

<b>PROCESS</b>	<b>REF: [REMOVED]</b>
<b>CONTRACT CHANGE MANAGEMENT PROCESS</b>	

<b>OWNER: CUST-DEV2</b>	<b>ISSUE DATE: 13/07/2011</b>	<b>VERSION 1.00</b>
<p><b>TAXATION AND CUSTOMS UNION DG</b></p> <p><b>SUBJECT:</b></p> <p><b>CONTRACT CHANGE MANAGEMENT PROCESS</b></p>		
<p><b>CUST-DEV2</b></p> <p><b>[REMOVED]</b></p>		

<b>PROCESS</b>	<b>REF: [REMOVED]</b>
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<b>DOCUMENT HISTORY</b>	

## DOCUMENT HISTORY

Edi.	Rev.	Date	Description	Action(*)	Pages
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(\*) Action: I=Insert R=Replace

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<b>INTRODUCTION</b>	

## 1 INTRODUCTION

The change management process is a key mechanism that can affect the success or failure of a project. This process is the primary vehicle for containing scope and ensuring that management has the opportunity to make timely trade-offs between the three key project variables of cost, time and scope. Inadequate control can lead to unexpected cost and time overruns. It is imperative that potential changes are identified early, documented carefully, and resolved at the appropriate levels of responsibility.

In order to manage changes, the CUST-DEV2 has defined a change management process in order to identify, record, assess, and approve changes for supporting the delivery of the CUST-DEV2 Project.

### 1.1 Acronyms and Abbreviations

See Annex 19 of the FQP for the full list of Acronyms and Abbreviations. These below are the relevant abbreviations for the Contract Change Management Process.

<b>ACRONYM OR ABBREVIATION</b>	<b>DEFINITION</b>
BMM	Bi-lateral Monthly Meeting
CMP	Contract Management Plan
DG TAXUD	Directorate General - Taxation and Customs Union
HoU	Head of Unit
IAR	Definition of Impact Assessment Form
RFC	Request for change form

Table 1-1: Acronyms and Abbreviations

### 1.2 Purpose of the Change Management Plan

The Change Management Plan (CMP) for the CUST-DEV2 Project therefore defines the details of the working relationship between DG Taxation and Customs Union (DG TAXUD) and CUST-DEV2 in specific relation to managing change procedures (in terms of describing the procedures and processes to control their definition, registration and tracking) against the CUST-DEV2 Project.

### 1.3 References

<b>RD#</b>	<b>Title</b>	<b>Originator</b>	<b>Version</b>	<b>Date</b>
[RD1]	Framework Quality Plan	CUST-DEV2	1.01	
[RD2]	Specific Contract Management Reference Manual (TMP-REF- MSC)	DG TAXUD	2.50	17/09/2010

### 1.4 Structure of This Document

After providing initial document information sections (i.e. Document History, Table of Content, Lists of Tables & Figures, Introduction [*this section*], References, Terminology), the CMP is structured as follows:

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**Section 4** – deals with the process and steps associated with change management (Change Management Process).

**Section 5** – deals with the overall stakeholder governance controls associated with change management (Personnel Authorised to Submit Changes).

**Section 6** – deals with the overall monitoring and reviewing of the status of change (Change Control Tracking And Reporting).

Annexes contained within the CMP document provide further detailed information covering the following specific topics:

**Appendix A.** - Definition of CUST-DEV2 Change Control Log

**Appendix B.** - Definition of Change Request Document

**Appendix C.** - Definition of Request for Change Form ( RfC)

**Appendix D.** - Definition of Impact Assessment Form ( IAR)

**Appendix E.** - Estimated Assessment Effort Against a Request for Change

**Appendix F.** - Change Order Approval Sign-off Document

## 1.5 Field of Application

The scope of the CMP is applicable to and limited to all aspects of the performance of the CUST-DEV2 Project as undertaken by the CUST-DEV2.

Furthermore this document describes how the CMP will be developed and maintained during the life of the CUST-DEV2 Project.

## 1.6 Deviations from TEMPO

The document is structured according to Accenture document structure without major deviations from TEMPO.

## 1.7 General Presentation on the CUST-DEV2 Project

The CUST-DEV2 Project is contractually structured in the following manner: a Framework Contract that defines the main commercial principles and terms for all future services and supplies required to support DG TAXUD in achieving the aims of its programme for CUST-DEV2. The Framework agreement itself does not set out in detail the exact nature of specific deliverables to be supplied or detailed services to be undertaken, it simply provides the commercial mechanism by which future services and supplies will be provided by CUST-DEV2 to DG TAXUD. So under the umbrella of the Framework agreement there are the Specific Contract assignments which define the work that has to be provided by CUST-DEV2 within a timeline and under a defined budget.

For the purposes of this document the term CUST-DEV2 Project refers to the Framework Contract and all issued and agreed Specific Contracts between DG TAXUD and CUST-DEV2.

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<b>TERMINOLOGY</b>	

## 2 TERMINOLOGY

The purpose of this section is to provide a list of the formal definitions used within this document.

