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ANNEX II.B - TECHNICAL ANNEX

Invitation to tender TAXUD/2012/AO-06

For Provision of services for Quality Assurance, Quality Control and Project Management of IT activities managed by DG TAXUD (QA3)

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0.1.   TABLE OF CONTENT

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0.2.   ABBREVIATIONS AND ACRONYMS

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".

Acronym	Definition
ACT	Application Configuration Tool
AEO	Authorised Economic Operators
AN	As Needed
APM	Application Portfolio Management
ART	Activity Reporting Tool
ATS	Acceptance Test Specifications
BCP	Business Continuity Plan
BL	Baseline
BMM	Bilateral Monthly Meeting
BPM	Business Process Modelling
BTI	Binding Tariff Information
CAB	Change Advisory Board
CCN	Common Communications Network
CCN/CSI	Common Communications Network / Common System Interface
CCN/TC	Common Communications Network / Technical Centre
CCN/WAN	Common Communications Network /Wide Area Network Provider
CDB	Capacity management DataBase
CI	Configuration Item
CIA	Classification of Information Assets
CIRCA	Communication and Information Resource Centre Administrator
CIRCABC	Communication and Information Resource Centre for Administrations, Businesses and Citizens
CIS	Customs IT Systems sector
CMDB	Configuration Management DataBase

CN	Combined Nomenclature
CO_2	Carbon Dioxide
COBIT	Control Objectives for Information and related Technology
COM	European Commission
CONF	Conformance test environment
COPIS	anti-COunterfeit and anti-PIracy System
COTS	Commercial Off-The-Self (software packages)
CPCA	Common Priority Control Area
CPT	Central Project Team
CQP	Contract Quality Plan
CRC	Common Risk Criteria
CS	Central Services
CS/RD	Central Services/Reference Data
CSF	Critical Success Factor
CSIP	Continuous Service Improvement Programme
CT	Conformance test
CUSTDEV2	Development contractor for customs systems
DDS	Data Dissemination System
DE	Deutsch (German)
DG	Directorate General
DIGIT	Directorate-General for Informatics
DIGIT/DC	Data Centre of the European Commission
DLV	DeLiVerable
DMZ	De Militarised Zone
DQR	Delivery Qualification Report
DRP	Disaster Recovery Plan
DSL	Definitive Software Library
DTM	Deliverable Tracking Matrix
EAS	Entreprise IT architecture and Strategy
EBTI	European Binding Tariff Information
EC	European Commission
ECG	Electronic Customs Group
ECICS	European Customs Inventory of Chemical Substances
ECS	Export Control System
EMCS	Excise Movement and Control System
EN	ENglish
EoF	Exchange of Forms
EORI	Economic Operators' Registration and Identification system
EOS	Economic Operators Systems
EU	European Union
EUROFISC	Network between MSAs supporting administrative cooperation in the field of tax evasion and tax fraud
EWSE	Early Warning System for Excise
FAQ	Frequently Asked Questions
FAT	Factory Acceptance Test
FISCO	Fiscal Compliance Experts' Group

FITSDEV2	Development contractor for Fiscalis[1] systems
FP	Fixed Price
FQP	Framework Quality Plan
FR	FRench
FS	Functional Specifications
FWC	Framework Contract
GQI	Global Quality Indicator
GTT	Generic Test Tool
GW	Gateway
HO	Hand-over
HTTP	HyperText Transfer Protocol
HTTPS	HyperText Transfer Protocol Secure
HW	Hardware
IA	Individual Acceptance
ICS	Import Control System
ICT	Information & Communications Technology
ICT IM	ICT Infrastructure Management (ITIL process)
ID	Individual Delivery
ILIADe	Intra Laboratory Inventory of Analytical Determination
IP	Internet Protocol
IPR	Intellectual Property Rights
IPSec	Internet Protocol Security
ISD	Infrastructure and Service Delivery sector
ISO/IEC	International Organization for Standardization/ International Electrotechnical Commission
ISPP	Information System for Processing Procedures
IT	Information Technology
ITIL	IT Infrastructure Library
ITSC	IT Steering Committee
ITSCM	IT Service Continuity Management
ITSM	IT Service Management
ITT	Invitation To Tender
JIT	Just In Time
KEL	Known Error List
KPI	Key Performance Indicator
LAN	Local Area Network
LISO	Local Informatics Security Officer
MA	Mutual Agreement
MCC	Modernised Customs Code
MCP	Monthly Consolidated Plan
Mini1SS	Mini-One Stop Shop
MoM	Minutes of Meeting
MPR	Monthly Progress Report
MQ	Message Queue
MRN	Movement Reference Number

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[1] Covering Taxation and Excise

MS	Member State(s)
MSA	Member State (s) Administration (s)
MSR	Monthly Service Report
MTTR	Mean Time To Repair
MVS	Movement Verification System
N.A.	Not Applicable
NA	National Administration
NCTS	New Computerised Transit System
NCTS TIR	NCTS part dealing with transit declarations and movements of road transport (Transport International Routier)
NECA	National Export Control Application
NICA	National Import Control Application
NTA	National Transit Application
OD	On Demand
ODL	Operation Document Library
OECD	Organisation for Economic Co-operation and Development
OGC	Office of Government Commerce
OJ	Official Journal
OLA	Operational Level Agreement
OLAF	Organisation de Lutte Anti-Fraude / European Anti-Fraude Office
OR	On Request
OS	Operating System
PDA	Personal Digital Assistant
PERT	Programme Evaluation and Review Technique
PQP	Programme Quality Plan
PreCT	Pre Conformance Test
PreSAT	Pre Site Acceptance Test
PS	Project Support sector
QA	Quality Assurance
QC	Quality Control
QoD	Quality of Data
QoS	Quality of Service
QTM	Quoted Times and Means
RDP	Remote Desktop Protocol
REX	Registered Exporters
RfA	Request for Action
RfC	Request for Change
RfE	Request for Estimation
RfI	Request for Information
RfO	Request for Offer
RfS	Request for Service
RIF	Risk Information Form
RSD	Release Scope Document
SA	Self Assessment
SAT	Site Acceptance Testing
SC	Specific Contract
SD	Service Desk
SE	Service
SEAP	Single Electronic Access point

