7.9.1-z	Corrective maintenance of the build and test software and specifications which have been taken over for the Excise systems (z= all the components covered by WP.2.1)	SC, RfA	SC,CQP, RfA, OR	Submitted for review and acceptance as per request or SC	ID	MPR	
WP.7.9.2	DLV-7.9.2-z	Corrective maintenance of the build and test software and specifications which have been taken over for the Taxation systems (z= all the components covered by WP.2.2)	SC, RfA	SC,CQP, RfA, OR	Submitted for review and acceptance as per request or SC	ID	MPR	
WP.7.9.3	DLV-7.9.3-z	Corrective maintenance of the new build and test software and specifications (z= all the components covered by WP.7)	SC, RfA	SC,CQP, RfA, OR	Submitted for review and acceptance as per request or SC	ID	MPR	
WP.8	**Operation Technical Support Activities**							
WP.8.1	*Incident and Problem Management*							
WP.8.1	SE-8.1	Handling of incidents and problems (scope WP.6 , WP.7 and WP.2)	SC, RfA	SC, RfA	AN, upon allocation of a call, according Contractual OLA in CQP	-	MPR	SQI05
WP.8.2	*Incident Resolution*							
WP.8.2	SE-8.2	Resolution of Incidents (scope WP.6, WP.7 and WP.2)	SC, RfA	SC, RfA	AN, upon allocation of a call, according Contractual OLA in CQP	-	MPR	SQI05 SQI25
WP.8.3	*Problem Resolution*							
WP.8.3	SE-8.3	Resolution of Problems (scope WP.6, WP.7 and WP.2)	SC, RfA	SC, RfA	AN, upon allocation of a call, according Contractual OLA in CQP	-	MPR	SQI05 SQI25
WP.8.4	*Change Management*							

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.8.4.1	SE-8.4.1	Attendance of CAB meetings (scope WP.6 , WP.7 and WP.2)	SC, RfA	SC, RfA	AN, upon allocation of a call, according Contractual OLA in CQP	-	MPR	-
WP.8.4.1	DLV-8.4.1	Production of briefing and minutes for the CAB meetings	SC, RfA	SC, RfA	Submitted for review 2 workings days prior to date of CAB	ID	MPR	-
WP.8.4.2	DLV-8.4.2	Production of specifications RFCs (scope WP.6 and WP.2)	SC, RfA	SC, RfA	Submitted for review 2 workings days prior to date of CAB	ID	MPR	-
WP.8.4.3	DLV-8.4.3	Production of specifications RFCs (scope WP.7 and WP.2)	SC, RfA	SC, RfA	Submitted for review 2 workings days prior to date of CAB	ID	MPR	-
WP.8.5	*Configuration Management*							
WP.8.5	SE-8.5	Ensure adherence of the CDA configuration to the CDA configuration baseline	SC	SC	Continuous	-	MPR	-
WP.8.6	*Technical Support for applications and deployment of the Trans-European Systems*							
WP.8.6	SE-8.6	Support for the operations of the CDA	SC, RfA	SC, RfA	As per request	-	MPR	-
WP.8.8	*Support outside working hours*							
WP.8.8.1	*Support outside working hours for specifications activities*							
WP.8.8.1	SE-8.8.1-1	Support outside working hours	RFA	RFA	As per RFA	As per RFA	As per RFA	As per RFA
WP.8.8.1	DLV-8.8.1-2	Report concerning provision of support outside working hours	RFA	RFA	As per RFA	As per RFA	As per RFA	As per RFA
WP.8.8.2	*Support outside working hours for development activities*							
WP.8.8.2	SE-8.8.2-1	Support outside working hours	RFA	RFA	As per RFA	As per RFA	As per RFA	As per RFA
WP.8.8.2	DLV-8.8.2-2	Report concerning provision of support outside working hours	RFA	RFA	As per RFA	As per RFA	As per RFA	As per RFA
WP.A	**Other deliverables and services in the scope of the Framework Contract**							

Work Package	Deliverable	Deliverable Title	Order mechanism	Request mechanism	Planning	Delivery Mechanism	Acceptance Mechanism	SQI[11] (indicative)
WP.A	DLV-A SE-A	Other services and deliverables in the scope of the contract, as specified in the SC, RfA	SC, RfA	SC, CQP, RfA, OR	as per request or SC	as per request	as per request	as per request

Table 3 – Services & Deliverables

1.3.5. TYPES OF BUDGET PROVISIONS

Normally, there are five (5) types of budget provisions that can apply to the various FITSDEV3 Specific Contracts (SCs), namely the:

- Fixed Price (FP),
- On-Demand (OD),
- Quoted Times and Means (QTM),
- IT equipment
- Travel and Subsistence costs (T&S).

1.3.5.1.1. FIXED PRICE (FP)

Activities under Fixed-Price may start as soon as the SC has been signed according to the agreed planning.

There are two particular cases relying on **triggers**, namely:

Case 1: activities for which an overall budget is quoted under FP (maximum quantities defined) but which will need a preliminary evaluation (use of Estimation Request – ER) between the contractor and the Commission to determine how many units are needed to perform a given activity. A typical example is the quotation in man-days when units are based on man-days. Once agreement is reached the action is launched by the Commission using a trigger.

Case 2: activities for which an overall budget is quoted under FP (maximum quantities defined) but which need an explicit trigger to start (for example, attendance at a given training activity, or performance of Mission).