### 2.1 Definitions

Term	Definition
Assignment	All duties relating to the supplies and performance of services under the Contract as laid down in the Specific Contract(s).
CUST-DEV2 Project	Collective term of the CUST-DEV2 for the definition of the Framework Contract and any associated Specific Contract(s) under this Framework Contract.
Change	A change to a Specific Contract agreed upon by DG TAXUD and the CUST-DEV2 pursuant to the procedures set out in Article 9 of the Framework Contract and sub-annex 3 of each Specific Contract.
Commission	European Commission
Confidential Information	All information disclosed to the CUST-DEV2 or obtained by them in connection with an Assignment and having been marked confidential or equivalent, as well as any document, material, idea, data, drawing or information related to the CUST-DEV2, the Commission or the Member States, the nature of which is such that the Contractor can reasonably be expected to believe it to have a strategic, security, political, diplomatic or economic importance, even if it has not been explicitly so identified.
Contract	See Framework Contract.
Deliverable Description	A quality component document conforming to standards and guidelines defined within TEMPO methodology for the production of a project deliverable.
Framework Contract	The framework contract concluded between DG TAXUD and the CUST-DEV2.
Specific Contract	A contract concluded between DG TAXUD and the CUST-DEV2 under the Framework Contract.
Change Request	A contractual document which provides the formal authorisation mechanism in order to agree the implementation of a Request for Change between DG TAXUD and the CUST-DEV2.
Impact Analyse and Assessment Report	A document report which defines, describes and details the findings from an Impact Analysis exercise undertaken against a raised RFC.

Table 2-1: – List of Definitions



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<b>CONTROL OF THE CHANGE MANAGEMENT PLAN</b>	

### **3 CONTROL OF THE CHANGE MANAGEMENT PLAN**

The purpose of this section is to describe the order of precedence, preparation, approval and maintenance approach for the CMP.

#### **3.1 Order of Precedence**

In the event of conflicting terms in various contractual documents, the order of precedence applicable is defined in the Framework Contract (page 2).

#### **3.2 Preparation**

This version of the CMP document has been prepared taking into account the TEMPO Specific Contract Management Reference Manual.

#### **3.3 Approval**

Although the CMP document is a deliverable which is applicable to the programme level management of the CUST-DEV2 Project, the detailed approval mechanisms to cover acceptance of any version of this document are those as defined and described in the Framework Contract, Annex III C., article 1.3.2.

#### **3.4 Maintenance of the CMP**

The CMP will be owned and maintained by the CUST-DEV2 for the duration of the CUST-DEV2 Project, where it will be further enhanced as deemed necessary, on the introduction of any additional Specific Contract assignments under the Framework Contract.

A baseline structure for the CMP has been developed accordingly, identifying all aspects that need to be covered for the CUST-DEV2 Project.

The CMP is for use by and restricted to the CUST-DEV2 Project in the context and life of the CUST-DEV2 Project and covers all change management procedures provided by the CUST-DEV2 under this contract.

#### **3.5 Lack of Adherence to the CMP**

The CUST-DEV2 team assigned to each Specific Contract have day to day responsibility for monitoring use of the procedures and processes defined in the CMP and ensuring their effectiveness within the scope of the CUST-DEV2 Project.

The CUST-DEV2 Contract Manager, as appointed by the CUST-DEV2, shall act as the owner of this document. Any concerns regarding conflicting or ambiguous statements or gaps in this plan will be referred to the CUST-DEV2 Contract Manager.

Ultimately, the CUST-DEV2 Account Manager and the CUST-DEV2 Programme Manager are jointly responsible to ensure the adherence of the CMP within the CUST-DEV2 Project. However, in the event that any matter needs to be escalated to these roles, then the procedures as defined and described in the Framework Quality Plan should be followed.

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## 4 CHANGE MANAGEMENT PROCESS

The purpose of this section is to provide an overview of the change management process flow which can be adopted by the CUST-DEV2 and DG TAXUD for the delivery of the CUST-DEV2 Project.

### 4.1 Change Control Process Flow

Figure 1 below provides an illustrative view of the end to end change control process that can be adopted for the CUST-DEV2 Project.