SEED	System for Exchange of Excise Data
SfA	Submit for Acceptance
SfI	Send for Information
SfR	Submit for Review
SLA	Service Level Agreement
SLM	Service Level Management
SMM	Service Monthly Meeting
SMS	Specimen Management System
SMT	Service Management Tool
SPEED2	Single Portal for Entry and Exit of data
SPEEDNET	SPEED NETwork
SPOC	Single Point Of Contact
SQI	Specific Quality Indicator
SRD	System Requirement Definition
SSH	Secure SHell
SSL	Secure Sockets Layer
SSTA	Standard SPEED Test Application
SSTP	Self-Service Testing Portal
SSTWP	Self-Service Testing Web Portal
STTA	Standard Transit Test Application
SUG	Start Up Guide
SW	Software
SWOT	Strength, Weakness, Opportunity, Threat
TA	Test Application
TARIC	TARif Intégré Communautaire /The Integrated Tariff of the Community
TAX	Taxation Trans-European Systems sector
TAXUD	Directorate-General for Taxation and Customs Union
TEDB	Taxes in Europe DataBase
TEMPO	TAXUD Electronic Management of Projects Online
TES	Trans-European Systems
TESM	IT service management for the Trans-European Systems
TIN	Tax Identification Number
TIR	Transport International Routier
TO	Takeover
ToC	Terms of Collaboration
ToR	Terms of Reference
ToS	Taxation of Savings
TS	Technical Specifications
TTA	Transit Test Application
UAM	User Access Management
UIPE	Uniform Instrument Permitting Enforcement
UNF	Uniform Notification form
USB	Universal Serial Bus
VAT	Value Added Tax
VIA	VIES Initial Application
VIES	VAT Information Exchange System
VoeS	VAT on e-Services
VoW	VIES-on-the-Web
VPN	Virtual Private Network

VREF	VAT Refund
VSS	VIES Statistical application
VTA	VIES Test Application
WAN	Wide Area Network
WBS	Work-Breakdown Structure
w-days	Working days
WebLDAP	Web Client for Lightweight Directory Access Protocol
WP	Work Package
XML	eXtensible Markup Language

Table 1: Acronyms and abbreviations

0.3. REFERENCES

Please refer to Annex II.A – Terms of Reference, section 0.5 "References" 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 QA3 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 Technical Annex of this call for tenders (Annex II.A);

- The Terms of Reference of this call for tenderers (Annex II.B);

- TEMPO;

- ISO standards and ITIL;

- The Baseline of this call for tenders (Annex XI).

1. WORK PACKAGES AND DELIVERABLES

1.1.   OVERVIEW OF THE WORK PACKAGES

The table below gives an overview of the work packages covered by the Framework Contract (FWC).

	Work Package
WP.0	**Project Management**
WP.0.1	Produce and maintain the FQP
WP.0.3	Produce and maintain the CQP
WP.0.4	Produce proposals for SC and RfA/RfE
WP.0.5	Internal activities: QA and QC
WP.0.6	Co-ordinate with the Commission
WP.0.7	Report on a monthly basis for each Specific Contract
WP.0.8	Demand and delivery management
WP.0.9	Knowledge management
WP.0.10	Change management
WP.0.11	Incident management
WP.0.A	Co-operate with the Commission during quality and security audits
WP.0.B	Produce quarterly DVD-ROM for each Specific Contract
WP.1	**Set up and maintenance of resources**
WP.1.3	Set up and maintain office infrastructure
WP.1.6	Set up, operate and maintain the Telecom resources, the monitoring tools and the environment necessary for accessing TEMPO
WP.2	**Take over**
WP.2.0	Provide the detailed take-over plan
WP.2.1	Take-over of going QA/QC activities
WP.3	**Training/workshop/demonstration, Missions and Consultancy**
WP.3.0	Video recording of training sessions
WP.3.1	TEMPO Training
WP.3.2	Training/workshop/demonstration (other than TEMPO)
WP.3.3	Missions
WP.4	**Co-ordination with involved parties**
WP.4.1	Technical meetings with the Commission and/or other 3rd parties involved in the related projects
WP.4.2	Service Monthly Meetings (SMM)
WP.4.5	Management Committee (or its sub-groups) meetings
WP.4.6	Extended technical meetings with the Commission and/or other 3rd parties

	Work Package
	involved in the related projects
WP.5	**Hand-over**
WP.5.1	Defined the detailed hand-over plan
WP.5.2	Hand-over of all documentation,-source code, infrastructure
WP.5.3	Training and support during hand-over
WP.5.4	"After hand-over" support
WP.5.5	Production of the hand-over report
WP.9	**Quality Control, Quality Assurance, and Project Management**
WP.9.1	Maintenance of the Programme Quality Plans
WP.9.2	Audits of other contractors
WP.9.3	Quality management
WP.9.4.	Quality Control of the document deliverables and Service Level Management processes of other contractors
WP.9.5	Quality control of the Conformance Testing
WP.9.6.	Quality Control of the FAT, pre-SAT/SAT and qualifications
WP.9.7	Support to the review process
WP.9.8	Management and Maintenance of TEMPO methodology
WP 9.9	Technical support to DG TAXUD
WP.9.10	Project Management support
WP.9.W	Response to Request for Information (RfI)
WP.A	Other deliverables and services in the scope of the contract

Table 2: List of the Work Packages

1.2. SPECIFICATIONS OF THE WORK PACKAGES

The following table provides a description of the work packages covered by the Framework Contract. The corresponding deliverables are detailed in the table of section 1.3.4.

	Work Packages
WP.0[2]	**Project Management**
	This work package covers all the activities needed to ensure the management of the Framework Contract and of the related specific contracts (SC) to meet the expectation of DG TAXUD.
	It mainly relates to the management of the QA3 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.
	This work package is restricted to the project management underpinning the contractual relationship between the QA3 contractor and DG TAXUD.
	All meetings with DG TAXUD implied by the activities under WP.0 are included in the cost of WP.0.
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 TEMPO methodology and the Programme Quality Plans (PQPs) of the DG TAXUD projects to be served by this contract.
	The FQP will contain among other topics:
	• The key quality objectives (max. 4) of the QA3 contractor in line with the quality policy of the IT units of DG TAXUD (available from TEMPO), together with the corresponding KPIs to ensure their monitoring.
	• a Work Breakdown Structure (WBS) of the activities, using this Technical Annex as a reference;
	• a Deliverable Tracking Matrix (DTM), in line with the life cycle chosen;
	• a planning of the activities in PERT and Gantt presentations;
	• an interaction diagram between the roles on the QA3 contractor side and the Commission side, in particular to fulfil the requirements set in WP.0.6
	• the profiling of TEMPO applicable to the Framework Contract along with any deviation from/addition to TEMPO;
	• the internal procedures of the QA3 contractor in application for the contract, including team organisation and composition, Quality Assurance and Control, escalation procedure, operation procedure;
	• the security plan, the business continuity plan, the disaster recovery plan;
	• the contractual OLA, which defines quality of services, their 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 SC. The contractual OLA can be instantiated in every SC.
	The FQP template is defined in TEMPO.
	The QA3 contractor will have to produce a test plan to verify the alignment of the FQP with its actual set-up, will have to perform the verification (referred to as a FAT), produce the FAT report in line with the FQP for a bundle acceptance by the Commission. The Commission reserves the right to verify the FQP and FAT report on-site during the review period.
	The FQP is a mandatory deliverable of the first SC of the Framework contract.
	It then needs to be maintained along the course of the project: the FQP will need revisions, reflecting the evolution of the quality procedures, TEMPO, PQPs, CQPs, and contractual OLAs.

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[2] Any gap in the numbering sequence of WP or DLV is intentional.