Triggers have no financial impact since the budget is already committed.

1.3.5.1.2. ON DEMAND (OD)

This comprises activities for which a unit price is contractually fixed although the required quantities and execution time is uncertain at the time of the signing of the Specific Contract.

The provision for OD budget is to be committed exclusively via the use of the RfE/RfA procedure. The RfE is used prior to issuing the RfA when an estimate is required from the contractor. By definition, an RfA under the "On-Demand" budget has always a financial impact.

Once part of the provision for the OD budget has been committed following the RfA signature, the Commission may use triggers to launch the start of an action whenever applicable. The maximum available budget is defined in the SC as a provision.

In most of the cases, the RFA under the OD budget concerns the ordering of quantified services (output based) such as training, meetings, function points, etc. In these cases, no RfE is needed prior to issuing the RFA.

1.3.5.1.3. QUOTED TIMES & MEANS (QTM)

This comprises activities for which unit price of profiles is contractually fixed or for output-based effort estimates, although the required quantities and execution time is uncertain at the time of the signing of the Specific Contract.

The QTM budget is to be committed exclusively via the use of the RfE/RfA procedure. The RfE is always to be used prior to issuing an RfA, since the QTM sub-tasks have to be defined prior to their ordering. By definition, an RfA under "QTM" budget has always a financial impact.

The maximum available budget is defined in the SC as a provision.

1.3.5.1.4. IT EQUIPMENT

IT equipment may be rented or purchased directly via the FP budget of the SC and/or a provision for IT equipment (hardware and software) may be included in the SC. In the latter case, the budget is used by issuing RfEs/RfAs (as for provision for on-demand work).

1.3.5.1.5. TRAVEL AND SUBSISTENCE COSTS (T&S)

Missions and meetings take place at the request of the Commission (using an SC/trigger or the RfA mechanism). Authorisation for the reimbursement of travels for missions and meetings is given by means of RfAs for a special travel or "Pool" RfAs for "urgent" and "recurring" travels. The related travel and subsistence costs are reimbursed against supply of the required proof as described by the standard annex on reimbursement of travel and subsistence expenses to be part of each SC. When the Commission requests a mission, it must communicate to the contractor the location, the number of persons concerned and the duration of the mission.

Both the Commission and the contractor must monitor the budget for Travel and Subsistence costs. The consumption of budget allocated for travel expense at the SC level is tracked by means of MPR.

The SC must mention that the contractor has the responsibility to send a warning (by e-mail) to the Commission as soon as 75% of the budget is consumed so that contractual arrangements can be reviewed in the context of the remaining needs to be covered.

Please also refer to section 3.6 and 3.9 for more details on the place of work and missions linked to this FC.

2. QUALITY REQUIREMENTS

2.1. METHODOLOGY

The contractor has to apply an adequate methodology to carry out the activities and deliver the products and services required, while meeting the desired level of quality. The contractor has to take into account the following considerations.

1. To ensure the consistent specification and development of systems and applications, the Commission uses the TEMPO methodology for the development and service life cycle, in the sense that any deviation from it must be documented and justified.
2. Any specific constraints imposed by the Trans-European nature of the project, its multi-partners dimension and its distributed responsibility scheme on the methodology to follow and the technology to apply to achieve success.

2.2. QUALITY PLANS (PQP/FQP/CQP)

The set of quality plans:

- defines the roles of the different parties involved or interacting with the service delivered by the contractor,
- defines the interactions between the contractor and the Commission,
- describes the communication and collaboration framework between the contractor and the third parties involved,
- describes the overall planning, the key services and deliverables,
- describes the specific plans to be produced, implemented and revised,
- determines the procedures and business processes to apply,
- determines the quality framework, the implementation of quality requirements, and the instruments to specify and monitor them (SLA, OLA, ToC).

Note that the PQP is produced and maintained by the Commission, while the FQP and CQP are produced and generated by the contractor.

Refer to TEMPO for more detailed information concerning the required contents of quality plans.

The diagram below presents the interaction of the contractor with the key third parties involved in the service, and the applicability order among the quality plans introduced at each level within the overall quality framework of DG TAXUD.