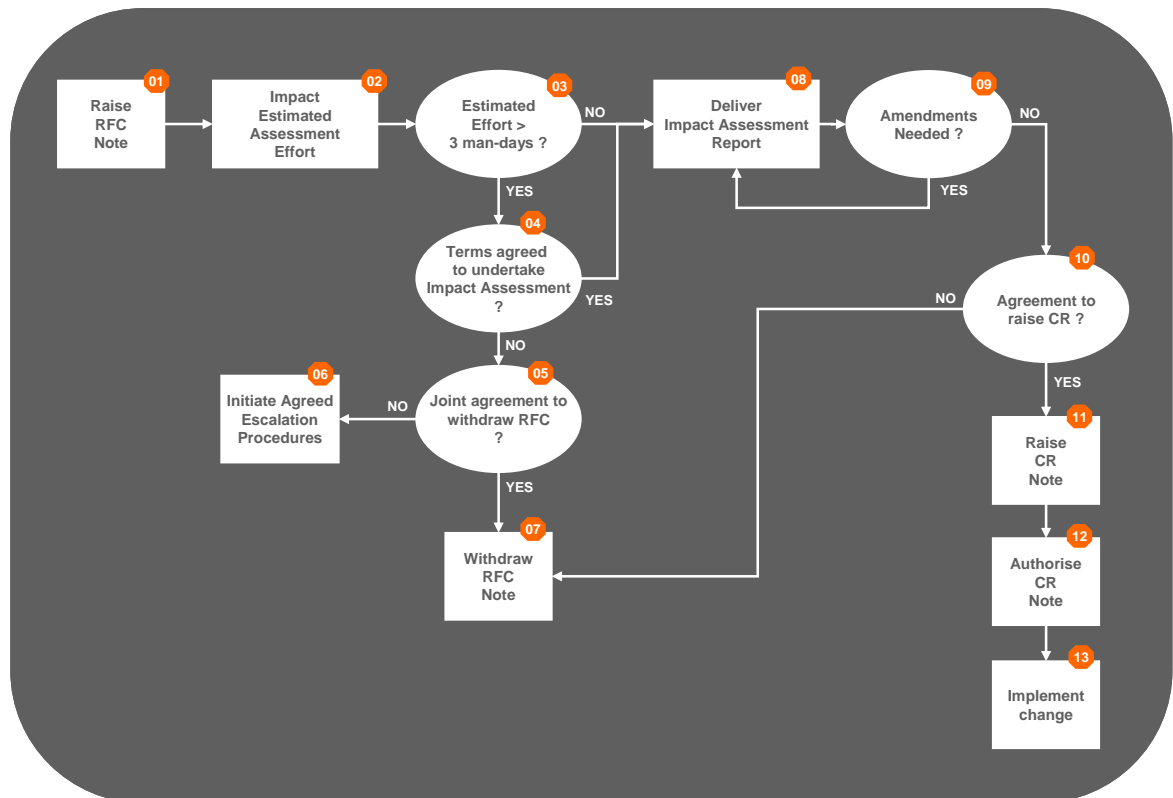


Figure 1 – CUST-DEV2 Project Change Management Process Flow

An important statement to document at this point is that DG TAXUD and the CUST-DEV2 jointly agree that raising and authorising a Change does not automatically imply that a financial cost will be incurred by DG TAXUD in order for the CUST-DEV2 to implement such a change.

For example, if an incident is raised against a previously accepted CUST-DEV2 deliverable which can be clearly identified as an error against a formally documented requirement, then the effort and cost required to perform the corrective activities to resolve the incident will be expected to be borne by the CUST-DEV2. If however, the incident is clearly identified as originating due to a new requirement (or a modification to an existing requirement), then DG TAXUD and the CUST-DEV2 will accept this as a change to the requirements of the deliverable. In both scenarios of this example, the agreed Change Management procedures will be followed to record and manage the Change identified and agreed between both parties.

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## 4.2 Supporting Procedures

Activities against each of the steps as previously illustrated in Figure 1 above, will be undertaken in accordance with the following change control procedures.

### 4.2.1 Step 01 – Raise RfC Note

Responsibility	Activities to be Undertaken
DG TAXUD or the CUST-DEV2	<ul style="list-style-type: none"> <li>Any party can raise a Change for review if there is a perceived need to change the contract terms, the scope of the work, etc. In essence, if the terms, conditions or assumptions on which the contract (including all associated appendices, schedules or referenced documentation) was agreed, vary or require change, then a <b>Request for Change (RfC)</b> should be raised for consideration by the parties. The Request for Change should be raised using the form attached – see Appendix C.</li> <li>Where the <u>CUST-DEV2</u> wishes to propose a Change it will notify DG TAXUD by sending a Request for Change to the DG TAXUD Contract Officer for the CUST-DEV2 Project, specifying, in as much detail as is reasonably practical, the nature of the Change.</li> <li>Where <u>DG TAXUD</u> wishes to propose a Request for Change it will notify the CUST-DEV2 by sending a completed Change Request to the CUST-DEV2 Contract Manager, specifying, in as much detail as is reasonably practical, the nature of the Change.</li> <li>The CUST-DEV2 Contract Manager will ensure that a sequential number is assigned to the Request for Change, which the change will retain as it moves from Request for Change to Change Request Document (CRD).</li> <li>Request for Change raised by the CUST-DEV2 will be approved by the CUST-DEV2 Contract Manager, after prior review and acceptance by the CUST-DEV2 Programme Manager.</li> </ul>

Table 4-1: – Change Process for Step 01

### 4.2.2 Step 02 – Impact Estimated Assessment Effort

Responsibility	Activities to be Undertaken
CUST-DEV2	<ul style="list-style-type: none"> <li>Within five (5) Business Days of the Request for Change being raised, the DG TAXUD Contract Officer for the CUST-DEV2 Project and the CUST-DEV2 Contract Manager and CUST-DEV2 Portfolio Manager shall discuss the proposed Change, agree the timescales for the review and completion of the Request for Change and agree on the timescales for providing the Impact Estimated Assessment</li> </ul>

<b>PROCESS</b>	<b>REF: [REMOVED]</b>
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Responsibility	Activities to be Undertaken
	<p>Effort.</p> <ul style="list-style-type: none"> <li>The CUST-DEV2 will provide an <b>Impact Estimated Assessment Effort</b> to DG TAXUD within the mutually agreed timescales (Appendix E).</li> </ul>