	Work Packages
WP 0.3	Produce and maintain the CQP
	To produce, deliver and maintain Contract Quality Plan (CQP).
	While the FQP defines quality planning and procedures (specific to each contractor), applicable at the level and for the duration of the whole Framework Contract, the CQP will specify all quality planning and procedures at the level and for the duration of each SC.
	The CQP will contain among other topics:
	• the detailed Work Breakdown Structure (WBS) of the activities;
	• the Deliverable Tracking Matrix (DTM);
	• the planning of the activities in PERT and Gantt presentations;
	• the structure of MPRs;
	• the contractual OLA applicable for the SC, including the contractual and non-contractual SQIs.
	• Any deviation from/addition to TEMPO, the FQP and/or the PQPs of the projects to be served under the SC.
	The CQP TEMPLATE is defined in TEMPO.
	CQP will need revisions, reflecting the evolution of the project, quality procedures and contractual OLA.
WP 0.4	Produce proposals for SC and RFA/RfE
	To produce proposals on request for Specific Contract (SC) and Request for Action (RfA) (or RfE) to provide services and deliverables, according to the Framework Contract and its Technical Annex.
	The quality of the RfA/RfE process will be monitored by means of the time required to receive an acceptable offer/estimate.
WP.0.5	Internal activities: QA and QC
WP.0.5.1	To undertake the quality assurance of the activities, ensuring that the Specific Contracts, the Framework Contract (including their respective Technical Annexes), PQPs, FQP and CQPs are adhered to and implemented consistently across all activities.
	To enforce the respect of the contractual OLAs and take any corrective measures in case of deviation.
	In particular, the QA3 contractor deliverables, once accepted by the Commission, may be exposed to other contractors (e.g. the audit plans and audit reports produced under WP.9.2), and to the National Administrations (e.g. the minutes of management committee / working groups under WP.4.5.3); the QA3 services may also interact with the processes of the other contractors (e.g. during the coordination of the review cycles of document deliverables from other contractors under WP.9.7, during the review of the monthly service reports from the other contractors under WP.9.4.2). The level of quality of the QA3 deliverables and services must be aligned to their strategic importance and under constant monitoring to ensure continuity in quality.
	The QA3 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.
WP.0.5.2	To undertake the technical management of the activities, ensuring that the ToR, PQP, FQP and CQPs are adhered to and implemented consistently across all activities.
	To ensure that internal quality review of ALL deliverables prior to delivery to the Commission is performed, ensuring that all quality criteria are complied with consistently across all the deliverables.
WP.0.5.3	This work package covers the requirements for Self-Assessment and Internal Quality Audit.
	The QA3 contractor has to perform self-assessment and internal audits periodically, as a minimum twice per year, for all services processes of the contract, report outcome/findings to

		Work Packages
		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 QA3 contractor must follow-up the implementation of the actions agreed with the Commission and/or those resulting from the quality audit process.
		Self-assessment will be conducted by the QA3 contractor staff responsible for delivering the activities.
		Internal Quality Audits will be performed by the QA3 contractor's internal quality auditor, which provides reasonable assurance of reporting segregation with the internal organisation in charge of the contract delivery. The main goal is to check the compliance of the activities and deliverables with the Quality Objectives, defined e.g. in the quality plans, and with the Project Standards and Procedures.
		The QA3 contractor is requested to keep all self-assessment and internal quality audit reports available on site in case of audit.
WP.0.5.4		To define and run proactively a Continuous Service Improvement Programme (CSIP) which includes the following:
		- QA3 internal processes:
		Findings resulting from either WP 0.5.3 or collected via any other means are taken into account and improvements are identified, agreed with the Commission, applied and followed-up. FQP and CQP are the reference document (internal QA). This activity is managing a continuous transformation project thorough the whole duration of the QA3 contract. The QA3 contractor will rely on a defined method to fulfil such requirement according to change and release management process.
		- QA3 contract SQIs:
		In order to improve the measurement of the QA3 contractor performances, additional Service Quality Indicators (SQIs) are designed and, once agreed with DG TAXUD, are included in the specific contracts (see already defined SQIs in section 1.3.3)
		- DG TAXUD transformation:
		During the contract, the QA3 contractor will have to accommodate any transformations conducted by DG TAXUD. This may include e.g. generalisation of the use of a BPM tool, change from manual testing into automated testing, integration of new document delivery mechanisms, integration of tools, new collaborative tools, move to services oriented architecture, new ways to interact with the Member States, etc. This will be managed through a proper change and release management process, additional effort (if any) implied by the transformation for QA3 contractor will be accounted for thanks to the WP 9.9, WP.9.10 and/or WP.A.
		- DG TAXUD requirements:
		In order to ease the ordering process, the QA3 contractor will be invited to identify, as soon as this is possible, repeatable and well defined activities from the requirements to be fulfilled under WP.9.9, WP.9.10 and WP.A, that may be packaged according to output-based indicators and then to be considered later-on as one unit of ordering.
WP.0.6		Co-ordinate with the Commission
		To co-ordinate effort with the Commission on a monthly, weekly and ad hoc basis for Specific Contracts.
		The QA3 contractor must prepare, hold and minute the meetings with the Commission in the Commission's premises.
		The meetings are organised as follows:
		• The bilateral monthly meetings (BMM) are planned in advance and organised in order to review the monthly progress reports;
		• Regular coordination meetings (by default on a weekly basis), called SPOC meetings. DG

	Work Packages

	TAXUD requests that specific points of contact (SPOCs) are set-up by the QA3 contractor to play the role of interface between the QA3 contractor's team and the DG TAXUD Central Project Teams (CPTs) and that coordination meetings in DG TAXUD premises are held with each of the CPTs:
	
	    • Security
	    • IT operations
	    • Customs business
	    • Customs IT systems
	    • Taxation IT systems
	    • Excise IT systems
	    • TEMPO methodology
	    • Management of the QA3 contract and audit of the other contractors
	
	This is a major success factor; it ensures that the information is shared and known as needed between the QA3 contractor and DG TAXUD (the respective CPTs), it increases agility.
	
	It is expected that the QA3 contractor takes an active role by providing proactively technical advice to the CPTs whenever justified concerning the activities under quality control, e.g. providing technical advice on possible technical solutions proposed, on choices to be made, on missing considerations, taking into account what exists on the market, etc.
	
	It is also expected that the QA3 contractor takes an active role in the monitoring of important deadlines for TAXUD to receive deliverables and or for specific services to start (e.g start of a given testing activity), according to the planning provided by the other contractors. Alert must be sent to CPT in charge when foreseen events do not occur as planned.
	
	• Steering committee meetings are organised on a quarterly basis, they are chaired by the Commission (represented by the Head of the IT unit responsible for the QA3 contract) focusing on strategic aspects of the contract, the risk management and the main quality objectives and their related KPIs. These meetings are to be considered as "informal" and so do not require any official deliverables such as minutes and agenda;
	
	• The ad hoc meetings are called on request, at a minimum 1 w-day notice. Therefore, the QA3 contractor must be reachable by phone, fax, or e-mail, within 1 hour notice during the working hours.