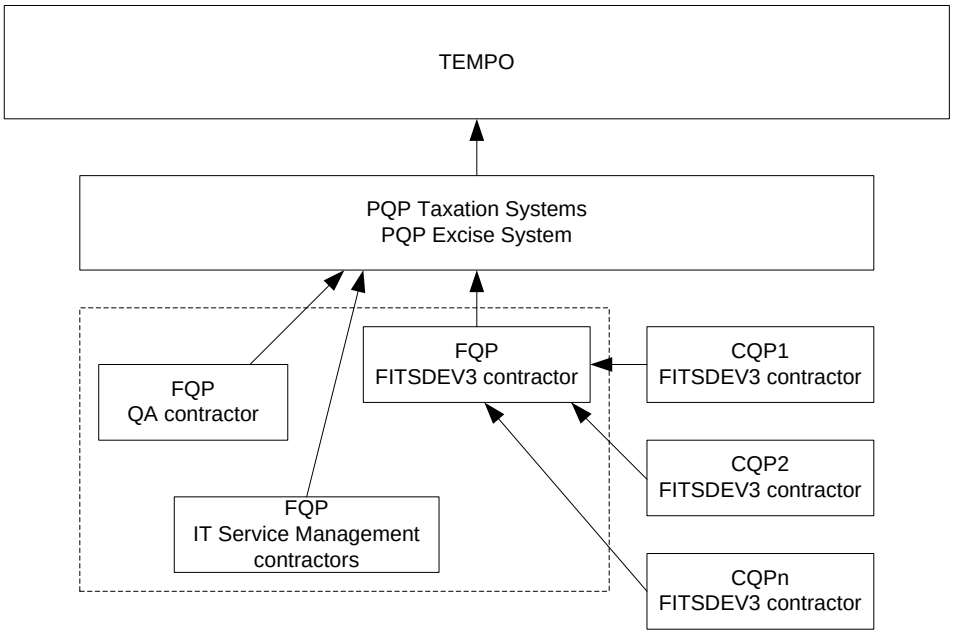


Figure 2 – Interactions of the contractor with other key actors

The four applicable levels applicable can be described as follows.

1. TEMPO acts on the level applicable to all systems and projects managed by DG TAXUD.

2. The Commission has produced the Programme Quality Plans (PQP) for the Excise System and the PQP for the Taxation Systems, which apply to all contractors involved in these areas of work. Each PQP defines among other procedures the details of the working relationships between all the stakeholders.

3. The contractor must produce a Framework Quality Plan (FQP), covering the activities as seen from the contractor's side. The FQP must be compliant with the PQP. The FQP is applicable throughout the full validity period of the framework contract. The FQP is a mandatory deliverable of the first specific contract of the framework contract.

4. Furthermore, for each specific contract (SC) signed under the Framework Contract, a Contract Quality Plan (CQP) will be produced by the contractor. This quality plan will specify the work plan for the SC, define the Operation Level Agreement (OLA)

and document any addition to the PQP and/or the FQP. This CQP is applicable throughout the full validity period of the related specific contract.

2.3. SERVICE LEVEL AGREEMENT (SLA)

The Service Level Agreement (SLA) is between the Commission and the customers of its services. It defines the minimum level of service expected from the Commission. It provides a mutual understanding of service level expectations and their measurement methods. This level of service addresses the activities provided by the Commission to users of trans-European systems and applications of the business and ITSM2 threads. These users are currently identified as:

- The NAs;
- The users within the Commission, including also the other Directorates General;
- The citizens, via Europa;
- And to a lesser extent, restricted to access to, and interface with, the Service Desk Support process:
    - The DIGIT/DC;
    - The other contractors of the Commission.

2.4. OPERATION LEVEL AGREEMENT (OLA)

The service to be provided by the contractor will be agreed with the Commission in the contractual Operational Level Agreement (OLA) which will constitute an integral part of the CQP. The contractual OLA defines the Operational Level Agreement between the Commission and the contractor. The contractor will elaborate it on the basis of this technical annex and in particular of:

- Section 1.2 Specifications of the work package,
- Section 1.3.4 Service and Deliverable catalogue,
- Section 1.3.3 Definition of the SQIs, using the view of the contractor's SQIs.

A generic OLA will be part of the FQP deliverable, while a contractual OLA will be annexed to the CQP (see WP.0.1 and WP.0.3)

2.5. CONTINUOUS SERVICE IMPROVEMENT PROGRAMME (CSIP)

The transformation objectives of the contract will be pursued by managing a constant service improvement programme (CSIP) that the contractor will maintain by taking

advantage of the lessons learned, proposals for improvement, and opportunities and targeting the maturity and compliance objectives of the contract.

The CSIP will be the key central instrument to steer the required transformation in a consistent and co-ordinated way across all work packages of the contract. It will be of particular importance for the development of applications and the continuous improvement of the service quality.

The CSIP will be delivered to the Commission as part of the FQP (see WP.0.1).

2.6. AUDITS BY THE COMMISSION

The Commission reserves the right to perform quality and security audits in the contractor's premises to assess the performance and the quality of the delivered services.

The Commission may elect to contract with a third party to perform these audits, and the contractor commits himself to co-operate fully with the Commission during these audits (refer to WP.0.9). In particular, the contractor commits:

- to authorise the access to the whole of the service information located at his premises no later than two weeks after the request of the Commission,
- to answer the questions from the Commission (or its elected third-party contractor),
- and to provide the evidences required during those audits.

2.7. THE SQI/GQI APPROACH

Quality indicators, called SQI (Service Quality Indicators) are defined in the framework of the Contractual OLA. Aggregated, these SQI allow the definition of a general quality indicator (GQI) per period of time which measures the quality of the delivered service (in most cases the duration of an SC). These indicators also point out whether liquidated damages are applicable and, if so, their amounts.

This approach provides:

- A normalised way to quantify the quality of service and a weighted approach in combining all the service quality indicators into a single general quality indicator (GQI),
- A mechanism to determine the liquidated damages,
- A grace window in case the quality of service is below target but within a certain limit.

The following sections describe the method of computation of all the SQIs and the GQI.

2.7.1. THE SPECIFIC QUALITY INDICATORS (SQI)

2.7.1.1. DEFINITION OF THE SQI

Some or all of the following parameters define a Specific Quality Indicator.