Table 4-2: – Change Process for Step 02

#### 4.2.3 Step 03 – Estimated Effort Greater than 3 Man Days?

Responsibility	Activities to be Undertaken
DG TAXUD or CUST-DEV2	<ul style="list-style-type: none"> <li>In case the Impact Estimated Assessment indicates that no more than 3 man days of effort are required to make the assessment, the CUST-DEV2 shall produce an Impact Assessment Report (see step 08).</li> <li>DG TAXUD agrees that in case the Impact Estimated Assessment Effort indicates that more than 3 man days of effort are required to make the assessment, both parties need to mutually agree on the Terms to undertake an Impact Assessment (step 04).</li> </ul>

Table 4-3: – Change Process for Step 03

#### 4.2.4 Step 04 – Terms Agreed to Undertake Impact Assessment?

Responsibility	Activities to be Undertaken
DG TAXUD and CUST-DEV2	<p>If, having received and reviewed the Request for Change and the Impact Assessment Effort, DG TAXUD and the CUST-DEV2 wish to <u>proceed</u> with the Change Request, both parties will agree on the Terms to undertake an Impact Assessment Report. Once agreed, DG TAXUD will request the CUST-DEV2 to complete an Impact Assessment Report (step 08).</p>

Table 4-4: – Change Process for Step 04

#### 4.2.5 Step 05 – Joint Agreement to Withdraw RfC?

Responsibility	Activities to be Undertaken
DG TAXUD and CUST-DEV2	<p>If, having received and reviewed the Request for Change and the Impact Estimated Assessment Effort, DG TAXUD and the CUST-DEV2 will then decide if they wish to proceed with the Change Request or not.</p>

Table 4-5: – Change Process for Step 05

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#### 4.2.6 Step 06 – Initiate Agreed Escalation Procedures?

Responsibility	Activities to be Undertaken
DG TAXUD or CUST-DEV2	If, having received and reviewed the Request for Change and the Impact Estimated Assessment Effort, DG TAXUD <b>or</b> the CUST-DEV2 <u>do not wish to proceed</u> with the Change Request, either party may escalate the matter for resolution in accordance of the escalation process defined in the Framework Quality Plan.

Table 4-6: – Change Process for Step 06

#### 4.2.7 Step 07 – Withdraw RfC Note

Responsibility	Activities to be Undertaken
DG TAXUD and CUST-DEV2	If, having received and reviewed the Request for Change and the Impact Estimated Assessment Effort, DG TAXUD <b>and</b> the CUST-DEV2 <u>do not wish to proceed</u> with the Change Request, both parties will withdraw the RFC and formalise this accordingly.

Table 4-7: – Change Process for Step 07

#### 4.2.8 Step 08 – Deliver Impact Assessment Report

Responsibility	Activities to be Undertaken
<p>CUST-DEV2</p> <p><i>Note: if the Impact Assessment Report requires more than three (3) man days of effort DG TAXUD will agree to the additional chargeable cost - see Appendix F.</i></p>	<ul style="list-style-type: none"> <li>• In case the Impact Estimated Assessment indicates that no more than 3 man days of effort are required to make the assessment (see step 2) or in case both parties have mutually agreed on the Terms to undertake an Impact Assessment (see step 05), the CUST-DEV2 shall produce an <b>Impact Assessment Report</b> (as an output from an impact analysis - see Appendix D).</li> <li>• The report shall be provided in timescales agreed between the DG TAXUD Contract Officer for the CUST-DEV2 Project and the CUST-DEV2 Portfolio Manager and CUST-DEV2 Contract Manager or within ten (10) Business Days of receipt of the Change Request (or twenty (20) Business days for material/complex Change Requests).</li> <li>• The Impact Assessment Report shall include the following information, where necessary: <ul style="list-style-type: none"> <li>○ a schedule of Charges and the cost of implementation and/or on-going operation of the proposed Change, including any increase of or reduction in the Service Charges;</li> <li>○ details and cost of any assets, hardware and/or Software needed to implement the Change, including details as to whether such assets would be purchased by DG TAXUD</li> </ul> </li> </ul>

<b>PROCESS</b>	<b>REF: [REMOVED]</b>
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Responsibility	Activities to be Undertaken
	<p>or the CUST-DEV2;</p> <ul style="list-style-type: none"> <li>○ details of any required changes to formal document deliverables as defined within a Specific Contract;</li> <li>○ a proposed timetable for the implementation, together with any proposals for acceptance testing, of the Change Request, or a plan for further evaluation;</li> <li>○ any other points which are pertinent to the proposed Change;</li> <li>○ an analysis of the potential risks (if any) to DG TAXUD if the Change is or is not implemented;</li> <li>○ any legal or regulatory compliance issues;</li> <li>○ Impact Analysis of the proposed Change, with an estimate of the costs of the Change;</li> <li>○ Impacts on the scope of the Services, service Levels, location of the services, business continuity and disaster recovery plan, analysis and design requirements, application, technical architecture &amp; infrastructure requirements, testing &amp; acceptance requirements, maintenance requirements, delivery dates, acceptance criteria, and milestones, third party agreements, organisational process, and the commercial impacts on DG TAXUD (including the Charges);</li> <li>○ any other relevant matter.</li> </ul> <ul style="list-style-type: none"> <li>• Forward report to the DG TAXUD Contract Officer and copy to the CUST-DEV2 Contract Manager.</li> </ul>

Table 4-8: – Change Process for Step 08

#### 4.2.9 Step 09 – Amendments Needed?

Responsibility	Activities to be Undertaken
DG TAXUD	DG TAXUD will review the CUST-DEV2's Impact Assessment Report and, where appropriate, the parties may agree amendments to the Impact Assessment Report.