WP.0.7	Report on a monthly basis for each Specific Contract
	The QA3 contractor has to report in the Monthly Progress Report (MPR) delivered to the Commission about: • the contractual situation, including status of the activities RfAs and the consumption status of ordered service/quantities; • the progress achieved in the context of each WP or activity identified per supported project; • the status of deliverables; • the issues, problems and risks identified during the reporting month; • the resources allocation; • future plans; • the Monthly Service Report (MSR) which includes all the service reports. In addition, the MPR has to include in annex: • an engagement sheet with details on quantities ordered (since start of specific contract) • the deliverable tracking matrix (DTM) • the complete list of deliverables for acceptance with the MPR (all WPs - document

	Work Packages

	deliverables and services to be accepted; details on document review activity from WP 9.4.1 - number of pages reviewed and comments issued; WP 9.7.1 - details of review cycle coordinated and closed)
	
	 • the overview (dates) of the testing activities under QC (WP 9.5 – 9.6) since start of specific contract)
	
	 • service management information (since start of specific contract):
	     o Incidents
	     o Risks
	     o Changes
	     o Complaints
	     o Actions
	     o Decisions
	
	 The CQP will define the exact structure and content of the MPR and MSR.
	
	 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.

WP.0.8	Demand and delivery management
	Demand management: The QA3 contractor will organise and coordinate the collection of requests for future QA/QC/PM services across the CPTs (see WP.0.6) and will report in a consolidated way as well as per CPT, by default on a weekly basis, according to the urgency degree of the request. This activity will support DG TAXUD for ordering additional quantities of QA/QC services, the forecast timeline must be 12 months. *Delivery management*: The QA3 contractor must maintain for each Specific Contract on a monthly basis its own internal project plan. An acceptance report for QA3 deliverables will be produced to DG TAXUD agreement for: - each payment term defined by a request for action (RFA) issued under the Quoted-Times-and-Means budget (QTM), once the corresponding deliverables have been positively verified and are ready for acceptance; - each deliverable to be accepted individually and which falls outside of a QTM RFA. The acceptance report will include the reference to the deliverables, the relevant delivery dates, the delays calculation, the SQI calculation, together with all correspondence exchanged and which have a contractual impact. The acceptance report will enable TAXUD to write the acceptance letter which will be the pre-condition for QA3 invoicing.
WP.0.9	Knowledge management
	The contractor will synergize all knowledge it gathers across its activities (from WP.3, WP.4, WP.9 and WP.A) to ensure the coherence, consistency and integrity across all the services it delivers and in order to maximize their outcome for DG TAXUD. This activity comes in support to coordination activities of WP.0.6. It includes knowledge capture and encoding in a format to be agreed with DG TAXUD. The knowledge base must be available to DG TAXUD at any time. It will be transferred to DG TAXUD or to a third party nominated by it at time of hand-over of the QA3 activities. The performance of the knowledge management will be measured thanks to SQI50 (see section 1.3.3 - Definition of the SQIs).
WP.0.10	Change management
	The QA3 contractor is expected to run a change management process concerning any changes to be applied to the QA services, in coordination with a change advisory board (CAB) from DG TAXUD. The change management process is to be performed according to the processes

		Work Packages
		defined in TEMPO.
WP.0.11		Incident management
		The QA3 contractor is expected to run an incident management process concerning any incidents applying to the QA services. The incident management process is to be performed according to the processes defined in TEMPO. Situation at take-over is that incidents are identified by the QA3 contractor itself, by DG TAXUD or by other stakeholders and transmitted via phone calls and/or e-mails to the QA3 contractor. It is expected that the process execution will be migrated to the IT service management tool of DG TAXUD (Synergia) according to a planning to be agreed with DG TAXUD.
WP.0.A		Co-operate with the Commission during quality and security audit
		It is expected that the Commission will conduct on average one audit per year in the QA3 contractor's premises. The audit will be conducted by the Commission and/or a third party nominated by the Commission. The number and timing of these audits are determined by the Commission. The Commission will notify the QA3 contractor in advance of the timing for the audit.
		The QA3 contractor will collaborate and support the audit team during its entire mission.
		After the audit report is released, the QA3 contractor will issue his position regarding the points raised in the audit report. These will be discussed between the Commission and the QA3 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 QA3 contractor's premises.
		Note that audits reports are kept confidential.
WP.0.B		Produce quarterly DVD-ROM for each Specific Contract
		To produce at the end of each quarter DVD-ROMs with all deliverables from the past quarter for each Specific Contract.
WP.1		**Set up and maintenance of resources**
		This work package encompasses the set-up, operation and maintenance of all the resources required by the QA3 contractor to perform its contractual obligations:
		• office infrastructure;
		• telecom infrastructure and services.
WP.1.3		Set up and maintain office infrastructure

		Work Packages
		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 QA3 contractor must set up the necessary office infrastructure in their premises for the successful execution of the work packages. This infrastructure must comply with the office automation in use within the Commission. The QA3 contractor is responsible to define and size this infrastructure. The basic office infrastructure must cover at least:

a) An adequate office environment, including phone, fax and photocopying facilities;

b) One industry standard PCs (personal computer) with tools compatible with the Central Project Office automation environment per person and suitable printing and file server facilities, plus laptop PCs;

c) Individual e-mail addresses and Web access for each person;

d) Functional e-mail addresses as appropriate;

e) A dedicated meeting room for up to 10 persons with internet and phone access available for meetings with the Commission and/or other Contractors.

Access to the office infrastructure must be restricted to pre-defined authorised persons (QA3 contractor's team members, the Commission's representatives, and occasional accompanied visitors like members of the other contractors).

WP.1.6		Set up, operate and maintain the Telecom resources, the monitoring tools and the environment necessary for accessing TEMPO

Set up, install, operate and maintain (according to technical evolution) the necessary infrastructure to:

- enable conference calls services, internet access, monitoring tools and effective communication between all parties (the other contractors, MSAs, third countries and the Commission);
- access the e-publishing environment of TEMPO (Web access - currently running on the Commission's Europa server);
- access the DG TAXUD tools

WP.2		**Take-over**

The QA3 contractor will take over the on-going QA/QC activities for all business thread from the Commission or a party nominated by the Commission. It is expected the take-over period lasts 6 months, including takeover FAT report delivered for acceptance. The take-over period will start as soon as the related specific contract has been signed.

The key objectives are to:

- achieve a thorough integration of the QA3 contractor's team and the involved CPT;
- 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 software and documentation at that moment;
- be ready to perform all services (with the required level of service support). Ideally, the transition between the contractors must be smooth and seamless for the end-users and the Commission; with the guarantee of at least the same level of quality;
- ensure that proper coordination and collaboration are put in place with the other project stakeholders (e.g. other contractors, Commission internal services …). If needed, meetings will be organised to meet the key actors of other entities and confirm the coordination processes;
- have a thorough induction of the teams.

The Take-over includes among others planning, assessment, transfer of knowledge, of material, of information and of responsibility.