SQI Attribute	SQI Attribute description
SQI Name	A name, which allows full identification of the SQI.
SQI Description	A complete description of the SQI.
Measurement of the QoS (M)	Specifies the *measurement* of the QoS (or combination of set of measurements) for the SQI.
Unit of Measurement of the QoS	Defines the Unit of Measurement of the QoS. For example, a SQI aiming to evaluate duration or delays can be expressed in hours or days.
Application period	Specifies the overall period over which the SQI is calculated;
Target	Target, which sets the level of the measurement which, if reached, would demonstrate good QoS.
Limit	Together with the Target, the Limit defines the "grace window" ", within which although the QoS is below target, the SQI is still immunised from negative impact.
Normalised Measurement (M_{norm})	A normalised Measurement is the result of the transformation of a measure (see formula below), which renders a number independent of the unit of measure of the QoS.
SQI Profiled (SQI_{prof})	A profiled SQI is the result of a profiling function applied to a normalised SQI (see function f below).
Applicable services/deliverables	Defines the set of services and deliverables, to which the SQI will apply.
Minimum number of Measurements	Minimum number of measurements or set of measurements necessary for an SQI to be computable.

2.7.1.2. CALCULATION OF THE SQI

SQI's are calculated using the following steps in sequence:

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 sets 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.

The profiling function f is defined as follows:

- If $M_{Norm} \geq 0 \Rightarrow SQI_{prof} = f(M_{Norm}) = 1$ i.e. the QoS leads to a Measurement above or on *Target*
- If $-1 < M_{Norm} < 0 \Rightarrow SQI_{prof} = f(M_{Norm}) = 0$ i.e. the QoS leads to a Measurement between *Target* and *Limit* – neutral grace window
- If $M_{Norm} = -1 \Rightarrow SQI_{prof} = f(M_{Norm}) = -1$ i.e. the QoS leads to a Measurement on *Limit*
- If $M_{norm} < -1 \Rightarrow SQI_{prof} = f(M_{norm}) = M_{norm}$ i.e. the QoS leads to a Measurement below the *Limit*

This profiling function is plotted in the figure below.

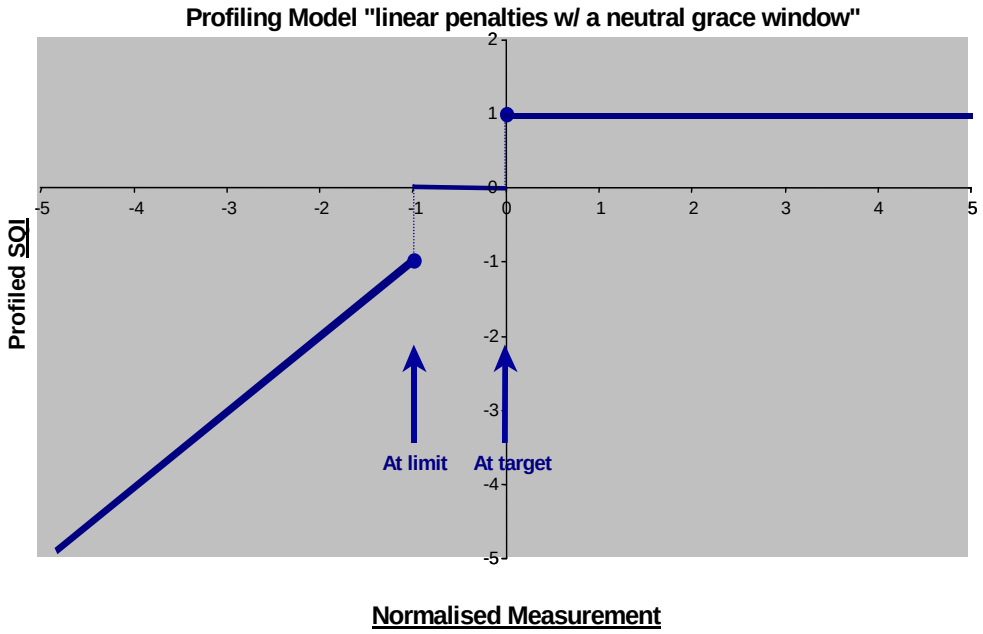


Figure 3 – Profiled SQI_{prof}

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:

$$SQI_{prof} = \frac{\sum_{i}^{n} SQI_{prof\ i}}{n} = \frac{\sum_{i}^{n} f(M_{norm\ i})}{n}$$

Where n is the number of occurrences of the given SQI_{prof} during the application period.

2.7.2. THE GENERAL QUALITY INDICATOR

The GQI is the weighted average of so called contractual SQI[26] specified in the Specific Contract/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.

To each contractual SQI, a normalised weight factor[27] (w) has to be associated.

[26] For sake of clarity, as of now, profiled SQI will be simply called "SQI".

[27] "Normalised weight" means that the sum of all the weights for all SQI participating in a GQI is equal to 1.

In formula, the General Quality Indicator for the Specific Contract (GQI^{SC}) is defined as:

$$GQI^{SC/RFA} = \sum_i (SQI_i \times w_i)$$

In case one or several contractual SQIs cannot be calculated because of an insufficient number of measurements to reach the set "minimum number of measurements", then their contributions to the GQI are removed and the weights of the remaining contractual SQIs are proportionally rescaled to bring their sum (sum of the weights!) back to one.

Please note that it will be a GQI applicable to each of the SCs, and to the majority of the RFAs issued by the Commission. In the first case, the GQI will be calculated on the basis of the SQIs defined per each SC, while in the second case (RFA base), the GQI will be calculated on the basis of the SQIs defined by the Commission within each of the concerned RFAs.