Table 4-9: – Change Process for Step 09

#### 4.2.10 Step 10 – Agreement to Raise CR?

Responsibility	Activities to be Undertaken
DG TAXUD and CUST-DEV2	<ul style="list-style-type: none"> <li>• If both parties agree on the final version of the Impact Assessment Report they will sign-off this Report accordingly and raise a CR Note (see step 11).</li> </ul>

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Responsibility	Activities to be Undertaken
	<ul style="list-style-type: none"> <li>• If DG TAXUD rejects the Impact Assessment Report and does not wish to proceed with the described Change, it will reject the Change Request Document and notify the CUST-DEV2 accordingly (see step 07).</li> <li>• If both parties cannot reach agreement on the Impact Assessment Report or any other aspect of a proposed Change, either party may escalate the matter for resolution in accordance with the escalation process defined in the Framework Quality Plan.</li> </ul>

Table 4-10: – Change Process for Step 10

#### 4.2.11 Step 11 – Raise CR Note

Responsibility	Activities to be Undertaken
CUST-DEV2	<ul style="list-style-type: none"> <li>• Within a period of time agreed by the DG TAXUD Contract Officer and the CUST-DEV2 Contract Manager or in the absence of agreement within ten (10) Business Days of the approval to produce the Change Request Document, the CUST-DEV2 shall provide DG TAXUD with a Change Request Document (see Appendix C).</li> <li>• The <b>Change Request Document (Part 1)</b> shall include the following information, where necessary: <ul style="list-style-type: none"> <li>○ Change Request Document Number</li> <li>○ Change Request Document Title and date;</li> <li>○ Change Request Requestor and Change Owner</li> <li>○ Change Type;</li> <li>○ Specific Contract reference</li> <li>○ The priority of the Change</li> <li>○ The type of Change</li> <li>○ A description and reason for the Change;</li> <li>○ References - full details of the proposed subject matter of the Change Request including any outline specifications, special conditions or other variations to the Framework Contract or the related Specific Contract required and any dependencies or actions required from DG TAXUD;</li> <li>○ The person who submitted the Change Request Document and the date</li> </ul> </li> <li>▪ The <b>Change Request Document (Part 1 – Appendix C and Part 2 – Appendix E)</b> is filled out by the CUST-DEV2 based on the general information from the Impact Assessment Report (Appendix D). The mutually signed Impact Assessment Report</li> </ul>

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Responsibility	Activities to be Undertaken
	will be attached to the Change Request Document.

Table 4-11: – Change Process for Step 11

#### 4.2.12 Step 12 – Authorise CR Note

Responsibility	Activities to be Undertaken
DG TAXUD and CUST-DEV2	Authorised signatories from both parties are required to sign a Change Request Document within five (5) Business Days of the submission of the Change Request Document in order to authorise the Change (Appendix F). Then DG TAXUD shall issue an amended RfA to the previous original RfA.

Table 4-12: – Change Process for Step 12

#### 4.2.13 Step 13 – Implement Change

Responsibility	Activities to be Undertaken
CUST-DEV2	<ul style="list-style-type: none"> <li>No Change shall be implemented unless agreed to in writing prior to implementation by both parties using the Change Request Document.</li> <li>Once the Change Request Document has been signed by both parties, it is the responsibility of the CUST-DEV2 Contract Manager and the DG TAXUD Contract Officer for the CUST-DEV2 Project to communicate to their respective areas affected by the Change that the Change can proceed to implementation.</li> </ul>

Table 4-13: – Change Process for Step 13



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<b>PERSONNEL AUTHORISED TO SUBMIT CHANGES</b>	

## 5 PERSONNEL AUTHORISED TO SUBMIT CHANGES

Changes to a specific contract must be made via a contract amendment (request from the contractor or by the Commission, explanatory note from the sector, and request for amendment to Unit R1 with DG TAXUD IT HoUs signature). The Contractor and the responsible DG TAXUD Director must sign the contract amendment before it can enter into force.

Changes to an RfA must be made via an amendment to the RfA to be signed by the DG TAXUD HoUs. Signed copies of such amended RfAs are to be registered (and scanned) into ARES.

Changes shall be discussed during the BMM.

These changes are discussed under a specific item of the agenda of this forum and by the related officers, depending on the contractual nature of the changes to be discussed.

The BMM may review the status of all the contractual changes currently documented within the CUST-DEV2 Change Control Log and take the appropriate actions to enable progress on the status of these changes to be executed in a timely manner.