The Take-over activities must contribute to optimise the definition of the quality framework of

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	the contract.
	The take-over must not affect the quality of service delivered. The QA3 contractor is responsible to take all the steps required to achieve a rapid induction and a seamless take-over of activities in order to meet the planning requirements.
	The QA3 contractor will have the responsibility to:
	• Produce and deliver the detailed take-over plan;
	• Acquire the necessary knowledge to perform the QA3 activities, including acquiring full knowledge of TEMPO, and set up the necessary organisation to perform their assignment, including induction of the teams;
	• Attend trainings prepared by the incumbent contractor;
	• Proceed to the take-over according to the agreed plan.
	During the take-over period, the CPTs will provide the following to the QA3 contractor:
	• access to all relevant baseline documentation and deliverables;
	• whenever deemed necessary, invitation to participate to Working Committee meetings and technical meetings with other contractors involved;
	• meetings or trainings with the relevant CPT or the contractor from whom the activities are taken over, to address induction questions with a pre-defined maximum of persons attending from the contractor.
	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.
WP 2.0	Provide the detailed take-over plan
	The QA3 contractor will have to propose the detailed take-over plan which will be refined in terms of resources, schedule, deliverables and acceptance.
	The take-over plan must highlight and propose a strategy for smooth transition of all operation without any discontinuity of services.
	A take-over plan must cover at least the following items:
	• The scope of the activities to be taken over, including the list of the different stakeholders involved;
	• The planning of the take-over;
	• The tests and criteria to use to conduct the take-over FAT;
WP.2.1	Take-over of on-going QA/QC activities
	This work package consists in taking over the on-going QA/QC activities for all IT systems and applications of DG TAXUD IT units according to the take-over plan which will be agreed with TAXUD:
	• Taking over all deliverables produced in the framework of QA/QC activities, for the sake of keeping and maintaining the history of the QA deliveries (e.g. the databases of comments, the FQP-CQP's, the databases in support of the review cycles).
	• Taking over of all services, methods, best practices, tools, etc., in the framework of QA/QC activities.
	• Taking over the TEMPO Management and Maintenance and the TEMPO training activities
	• Producing a take-over FAT report
	The take-over period will include all necessary induction of the contractor's teams.
WP.3	**Training/workshop/demonstration, missions and consultancy**
	This work package covers all activities oriented towards all the parties involved in the DG TAXUD projects (among which MS and third Countries, all other contractors, Commission's staff), providing support via organisation of training, workshops, on-site missions and

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	consultancy missions, within the scope of the QA3 Framework Contract.
	The training material provided by the QA3 contractor to DG TAXUD includes as well the notes from the trainer.
WP.3.0	Video recording of training sessions
	The QA3 contractor may be requested to produce video recording of the trainings it provides or it attends.
	This is to offer the possibility to people who could not attend the training session to replay the training afterward.
	The recording of a session must be composed of a series of individual video files with maximum duration of two hours each and will be delivered on DVD support.
WP.3.1	TEMPO Training
WP.3.1.1	Preventive and corrective maintenance of the TEMPO trainings materials
	This includes the change and configuration management associated to the TEMPO training material
WP.3.1.2	Evolutive maintenance of the TEMPO training materials
	This work package concerns the evolution of the TEMPO training material to align it with the evolution of the TEMPO documentation (see WP 9.8.2).
WP.3.1.3	Provision of training sessions to Commission's staff and TEMPO external users, in the Commission's premises in Brussels.

	This includes:
	
	• Organize the actual planned and possible ad-hoc TEMPO Training Sessions.
	
	• Generate updated and specific materials; as produced under WP 3.1.1 and WP 3.1.2
	
	• Perform the TEMPO training;
	
	• Report on TEMPO training:
	
	    • Gather feedback questionnaires and collect information from the TEMPO trainee
	
	    • Consolidate gathered results, analyse outcome, and produce synthesis.
	
	    • Provide the training video recording (if requested)
	
	Average duration of the training is one day, with around 15 participants.

WP.3.2	Training/Workshop/Demonstration for all projects excluding TEMPO
	Considering the high number of parties involved, there is a continuous need for demonstrations, workshops and training sessions on all activities performed by the Project teams or by the QA3 contractor itself.
WP.3.2.1	Performance
	Active contribution to training/workshops/demonstrations (preparation and performance) in the Commission's premises (Brussels and Luxembourg), in National Administration of Member States and Candidate Countries, or at the contractor's premises or any other location upon request from the Commission.
	The training/workshop subject will consist of methodology, standards, best practices, lessons learned and any other subject under the scope of the QA3 contract.
	The training/workshop/demonstrations may be attended by 10 to 40 delegates from the Member States, suppliers from the Commission or from any 3rd party designated by the Commission.
	A training/workshop/demonstration session may have a duration of 1 to 2 working days (travelling time excluded).
	The QA3 contractor is requested to cover:

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	• preparation of training/workshop/demonstration material;
	• performance during the training/workshop/demonstration.
	The training/workshops/demonstration will be held in English.
WP.3.2.2	Attendance
	Passive attendance at training sessions, workshops, demonstrations in the Commission's premises (Brussels and Luxembourg), in NAs, in CC, at other contractor's premises or any other location.
	Passive attendance to a training/workshop/demonstration session may have a duration of 1 to 3 working days (travelling time excluded)
	A short report will be produced (see WP.3.2.4 for details), including the training video recording (if requested).
WP.3.2.3	Hosting Facilities and infrastructure
	Cover infrastructure and associated operation needs (like material move, set up) for hosting demonstration, training and workshops, and providing facilities required. This includes, amongst others, meeting rooms (up to 20 persons), training rooms, beamer and all other necessary facilities and materials for a meeting (flipcharts, internet access…).
	It also includes the copies of training/workshop/demonstration material for the participants.
WP.3.2.4	Reporting
	The QA3 contractor has to provide:
	• short briefing with agenda;
	• minutes of the training/workshop/demonstration;
	• evaluation of the training/workshop/demonstration;
	• the training video recording (if requested).
WP.3.3	Missions
	The Commission can invite the QA3 contractor to participate in official co-ordination missions to the National Administrations and to any 3rd party (e.g. other contractors) as required. The QA3 contractor will provide expertise in the areas covered by the QA3 contract. The QA3 contractor will have to support the organisation of the co-ordination mission, attend and perform during the mission.
	The Commission can also request the QA3 contractor to perform missions in the premises of a 3rd party involved in IT systems (typically a contractor) in relation to QA/QC activity (e.g. assessment of a specific process, specific QC checks which require access to local infrastructure and data, targeted audits, etc.)
	The QA3 contractor will produce a mission report that the Commission may submit for the review and approval of the visited party.
	This work package covers:
	• preparation of agenda, briefing;
	• preparation of mission material;
	• performance during the mission;
	• mission report and evaluation.
WP.4	**Co-ordination with involved parties**
	In view of the high number of entities involved in the different projects (the Commission, Member States, Management Committees, other contractors), it is important to secure an effective coordination between all parties in order to avoid delays and duplication of effort and resources.
	The co-ordination will rely on the following means:

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	• Technical meetings between the QA3 contractor and the Commission and/or other contractors; • Service Monthly Meeting between all contractors involved in the project or related projects; • Management Committee (or its sub-groups) meetings with NAs and CC; • Extended technical meetings between the QA3 contractor and the Commission and/or other contractors, when some preliminary preparation work is needed.
WP.4.1	Technical Meetings with the Commission and/or other 3rd parties involved in the related projects
	Scope of these meetings: • information exchange, knowledge transfer; • problem issue and resolution; • co-ordination of activities on the basis of a subset of the detailed planning of the CPT activities; • devoted to a specific topic (e.g. change management board, quality management board meetings). The meetings last for 1 to 3 hours and are held in the agreed premises (either one of the contractors or the Commission*)*, or they may be handled via tele-conference. To be noted: this work package excludes the meetings covered by the WP. 9.4.1.
WP.4.1.1	Organisation and performance
	Prepare agenda, set date and time, invite meeting participants (it is expected that 25% of the technical meetings attended by the QA3 contractor will have to be organised by the QA3 contractor). Attend the technical meeting, possibly chair the meeting.
WP.4.1.2	Meeting minutes
	Writing of the meeting minutes
WP.4.2	Service Monthly Meetings (SMM)
WP.4.2.1	Attendance
	All contractors involved in a particular project will have to attend the SMM, which will be scheduled ½ day once per month in the Commission's premises in Brussels.
WP.4.5	Management Committee (or its sub-groups) meetings
WP 4.5.1	Performance
	Active technical contribution upon request from the Commission to the meetings each of 1 to 2 days duration in the Commission's premises in Brussels. The contribution covers: • preparation of performance material; • performance during the meeting: presentation, answer to questions from audience.
WP.4.5.2	Attendance
	Passive attendance to the Management committee (or its sub-groups) meeting.
WP.4.5.3	Support to organisation and reporting of the Management Committee (or its sub-groups) meetings, which covers: • attendance to preparatory meeting(s) with the Commission; • preparation of management committee meeting agenda and briefing to chairman; • copy of presentation material for all participants;

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	• summary record, minutes of the meeting.
	Management committee meetings by definition involve the Member States. The meeting minutes will be reviewed by them and thus require special attention when prepared by the QA3 contractor.
	Management committee meetings do normally rely on interpretation. In order to ease the interpretation work during the meeting, the briefing to be prepared by the QA3 contractor includes a dedicated part (presentation) for the interpreters which provides the acronym used, summarises the scope of the meeting, clarification on difficult technical concepts, the identification of any important/difficult point, and any other useful information.
WP.4.6	Extended technical meetings with the Commission and/or other 3rd parties involved in the related projects
	There may be requests from the Commission which fall between a technical meeting and a workshop. Typically these require QA3 contractor to prepare a presentation and supporting material to be used in a meeting of 3 hours (in average), with about 1-10 people, which QA3 contractor will facilitate to a successful conclusion. Typically this type of material has to be prepared in a very short time frame and is sourced from existing material but may also require a small amount of additional material to be produced as well from scratch.
	The meetings are held in the agreed premises (either one of the contractors or the Commission), or they may be handled via tele-conference. The extended technical meeting may be triggered with a minimum of 3 working days before its performance.
WP.4.6.1	Organisation and performance
	Plan and prepare: • Clarify the meeting objective and needs to be addressed from the Commission; • Prepare agenda, set date and time, invite meeting participants; • Prepare the material for the meeting; • Send material to the Commission, prior to the meeting for information (if time permits); • Finalise meeting material e.g. print outs of meeting material. Conduct the meeting
WP.4.6.2	Meeting minutes and (updated) material
	Writing of the meeting minutes and update of the meeting material if necessary
WP.5	**Hand-over**
	At the end of the contractual period, the QA3 contractor will hand over to DG TAXUD, or to any specified third parties on its behalf, in accordance with instructions to be given by DG TAXUD, the whole of the QA3 services/deliverables, the whole of the live and historical data and information supporting the services provided, the up–to-date version of any common tools developed/maintained by QA3 contractor and for which the Commission is the owner,, free of any rights, unless otherwise agreed by the Commission.
	The QA3 contractor will take all steps required to hand-over part or all of his activities to the Commission or to a third party at the end of the contractor's framework contract, or earlier on request from the Commission.
WP.5.1	Define the detailed hand-over plan
	Prepare plan for hand-over.
	The QA3 contractor has to prepare and deliver to the Commission for review and acceptance the detailed hand-over plan according to which the hand-over activity will be concluded. The plan has to include a detailed break-down of the hand-over activities and a detailed time-schedule.
	The hand-over must be managed to allow the taking over party(ies) to take-over the services at

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	no cost and without Quality of Service decrease. The QA3 contractor must provide a support service of three (3) months to the taking over party as from the successful hand-over/take-over.
WP.5.2	Hand-over of all documentation, source code, infrastructure
	The QA3 contractor will hand-over to the Commission, or any third parties on its behalf, all documentation, source code and infrastructure procured under the contract, the whole of any other artefact produced by the QA3 contractor for the purpose of delivering its services under the terms of the contract, free of any right.
WP.5.3	Training and support during hand-over
	Provide training and support to a third party. Including support to the "shadowing" of the QA3 contractor's activities by the third party. On request for a duration of 3 months. Trainings are to be accounted via WP.3.
WP.5.4	"After Hand-over" support
	The QA3 contractor must provide a support service of 3 months to the taking over party as from the successful completion of the hand-over/take-over.
WP.5.5	Production of the hand-over report
	The QA3 contractor has to provide a hand-over report to the Commission for review and acceptance at the end of the hand-over activity.
WP.9	**Quality Control, Quality Assurance and Project Management support**
	As an overall requirement, DG TAXUD expects the QA3 contractor: • to take necessary steps in order to take a position on giving "reasonable assurance" to DG TAXUD that the services and deliveries from MS and the 3rd parties comply with TAXUD expectation, in compliance with the applicable processes; in this context, the concept of "due diligence" applies[3]; • to provision TEMPO service management; • to assist DG TAXUD for the continuous improvement of its IT maturity and of its contractors; • To assist DG TAXUD in managing its projects involving external stakeholders such as Member States and contractors. This work package covers: • Maintenance of Programme Quality Plans; • Performance of quality and security audits of other contractors; • Quality measurement; • Quality control of deliverables of other contractors, and monitoring of their services; • Quality control of the Conformance Testing; • Quality control of the FAT, Pre-SAT/SAT and Qualifications; • Support to the review process; • Management and maintenance of TEMPO methodology; • Technical support to DG TAXUD; • Project management support to DG TAXUD;

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[3] **Due diligence** is a term used for a number of concepts involving either the performance of source inspection or source surveillance, or the performance of quality duties such as PVA (Process Validation Assessment) or System Audits with a certain standard of care.