2.7.3. LIQUIDATED DAMAGES

The liquidated damages related to deficient QoS are derived directly from the GQI calculation on SC level and/or on RFA level.

The liquidated damages will be calculated at the end of the service provision of a specific contract (SC level), and at RFA invoicing time[28] (RFA level).

Liquidated damages may be applied to the service provider in the framework of the contractual OLA.

From GQI to liquidated damages calculation

The amount of liquidated damages at the end of the specific contract or in the context of an RFA is calculated according to the following "P" function:

If $GQI^{SC/RFA} \leq -1$	$\Rightarrow$	Liquidated damage = 20 % * SC/IS or RFA (SC/IS is the Fixed Price budget for Informatics Services and RFA is the total value of the RFA)
If $-1 < GQI^{SC/RFA} < 0$	$\Rightarrow$	Liquidated damage = 20 % * SC/IS or RFA total value * *abs(*$GQI^{SC/RFA}$);

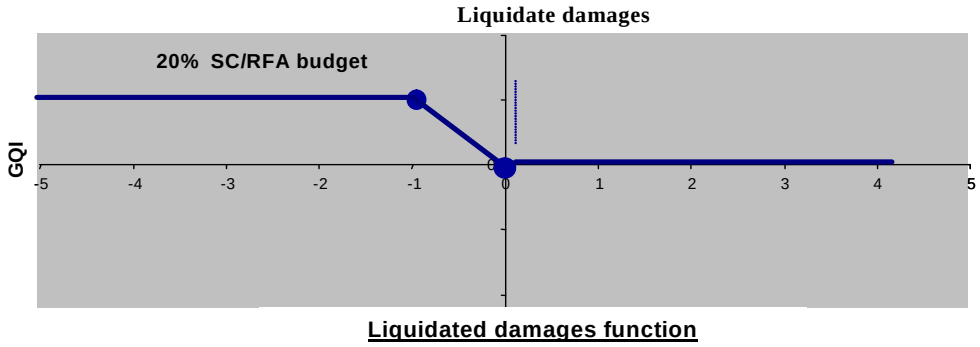
[28] For all RFAs subject to invoicing, the contractor is obliged to provide along with the invoice to Commission ALL supporting documents (i.e. acceptance letters, signed RFA, SQI calculation sheet, etc)

$$GQI^{SC/RFA} \geq 0 \quad \Rightarrow \quad \text{Liquidate damage} = 0$$

abs means *absolute value*.

The main idea behind the "P" function is to:

- have **no** liquidated damage when the GQI is positive, indicating overall positive QoS for the duration of the SC,
- have liquidated damages linearly proportional to all amounts that have been ordered in the SC, when GQI is negative…,
- and limit the maximum amount of liquidated damages to 20% of all amounts that have been ordered in the SC when GQI gets below -1, indicating that the global QoS during the SC has been very negative.



Liquidated damages function

Figure 4 – Liquidated damages application

Liquidated damages are calculated at the end of each specific contract and applied on the last payment related to the specific contract, when applicable.

The liquidated damage will take the form of an amount to be deducted from the last invoice for the specific contract.

A GQI may also 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.

2.8. INTERNAL QUALITY SYSTEM OF THE CONTRACTOR

The contractor must operate an effective internal quality system in order to deliver according to expectations and minimise risks raised around its services and increase

the resilience of them. The contractor will run internal QA, QC and risk analysis processes, the internal records of which will be kept available to the Commission.

The contractor will proceed periodically to self-assessment and internal audit. The internal audit will be conducted by internal auditors of the contractor, offering reasonable assurance of segregation of reporting from the service delivery team of the contractor.

The contractor must appreciate that any defect in his quality system will result in a quality burden shifting to the Commission, and in a decrease of quality of service for the users.

2.9. CRITICAL QUALITY SUCCESS FACTORS

The Commission regards the following as critical quality success factors for the delivery of the contract:

- execution of the contract in compliance the Technical Annex (this document), FQP, relevant CQPs, specific contracts and their technical annexes;
- service performance and achievements in relation to targets set forth in the OLA;
- accountable, proactive, and customer-driven project management;
- high user-satisfaction levels;
- high quality level of deliverables submitted for review to the Commission;
- pro-active behaviour in all situations, in the best interest of the Commission;
- user-oriented Service Desk complemented with timeliness and quality of deliveries and services;
- continuous improvement by recycling all lessons learned and full implementation of CSIP;
- predictable behaviour and quality;
- transparent, accountable and service-oriented relationship between all involved parties (NAs, other contractors, DIGIT/DC);
- knowledge of applications and systems;
- rapid and visible progress in the transformation;
- highly competent and qualified staff assigned to the project.

3. GENERAL REQUIREMENTS

3.1. RELATIONSHIP

The contractor will perform the activities under the authority and the close control of the Commission, in function of the organisation in place at the Commission, and in full compliance with the Programme Quality Plan (PQP) for the Excise and Taxation systems. The instruments of this control must include all the deliverables specified in the WP.0 Project Management Work Package.

In terms of inter-relationship between contractors, the contractor reports to the Commission only. In some specific circumstances, the Commission may authorise the establishment of direct working technical relationships between the contractors in order to improve the overall efficiency of the Central Programme.