If specific changes are subject for discussion and cannot be agreed between the above mentioned person roles, the discussion will be brought to the next management level as described in the escalation procedure defined in the Framework Quality Plan.

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<b>CHANGE CONTROL TRACKING AND REPORTING</b>	

## 6 CHANGE CONTROL TRACKING AND REPORTING

All change of scope documentation is maintained by the CUST-DEV2 Contract Manager as part of the CUST-DEV2 Project deliverables.

An Open Changes Log report (taken from the master CUST-DEV2 Change Control Log, presented in Appendix A) can be printed monthly (or more frequently) if required and reviewed by the DG TAXUD CUST-DEV2 Project Officer, by the CUST-DEV2 Programme Manager and any appropriate Subject Matter Experts (if appropriate). The CUST-DEV2 will formally track and report the status and impact of all identified changes. Significant changes will be identified in the Issues section of the formal monthly status report (MPR) to DG TAXUD.

### 6.1 Status

The table below (Table 15) provides an illustration of how the status of entries within the CUST-DEV2 Change Control Log can evolve over time.

Value	Description
Approved	Change resolution is approved.
Closed	Change has been resolved.
Deferred	Change is in a pending state.
In Process	Resolution of the change is underway.
New	Status of changes when first entered by the CUST-DEV2 Contract Manager.
Open	Change has been reviewed jointly by DG TAXUD and the CUST-DEV2, and is open for resolution.
Rejected	Change has been reviewed jointly by DG TAXUD and the CUST-DEV2, and has been rejected.

Table 6-1: – Change Status Values

In addition, Figure 2 below provides an illustration of the process flow which controls the evolution of change status throughout its lifecycle.

PROCESS	REF: [REMOVED]
CONTRACT CHANGE MANAGEMENT PROCESS	
CHANGE CONTROL TRACKING AND REPORTING	

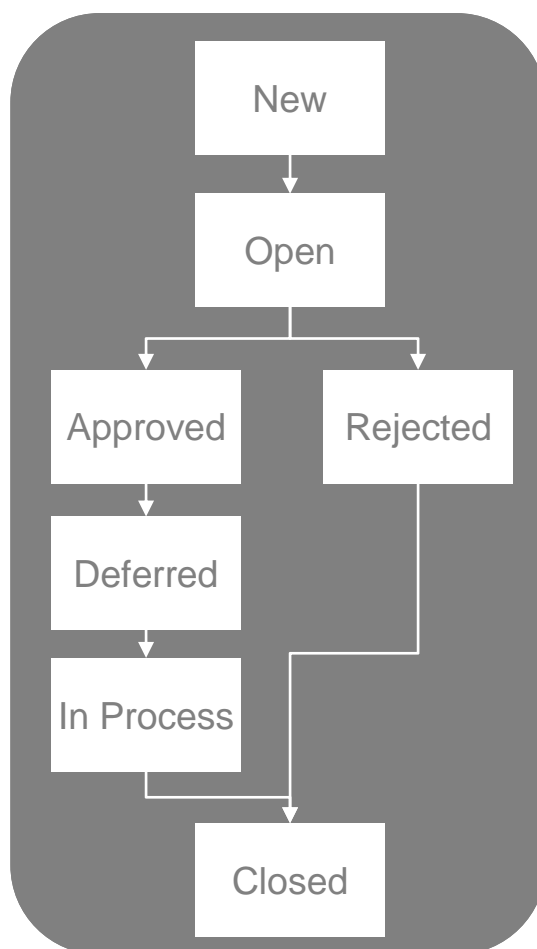


Figure 2 – Process Flow for Change Status

## 6.2 Priority

A priority will be assigned to each change entry held within the CUST-DEV2 Change Control Log. The priority value assigned to each entry will be jointly agreed between DG TAXUD and the CUST-DEV2.

Value	Description
High	Project schedule is inhibited and development cannot proceed.
Medium	Project schedule is inhibited but development can proceed.
Low	Minor impact to project schedule, development can proceed with a work around.
Deferred	Project schedule is not affected.

Table 6-2: – Change Priorities

<b>PROCESS</b>	<b>REF: [REMOVED]</b>
<b>CONTRACT CHANGE MANAGEMENT PROCESS</b>	
<b>CHANGE CONTROL TRACKING AND REPORTING</b>	

### 6.3 Category

Each change entry within the CUST-DEV2 Change Control Log will be assigned a category. This value will clearly indicate which Specific Contract the change entry relates within the CUST-DEV2 Project.