Due diligence in supplier quality (also known as due care) is the effort made by an "SQE" (Supplier Quality Engineer) to validate conformance of product provided by the seller to the purchaser. Failure to make this effort may be considered negligence. This is conceptually distinct from investigative due diligence, involving a general obligation to identify true, root cause for non-compliance to meet a standard or contract requirement.

Source: wikipedia.org

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		• Responses to Request for Information (RfI).
		DG TAXUD has adopted ITIL as the reference framework to set up the processes supporting its unified IT service management, and to organise their distribution and interoperability amongst its supplier base.
		The QA3 contractor is expected to adhere to and implement this strategy in the context of the services to be provided, in particular concerning the management of the TEMPO methodology.
		DG TAXUD more and more relies on tools to perform its IT activities, this includes for example (tools may also evolve in the future):
		• a service management tool (called Synergia) to support all IT operations;
		• a BPM tool to support the definition of the business process models and their maintenance;
		• a groupware tool (called CIRCABC) to support the document review cycles and TEMPO dissemination;
		• Testing tools.
		In the context of the QA3 activities, the QA3 contractor will become a user (at now cost) of such tools (and of any of their successors) to get access to the proper information needed for the QA/QC activities and/or to perform some of the QA3 activities.
WP.9.1		Maintenance of the Programme Quality Plans
		DG TAXUD manages large scale projects, which rely on framework contracts for resourcing.
		It has become a proven good practice for a contractor to produce a Framework Quality Plan (FQP) which is applicable at the level of the Framework Contract and which defines the details of the working relationship between the QA3 contractor and the Commission as well as the quality expectations for the scope and duration of the Framework Contract. Therefore, a Framework Contract gives rise to a Framework Quality Plan.
		In addition to the FQP, a Contract Quality Plan (CQP) is produced by the QA3 contractor for each Specific Contract (SC) issued under the Framework Contract. A CQP defines the specific working details applicable to a given Specific Contract.
		In such a context, it is of particular importance for large scale projects, which rely on several framework contracts for resourcing, to have a Quality Plan at the level of the entire project, applicable to all contractors (and framework contracts) involved in that project. This quality Plan is called the Programme Quality Plan (PQP) and it defines the details of the working relationships between all the stakeholders for the scope and the duration of the Project of interest, it is process and organisation oriented. By "Project" it has to be understood the main business threads of DG TAXUD (Customs, Taxation, Excise):
		▪ the PQP for Customs is available and will need to be maintained
		▪ the PQP for Excise is available and will need to be maintained
		▪ the PQP for Taxation is available and will need to be maintained
		The QA3 contractor will be required to maintain the existing Programme Quality Plans (PQPs).
		The Programme Quality Plans have the following objectives:
		• to contain the rules and obligations that all contractors within the project have to respect when they perform activities in the context of the project of interest;
		• to describe the work relationship between the CPT at DG TAXUD and the involved contractors;
		• to define standards and controls necessary to assure the quality of the project work;
		• to profile the use of TEMPO.
		• to set the quality objectives that must be met by the contractors when they perform activities in the context of the project of interest.
		The PQP template is defined in TEMPO.
		The maintenance of a PQP requires the following activities:

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	• to maintain the consistency and completeness of the PQP;
	• to take into account and reflect in the PQP the evolution of the project quality system suggested by experience;
	• to ensure that the PQP is applicable and practical.
WP.9.2	Audits of other contractors
	This work package concerns the audit of the activities of a contractor with respect to the quality/security requirements defined in the applicable framework contract, specific contract and quality plans and with respect to any specific audit objectives DG TAXUD indicates relevant within this scope. Such audits may also include the evaluation of the capability maturity level of the according to COBIT, ITIL or any other relevant standards.

The overall framework for audits is described in TEMPO.

The audit activities of the QA3 contractor will encompass:

- the methodology used to conduct audits, which will define the objectives of audits, the type of material or information to investigate during audits, the category of people to interview, and an overall schedule. The QA3 contractor must benchmark its proposal against the applicable standards (including COBIT) methodology and justify the deviations. The lead auditor(s) have to be appropriately qualified (at least ISO 9001:2008 trained auditor, or equivalent). All the auditors will sign a declaration of confidentiality.

- the audit itself, on a case by case:

    - preparation of the audit plan, based on the audit strategy, which will define precisely the framework of the audit to conduct, determine the objectives, the people to meet within the audited contractor, the material to collect and investigate, and the precise agenda of the activities. If the relevant Quality Plan of the contractor to be audited gives specifications concerning the process of a quality/security audit, these will be followed as well;

    - the conduct of the audit;

    - report on the audit results (confidential), which, once accepted, will be sent to the audited contractor by DG TAXUD;

- after the audited contractor has delivered his position on the audit report, a meeting with the audited contractor, the auditor and DG TAXUD will be organised to discuss its position and agree on an action plan;

The audit process applicable to the QA3 contractor is summarised in a fact-sheet available from TEMPO. The templates for the audit plan and audit report are also available from TEMPO.

The fact sheet and the templates will be maintained by the QA3 contractor under WP 9.8.2 The auditors must propose for agreement by DG TAXUD corrections/improvements/adaptations to these documents according to the evolution of the audit methodology.

The follow up of the audit is performed afterwards via 2 means:

- the monthly progress reports produced by the audited contractor, showing application of the measures; such follow-up is ensured by the CPT concerned;

- a conduct of a new audit (to be ordered by DG TAXUD) to control the application of the agreed measures.

The whole audit process has to be handled with the appropriate level of security. This is to be agreed in the FQP for the QA3 Framework Contract, upon proposal from the contractor.

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WP.9.3	Quality management
	This work package is devoted to the continuous improvement of the quality of the IT activities amongst DG TAXUD and its contractors, on the basis of the analysis and recommendation made by the QA3 contractor.
WP.9.3.1	Quality measurement of IT projects including operations
	This work package concerns the measurement and reporting of the level of performance of the IT development projects and of the operational systems, in the context of the trans-European systems lifecycle.
	The QA3 contractor will gather information and maintain a global performance dashboard, including all projects and systems, supported by a few KPIs (max 5.) and statistics. It will provide overall trends and risks analysis, identify recurrent patterns, and provide advice to DG TAXUD.
	The information provided here must be at Management level, it will be re-used during the QA3 steering committee meetings, for the SPOC meetings, for the activities of WP.9.3.2, etc.
WP.9.3.2	Quality reporting and improvement
	The results of the quality measurement and the QA3 recommendations will be presented on regular basis to DG TAXUD and to the other contractors, in order to support their own CSIP process.
	The QA3 contractor is expected to prepare and lead Quality Managers Meetings (QMM): - Internal QMMs with DG TAXUD representatives from the CPTs, in charge of quality aspects; - External QMMs with DG TAXUD/PS and with the Contractors Quality Managers.
	QMMs are expected to take place on a quarterly basis, they will be held close to one another and planned well in advance in order to maximize the attendance and allow all participants to prepare for the various discussions.
	The purpose and objective of QMM meetings: - For Quality Managers (DG TAXUD and contractors) to meet on a regular basis; - Share Knowledge and learning; - Develop a collaborative approach to meet challenges in the area of quality assurance: − Generate synergy; − Improve TEMPO compliance; − Improve TEMPO by providing feedback.
	The QA3 contractor will be in charge of: - Planning and scheduling; - Consolidating/drafting and publishing agenda; - Cooperating with DG TAXUD for organisation of the QMM; - Facilitating the meeting sessions; - Minuting the QMM forums; - Assisting DG TAXUD in Action follow-up/Maintaining Action database.
	In addition to the meetings themselves, the QA3 contractor will take-over and administrate the forum that has been put in place on CIRCA/CIRCABC. The purpose of the forum is to allow the members of the QMMs to exchange documents in a collaborative way on a continuous basis.
WP.9.4	Quality Control of the document deliverables and Service Level Management processes of other contractors (see WP.9.7 as well)
WP.9.4.1	Quality Control of the document deliverables from other contractors