However, the Commission will always retain full control over, and require full traceability of, the information exchanged between contractors. It is important to recognise that delays incurred by one contractor will ripple down to the other parties downstream, implying that all contractors must take adequate steps to address this risk.

In the context of the FITSDEV3 contract, the contractor will interface with the Quality Assurance and Control contractor (alias QA/QC contractor) in the context of deliverables review/acceptance process and in the context of quality audits.

In terms of interaction with the Commission, the contractor has to set up an organisational structure that can effectively interact with that in place in the Commission.

3.2. INTERACTION MODEL

For information on the internal DG TAXUD service organisation refer to Annex II.A – Terms of Reference, section 3.2.

The specification and implementation of a pragmatic and effective interaction model between the contractor and the Commission is a key activity for the FITSDEV3 contractor to perform, following the kick-off of the contract.

The key objective of this interaction model is to establish a structured and effective communication and collaboration framework between the two parties (DG TAXUD and contractor) which will be supported and driven by Single Points Of Contact (SPOCs) nominated by each of the two parties at contractual and business level. Each nominated SPOC will be clearly reflected in the organisational structure and will be responsible for coordinating activities within its own domain (TES specifications domain for example).

In the context of the FITSDEV3 contract, there will be one Central Project Team (CPT) for Excise managed by **R4/EMCS** sector, and one Central Project Team (CPT) for Taxation projects managed by **R4/TAX** sector. Each CPT manages and co-ordinates the various projects that are on-going and those that will be started in their respective areas.

In addition to CPTs, there will be the **R4/Project Support** (PS) sector for dealing with the contractual and supply management related activities.

For security-related activities and issues, the contractor will need to interact with the "**R4/LISO**" sector as well.

For each of the above sectors, SPOCs will be nominated by the Commission for managing and coordinating effort and activities with the SPOCs nominated by the FITSDEV3 contractor.

The FITSDEV3 contractor has to describe in detail the "interaction model" to put in place within the FQP document, which is one of the first deliverables of the first SC.

In addition to the interactions with the sectors (as mentioned above), the FITSDEV3 contractor will interact also with the:

- Quality Assurance contractor in the context of the deliverable review cycle (delivery, review and acceptance). The Commission will notify to the FITSDEV3 contractor the SPOC for the QA and QC contractor,
- IT Service Management Contractor in the context of testing activities (Pre-SAT, CT, QT and Stress Testing);
- DIGIT/DC in case the systems and applications are hosted there;
- HR DS in case of remote connection to EC assets (see Security Convention in Annex XI – Baseline: General documents\Security Management)

The contractor can also have others contacts with e.g. other units of DG TAXUD, others DGs of the Commission and National Administrations.

The above is not meant to be exhaustive and can be subject to changes during the contract.

3.3. DELIVERABLES

The contractor must deliver the produced artefacts electronically, on paper only if requested, using the Commission office automation tools and according to the procedures defined in the applicable quality plan. Also, the contractor has to re-deliver the artefacts at the end of each quarter to an electronic repository of the Commission (CIRCA for example). However, the Commission may request the contractor to redeliver them on a DVD-ROM medium instead. All written artefacts are to be

produced in English, unless stated otherwise. Some documents may need translation into EN, DE or FR.

Refer to section 1.3.2.1 for the acceptance of deliverables.

3.4. STAFF

The contractor is responsible for providing the staff and demonstrating that each member of the staff complies with the role profiles defined in its offer. Each role profile must provide: the job purpose, job functions and duties, and the job requirements.

The contractor has the responsibility to set up an adequate team organisation in order to perform the activities and deliver the products and services in full compliance with the quality requirements and the interaction model.

In case of staff replacement in management, SPOC and quality roles, the contractor will inform the Commission at least two (2) months beforehand and communicate the details of the new staff member and evidence of his/her compliance with the role profile for which (s)he is proposed. The contractor will ensure the knowledge retention, at his own expense, avoiding any regression of service. The contractor will describe the team induction and team management in the FQP and CQPs.

The contractor must ensure that his staff is fully aware of the contractor's quality system, of the quality system of the project, of the SLAs, of the contractual OLA in place, of the security requirements of the project as well as of the goal, the context, the planning and the political importance of the service.

3.5. AVAILABILITY

The availability requirements in the context of each activity are as set out in section 1.2 and section 1.3.4. However, the contractor's needs to be available to provide technical support activities and participate in "out of premises" missions and/or meetings from Monday to Friday, from 8:00 to 20:00 (Brussels time), that is, 5 days/week, except 25.12 and 01.01, unless otherwise requested via WP.8.8.

3.6. PLACE OF WORK

The work will be performed primarily at the contractor's premises situated in the territory of one or more of the EU Member States.

Meetings with the Commission services are generally held in the premises of DG TAXUD. Some meetings may also be held at the premises of another contractor involved in the service or at the premises of the National Administrations.

However, the contractor may also be requested by the Commission to perform ad-hoc missions or participate in meetings in the EU candidate countries, EFTA countries, neighbouring countries (Ukraine for example) and in any other third country such as, but not limited to, China and Russia. The contractor must be able to perform a mission or attend ad-hoc meetings with the Commission or with any of the countries above at mutually agreed dates and times.

Some meetings may also be held at the premises of another contractor involved in the service or at the premises of the national administrations.

3.7. ICT INFRASTUCTURE

The contractor must specify, size, provide, host, install, configure, stage in, fine-tune, operate, monitor and administer the necessary ICT infrastructure (and its maintenance) in his premises located in the EU for the successful execution of all the work packages, including access to the Internet.