<b>PROCESS</b>	<b>REF: [REMOVED]</b>
<b>CONTRACT CHANGE MANAGEMENT PROCESS</b>	
<b>DEFINITION OF CUST-DEV2 CHANGE CONTROL LOG</b>	

## Appendix A. Definition of CUST-DEV2 Change Control Log

The CUST-DEV2 Change Control Log summarises and tracks the status of identified changes relating to the CUST-DEV2 Project. It is managed and maintained by the CUST-DEV2 Contract Manager. For each change entry, the log will include:

- Change Request number (DG TAXUD Reference)
- Change Request number (CUST-DEV2 Reference)
- Project Reference
- Owner
- Change Request title
- Process (process step)
- Raiser
- RfC number
- Status
- Priority
- Date delivery of Impact Assessment Form & Impact Estimated Assessment Report
- Approved at Step 03 – Estimated Effort Greater than 3 Man Days ? (Yes/No)
- Approved at Step 04 - Terms Agreed to Undertake Impact Assessment (Yes/No)
- Approved at Step 05 - Joint Agreement to Withdraw RfC ? (Yes/No)
- Approved at Step 06 - Initiate Agreed Escalation Procedures ? (Yes/No)
- Approved at Step 07 - Withdraw RfC Note (Date)
- Approved at Step 08 – Deliver Impact Assessment Report (Date)
- Approved at Step 09 – Amendments Needed? (Yes/No)
- Approved at Step 10 – Agreement to Raise CR? (Yes/No)
- Approved at Step 11 – Raise CR Note (Date)
- Approved at Step 12 – Authorise CR Note (Date)
- Approved at Step 13 – Implement Change (Date)
- Comments Approval Process Step
- Date impact Assessment Report Approved
- Date Cost of Impact Assessment Approved
- Decision CR to be raised
- Date CR raised
- Date CR signed
- Comments
- Open Actions

<b>PROCESS</b>	<b>REF: [REMOVED]</b>
<b>CONTRACT CHANGE MANAGEMENT PROCESS</b>	
<b>DEFINITION OF REQUEST FOR CHANGE FORM</b>	

## Appendix B. Definition of Request for Change Form

Any change to the contractual documents as defined in the Framework Agreement and/or any formal deliverables accepted in accordance with the provisions of a Specific Contract, should be subject to a Change. Either party may initiate a Change Request by filling out the Request for Change Form (RFC) where these changes, additions or deletions are proposed in detail and address it to the other party for consideration. Deferred

The RFC form contains the following information:

	<b>Change Request Document No. XXX – Framework Contract No. [Removed] (CUST-DEV2) Specific Contract [_____]</b>
<b>1. Definition of Change Request (Request for Change Form)</b>	<p>Priority: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High <input type="checkbox"/> Deferred</p> <p>Change number: _____</p> <p>Change type:</p> <p><input type="checkbox"/> Additional Responsibilities/Duties <input type="checkbox"/> New Operational Process / Procedure</p> <p><input type="checkbox"/> Other (Specify): _____</p> <p>Change description:</p> <p>References:</p> <p>Submitted by: _____ Date: _____</p>

This form is being completed and submitted by :

- Either the CUST-DEV2 Programme Manager or the Portfolio Manager for the Specific Contract being proposed to be changed;
- Or the DG TAXUD CUST-DEV2 Project Officer for the Specific Contract being proposed to be changed

When the RfC is initiated by the DG TAXUD, within five working days of receiving a Request for Change initiated by the DG TAXUD, the CUST-DEV2 will prepare an impact assessment and fill in an “Impact Assessment Form”, described in Appendix D, as well as the “Impact Evaluation Estimates” Form presented in Appendix E (extracted from the Part 2 of the Annex 3 of the Specific Contract), specifying any resulting changes to the Specific Contract, what adjustments (if any) will be required, including due dates and what changes (if any) will be required to the cost. The changes to the cost may be fixed price amounts or may be time and materials estimates.

When the RfC is initiated by CUST-DEV2, the latter shall immediately fill out an “Impact Assessment Form”, described in Appendix D, as well as the “Impact Evaluation Estimates” Form presented in Appendix E, before addressing it to the DG TAXUD CUST-DEV2 Project Officer. Part 2 of the Change Request Document shall be dated and duly signed by the CUST-DEV2 Programme Manager for the Specific Contract relating to the change.

The detailed process is presented in the supporting procedures defined in section 4.2.

<b>PROCESS</b>	<b>REF: [REMOVED]</b>
<b>CONTRACT CHANGE MANAGEMENT PROCESS</b>	
<b>DEFINITION OF IMPACT ASSESSMENT FORM</b>	

## Appendix C. Definition of Impact Assessment Form

The purpose of this section is to provide a definition of “Impact Analysis” in relation to the CUST-DEV2 Project.

The CUST-DEV2 shall produce an impact analysis in accordance with the provisions of this Paragraph ("**Impact Analysis**"). The purpose of the Impact Analysis is to provide a context for a discussion around the approval and implementation of the proposed Change.

The Impact Analysis shall consider the effect of any proposed Change on any Services provided under the Specific Contracts, other than the aspects of the Services expressly covered by the proposed Change, and on any other relevant Services provided by the CUST-DEV2 or any other third party on their behalf. If the proposed Change has no such impact, a “no impact” statement shall be made.

As described in section “4.2.8 Step 08 – Deliver Impact Assessment Report”, the Impact Analysis shall consider the impact of the proposed Change and take into account the following parameters as applicable and to the extent required for the CUST-DEV2 to provide DG TAXUD with an estimate of the costs of the Change, if appropriate:

1. a schedule of Charges and the cost of implementation and/or on-going operation of the proposed Change, including any increase of or reduction in the Service Charges;
2. where applicable, details of any costs which the CUST-DEV2 would seek to recover on termination of the Specific Contract arising from such Change;
3. details and cost of any assets, hardware and/or Software needed to implement the Change, including details as to whether such assets would be purchased by European Commission or the CUST-DEV2;
4. details of any required changes to formal document deliverables as defined within a Specific Contract;
5. details of any adverse impact on DG TAXUD’ rights after expiry or termination of the Framework Contract and/or the Specific Contract;
6. a proposed timetable for the implementation, together with any proposals for acceptance testing, of the Change Request, or a plan for further evaluation;
7. any consequential changes which may be required to the Specific Contract;
8. any other points which are pertinent to the proposed Change;
9. an analysis of the potential risks (if any) to DG TAXUD if the Change is or is not implemented;
10. any legal or regulatory compliance issues;
11. Impact Analysis of the proposed Change, with an estimate of the costs of the Change;
12. Impacts on the:
  - a. scope of the Services;
  - b. service Levels;
  - c. location of the services;
  - d. business continuity and disaster recovery plan;

<b>PROCESS</b>	<b>REF: [REMOVED]</b>
<b>CONTRACT CHANGE MANAGEMENT PROCESS</b>	
<b>DEFINITION OF IMPACT ASSESSMENT FORM</b>	

- e. analysis and design requirements;
- f. application, technical architecture & infrastructure requirements;
- g. testing & acceptance requirements;
- h. maintenance requirements;
- i. delivery dates, acceptance criteria, and milestones;
- j. third party agreements;
- k. organisational process and commercial impacts on DG TAXUD; and

13. any other relevant matter reasonably requested by DG TAXUD at time of the Impact Analysis or reasonably considered by the CUST-DEV2 to be relevant.

The above parameters shall be considered in such a way that the Impact Analysis results show the impact on Charges (where applicable) and Service Levels.

The Impact Analysis will be presented to DG TAXUD formally within a written document report : the “Impact Assessment Form”.

The detailed process is presented in the supporting procedures defined in section 4.2.



PROCESS	REF: [REMOVED]
CONTRACT CHANGE MANAGEMENT PROCESS	
ESTIMATED ASSESSMENT EFFORT AGAINST A REQUEST FOR CHANGE	

## Appendix D. Estimated Assessment Effort Against a Request for Change

The purpose of this section is to outline the charges agreed between DG TAXUD and the CUST-DEV2 in relation to undertaking a Change Request.

If DG TAXUD or the CUST-DEV2 raises a Change Request, and DG TAXUD wishes an Impact Assessment Form to be produced, the CUST-DEV2 will provide at its own cost a maximum of three (3) man days of effort to prepare and present to DG TAXUD an Impact Evaluation Estimate.

If the CUST-DEV2 believes that the effort required completing any Impact Assessment Form and related Impact Evaluation Estimates and Request for Change will require more than three (3) man days of effort, it will seek approval from DG TAXUD to undertake this requirement as a separately chargeable activity. The rates to undertake any such agreed chargeable work will be those as described in the Framework applied in accordance to the indexation rules as defined within the Framework Contract.

The Impact Evaluation Estimates is presented hereunder:

<b>2.Impact Evaluation Estimates</b>	Estimated effort: _____
	Estimated cost: _____
	Does change impact price? <input type="checkbox"/> Yes <input type="checkbox"/> No
	If yes, give details:
	One-time only charge:
	Planning impact (timing and requirements):
	Assignment impact (scope):
	Operational impact:
	Submitted by: _____ Date: _____
	Contractor Project Manager

Within five working days of receiving the Change Request Document duly completed with Part 1 (change definition), the “Impact Assessment Form” - presented in Appendix D - and Part 2 “Impact Evaluation Estimates” Form (presented in this section), the DG TAXUD shall indicate whether it wishes to proceed with the Change. In such case, the Parties shall jointly determine the impact and acceptance modalities for such Change in Part 3 of the Change Request Document, presented in Appendix F (extracted from the Part 3 of the Annex 3 of the Specific Contract).

The detailed process is presented in the supporting procedures defined in section 4.2.

<b>PROCESS</b>	<b>REF: [REMOVED]</b>
<b>CONTRACT CHANGE MANAGEMENT PROCESS</b>	
<b>CHANGE ORDER APPROVAL SIGN-OFF DOCUMENT</b>	

## Appendix E. Change Order Approval Sign-off Document

The Authorising Officer and the Project Manager shall both approve the Change by signing this Part 3 of the Change Request Document:

<b>3. Change Order Approval Sign-off</b>	<p>Approved for implementation: _____ under following conditions</p> <p>Price impact, if any: _____</p> <p>Implementation date: _____</p> <p>Additional terms and conditions: _____</p> <p>Date: _____</p> <p style="text-align: right;">The Authorising Officer</p> <p>Approved and scheduled:</p> <p>Date: _____</p> <p style="text-align: right;">The Contractor Project Manager</p>
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The Specific Contract shall be deemed to have been modified accordingly as of that time. The CUST-DEV2 shall immediately commence implementations of the Change Request in strict accordance with the conditions jointly agreed upon.

The detailed process is presented in the supporting procedures defined in section 4.2.