Note that the Commission reserves its right to host the infrastructure (e.g. in the Commission Data Centre or at other providers premises) and provide remote access to contractors, including the FITSDEV3 contractor.

The tools must be compatible with the Commission office automation environment.

The contractor will propose any additional tools considered necessary to improve the efficiency, the effectiveness and the quality of his service. Those tools must remain compatible with the current infrastructure.

If the needed infrastructure, which would possibly be procured in the name of the Commission, is located in his premises, the contractor will need to take the necessary insurance to cover it against the usual risks (fire, flood, thefts, etc.).

The contractor must be careful to use and respect commonly accepted standards and guidelines according to the chosen technology. The standards used within the Commission are set by the Directorate General for Informatics (DIGIT).

The contractor must have access from his premises to all necessary telecom services for the successful execution of all the work packages. The contractor must specify, size, provide, host, install, configure, operate, monitor and administer the necessary telecom services in his premises (refer to WP.1.6). Telecom services are required for:

- access to Internet;
- conference calls;
- a line with the Telecom Centre to access the Commission CCN GW and/or a line to access a CCN GW in the premises of the CCN Technical Centre.

The contractor must provide a fixed rental cost for providing the continuous operational availability of the telecommunication services required for the successful execution of all the work packages.

Regarding telecommunication protocols and standards, the contractor must be careful to use/respect the standards and guidelines provided by the Directorate General for Informatics of the Commission (DIGIT).

The contractor provides the necessary ICT commodity products (HW, COTS and telecom commodity products) which are required to meet its contractual obligations, except for the products that the Commission may decide to make available free of charge to the contractor. The contractor must supply the Commission with a delivery notice. The prices that the Commission will pay for the provision of ICT products will be based on the official price list referred to in the Framework Contract. All provided ICT products are the property of the Commission.

The contractor provides the maintenance and support services for all ICT products that it supplies to the Commission. The contractor must transfer all maintenance and support service rights to the Commission or to a third party nominated by the Commission at hand-over time. The Commission covers the maintenance and support services for all ICT products that it decides to make available to the contractor.

The contractor maintains a detailed asset inventory of all ICT products (HW, COTS, Telecom products), including the taken-over items and/or those delivered by the Commission, with item identification, location, price, date of delivery, start and end date of maintenance and support. The contractor will keep this asset inventory available to the Commission.

3.8. SECURITY

All the requirements in this section have to be integrated into the contractor's Information Security Management System put into place in execution of Security Management.

As part of its project operation and management, the contractor must ensure that the following requirements are met.

- Keep the Commission informed of the composition of the contractor’s team and provide the CVs for each staff member.
- Restrict and control the access by his staff to the service resources on a “need to know/access” basis.
- Take the necessary security protection to avoid divulgation of service resources to external parties, including strong protection (e.g. by encryption or strong access control) of all project-related sensitive information when it leaves the contractor's premises. Special attention must be paid to e-mail exchanges and mobile equipment such as, e.g., laptops, CDs/DVDs or USB memory keys.
- Escalate any security incident to the Commission.

- Provide security recommendations (e.g. deployment of security patches, …) to the Commission when required.

- Restrict, monitor and control access to the operational environment.

- Restrict, monitor and control physical access to the production and operational servers, firewalls, routers and other components used to manage the information flow within the environment.

- Restrict, monitor and control access to the connection towards the CCN network, must it be via the Commission CCN GW or via the CCN IP network, by protecting the CCN-connected LAN segment using dedicated cabling and equipment and a firewall to isolate it from the other segments of the operational infrastructure.

- Ensure compliance with the Confidentiality/ Integrity/ Availability requirements applicable to the information, information systems and processes.

    - Protect all workstations and servers used in the framework of the contract by a login/password mechanism, with an anti-virus package, which is updated automatically. This anti-virus solution must control files received from mail, Internet and media or stored locally.
    - Logical or physical separation between the IT environments related to development, test, training and demo must be enforced.

The contractor will describe the security system that it applies in a security plan delivered to the Commission (see WP0.1).

The Commission's information systems security management (ISMS) is defined in C(2006)3602, its implementing rules and corresponding security standards for further implementation. At Directorate General-level, DG TAXUD has issued and continuously updates the TEMPO security management documents which define the DG information systems security policy compliant with the EC ISMS.

The Commission reserves the right to perform security audits of the service organisation in the contractor’s premises. The Commission may elect to contract with a third party to perform these audits. The contractor commits to co-operate fully with the Commission during the audits (refer to work package WP.0.9). In particular, the contractor commits

- to authorise the access to the whole of the service information located at his premises no later than two weeks after the request of the Commission,
- to answer the questions from the Commission (or its elected third-party contractor),
- and to provide the evidences required during those audits.

Access to the Commission internal network and computer environment is ruled by a security convention which be signed by the contractor, IRM, DIGIT and the Security Directorate before a connection may be made. See "*Procedure for the creation and*

amendment of a Security Convention" as well as "*Guidelines for the preparation of Security Convention for remote access*".

Each staff member assigned by the contractor must sign a declaration of confidentiality in compliance with article III.2.2. of the general terms and conditions for IT contracts, with art 4 of the Commission decision concerning the security of information systems used by the European Commission [C (2006) 3602] and with art. 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.

The contractual confidentiality clauses apply to all team members of the contractor.

The Commission reserves the right to impose additional specific physical and logical security rules in the future, must the need arise.

The Commission may require, if the need arises, that key staff get a security clearance from a Member State national security authority.

3.9. "OUT OF PREMISES" SERVICES

3.9.1. WITHOUT REIMBURSEMENT OF TRAVEL AND SUBSISTENCE COSTS

All missions (i.e. training, workshops/demos, technical meetings, coordination meetings, ad-hoc meetings, etc…) at the Commission's premises (Brussels and Luxembourg) and/or at any other contractor's premises within a distance of ≤ 50 Km of the Commission's premises) are **to be included in the quoted prices for services**, including the travel and subsistence of these missions. Therefore, no additional travel and subsistence expenses will be reimbursed **between** Commission's premises (Brussels and Luxembourg).

The contractor is responsible for including in his offer the human resources required to attend meetings in the Commission premises.

3.9.2. WITH REIMBURSEMENT OF TRAVEL AND SUBSISTENCE COSTS

Travel and subsistence expenses for **all other missions**, that is, missions other than those to the Commission's premises (Brussels and Luxembourg) and/or at any other contractor's premises within a distance of ≤ 50 Km of the Commission's premises will be reimbursed and calculated according to the rules specified in the Framework Contract.

The Commission will quote the costs of such missions in a separate fixed budgetary provision.

All travel requests put by the contractor have to be authorised by DG TAXUD prior to travelling.

See the travel request authorisation process in the Annex XI – Baseline:

- General documents\Travel Authorisation process

3.10. OFFICE AUTOMATION TOOLS

The contractor must have an office automation environment which is compatible and inter-operable with that of the Commission.

The quoted prices for services include the availability of the office automation environment of the contractor.

3.11. OWNERSHIP

All deliverables become the property of the Commission once accepted. The Commission is then the only party that can authorise their further use and distribution.

All deliverables of the contract are free of IPR from 3rd parties (unless otherwise accepted by the Commission), and in particular the processes, the procedures, the tools, the knowledge/information/data repository, the bespoke software, configuration and scripts and other artefacts produced by the contractor to support his service delivery to the Commission.

None of the deliveries may refer to documentation or other artefacts owned by the contractor which would not be publicly and freely available.

3.12. MODEL OF MONTHLY PROGRESS REPORT

For each Specific Contract (SC) in effect under the Framework Contract (FWC), there is one monthly progress report (MPR) to be generated and delivered to DG TAXUD by the contractor per month.

A model of the monthly progress report (MPR) follows below. The CQP will define precisely the structure of the monthly progress report, based on the following indicative model.

1) Introduction: Normally, this section defines the period covered by this report.

2) Highlights: This section describes in brief the key achievements of the reporting period, the key deviations from the plan identified or reported during the reporting period, and lists the deliverables subject to acceptance with this report.

3) Progress: This section describes in brief and in a structured manner the progress achieved within the context of the planned tasks. For each task, a short description of the contribution to the progress is given:

   - description of the activities carried out;
   - description of the results achieved;

- comments on ongoing tasks, where appropriate;
- justification of the deviations from Section 1.

Note: The CQP will define the detailed structure of this section of the monthly progress report. All deliverables or software releases (new/corrective/evolutive) generated within each work package will also be listed, together with their status (eg. under review, accepted, rejected, etc.).

4) Tasks planned for next month: This section defines all tasks planned for execution for the next month.

5) Requests for Actions (On Demand, Quoted Time& Means): The Requests for Actions status must be listed with their reference number and title, to which a short comment could be added, when useful.

6) Evolution of GQI: This section will list the evolution of the Global Quality Indicator (GQI) per each reporting month, at the level of the specific contract. It will also list the GQI values for each of the Request for Actions issued by the Commission

7) Annexes:

(1) the Deliverable Tracking Matrix showing the:

- planned delivery dates: contractually agreed, CQP agreed, RfA/QTM actions agreed or mutually agreed in advance in a previously accepted MPR; (It must be noted that the DTM is up-dated weekly by the contractor and delivered to DG TAXUD for information.
- foreseen delivery dates;
- actual delivery dates for review and for acceptance;
- deliverable delays (for review and acceptance);
- list of reviewers;
- etc.

(2) Planning: This annex includes the latest planning in place.

(3) Consumption: This annex reports on the monthly/foreseen consumption of all effort-based (man-day) quantified services ordered via the Specific Contract or via Request for Actions and/or Quoted Times & Means actions. It must be noted that the consumption annex is updated weekly by the contractor and delivered to DG TAXUD for information.

(4) Computation of GQI/SQIs: This annex includes the detailed calculation of the GQI at the level of the specific contract and at the level of the RFAs and/or QTMS.

(5) Risks: This annex includes a registry of all identified risks together with their status and mitigation actions. The contractor will pay attention to, and report on, the following topics:

- Risk Identification;
- Risk Analysis;
- Risk Planning;
- Risk Tracking;
- Risk Control;
- Risk Communication.

(6) Travel Costs: This annex lists all missions that took place in the context of the SC.

(7) Cost allocation per system/project: This annex presents the allocation of actual cost to various systems and projects. For each project/system the contractor will list the RFAs linked to that along with the cost stipulated in the RFAs.

(8) Monthly Service Report (MSR).