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	The QC of the document deliverables is done through review cycles. Review cycles are defined in TEMPO and are generally referred to as T1/T2/T3 review cycles. By default, unless otherwise agreed with DG TAXUD, all document deliverables from the other contractors will be reviewed by QA3 contractor. In addition the QA3 contractor is also requested to coordinate the T1/T2/T3 review cycle, this is an activity to be performed under the WP.9.7.1. The QA3 contractor will be requested to play the role of a reviewer of document deliverables sent for review (SfR) by other contactors (T1 period). Two type of review by the QA3 contractor have to be distinguished: - full scope reviews (see WP.9.4.1A); - quality only reviews (see WP.9.4.1B). Important remarks applying to both types of review: • The QA3 contractor has to comply to the timing of the review cycle defined; • Within a document, it may happen that not all pages need to be reviewed (for example a 200 pages document where only a 4 pages section has been updated in a context of document maintenance). For such document, the concept of "Delta" review is applied and the reviewer concentrates its work on the limited set of pages which have been modified. Such type of reviews, and the way to identify them, will be agreed well in advance with the CPT. In this case, only the limited set of pages reviewed will be counted and invoiced; • By default document deliverables are delivered in word processing format; other existing desktop formats have to be dealt with as well. Documents in other formats may be available from specific tools such as wiki, ITSM tool (Synergia), knowledge base, BPM tool, etc. The QA3 contractor will be provided access to these formats as needed; • The FQP will define the strategy to count the equivalent number of pages for the "non word processing" formats; All meetings attendance is included in the price of this work package (WP.9.4.1).
WP.9.4.1A	Full scope reviews

	Such reviews require full awareness of the context in which the document has been elaborated, the QA3 contractor is meant to have followed the elaboration steps of the document. The activities are the following:
	
	• before the review has started:
	
	    o document deliverables are elaborated by the contractors during the different phase of an IT system lifecycle. The QA3 contractor will take part to the discussion during any meetings organised between DG TAXUD and the contractor to prepare and to discuss (early) drafts of those documents;
	
	    o It is also essential that QA3 contractor, thanks to its QC involvement in all IT activities, collects the information knowledge exchanged between all parties during the elaboration of the deliverable/specifications of the service and that they use this knowledge during the reviews along with exogenous but relevant business and technical knowledge as it could be expected from an expert in the field. This may be considered as a compliance frame to proceed to the technical review. There is as well a synergy to be established with the support activities of WP 9.9; WP 9.10 and WP A;
	
	    o the QA3 contractor will agree in advance with the CPT upon the review criteria to be used according to the type of document to be reviewed (such as main specification document, test plans, installation report, test report, periodic performance report, etc.). The review criteria must be re-assessed on a quarterly basis with the CPT in charge.
	
	• once the review has started:
	
	    o Review of the document according to the agreed set of review criteria. As soon as the SFR document to be reviewed is received, the QA3 contractor reads and comments the document, and compiles the list of comments into a comments database (an MS Access Database if not otherwise specified) before the end of T1,

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for consolidation with the comments of the other reviewers. NB: the consolidation is performed under WP.9.7;

- o Once the review is completed (before end of T1 period), the QA3 contractor also issues a QC form which will include (principle of "due diligence"):
  - Identification of the document deliverable
  - Summary of QA3 review criteria
  - Summary of main findings from QA3 contractor
  - Identification of any risks and proposed mitigation actions
- o Early warning to the CPT in case the SFR document is below agreed minimum review requirements, and thus is candidate for rejection;
- o Attendance to the review meeting organised with all reviewers and the contractor responsible of the documents (the author) to discuss the author's positions and agree on comments implementation. This meeting is organised if necessary depending on the position provided by the author of the document.

- once the review is completed (end of T3):
  - o "After-review" meeting between QA3 contractor and DG TAXUD (the CPT) to compare comment issued by both parties, to evaluate alignment and draw lessons learned. The objective is to ensure alignment between QA3 contractor and TAXUD regarding the TAXUD expectation of a review of a given type of document. The "after-review" meeting may be combine with the weekly SPOC meeting (see WP.0.6).

Three main categories of review criteria will be considered by default (the QA3 contractor is invited to assess these criteria lists on a continuous basis during the contract and to propose improvement to be agreed with the CPTs.):

1) quality aspects, e.g. compliance against:
  - o TEMPO,
  - o the applicable PQP, FQP, CQP,
  - o other applicable and reference quality documents,
  - o the basic rule of document quality (readability, consistency, completeness, correctness, …),
  - o the applicable standards, best practices, state of the art.;
  - o Function Points Analysis (according e.g. IFPUG FPA / COSMIC FFP standard) and associated quantifications of Function Points;
  - o Other applicable output measurements;

2) technical aspects, e.g.:
- Best practices relevant to the deliverable;
- Technical content: compliance with the expectation of DG TAXUD on the specific deliverables:
  - o Functionality
  - o Performance
  - o Testability
  - o Reliability
  - o Consistency
  - o Traceability
  - o Maintainability
  - o Clarity
  - o Level of details
- Compliance against
  - o DG TAXUD IT architecture, strategy and vision;
  - o Expectations from the business, the users, governance, development and/or operation teams, etc.

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	3) security aspects, e.g. (see TEMPO – Security Management):
	o Compliance against the security policies of DG TAXUD
	o Confidentiality
	o Integrity
	o Availability
	•
WP.9.4.1B	Quality only reviews
	This is a simplification of the full scope review activity where the QA3 contractor reviews the document deliverables only from a quality point of view (see definition of the quality aspects under full scope reviews):
	• once the review has started:
	o Review of the document according to the agreed set of review criteria. As soon as the SFR document to be reviewed is received, the QA3 contractor reads and comments the document, and compiles the list of comments into a comments database (an MS Access Database if not otherwise specified), before the end of T1, for consolidation with the comments of the other reviewers. NB: the consolidation is performed under WP.9.7;
	o Once the review is completed (before end of T1 period), the QA3 contractor also issues a QC form which will include (principle of "due diligence"):
	• Identification of the document deliverable
	• Summary of QA3 review criteria
	• Summary of main findings from QA3 contractor
	• Identification of any risks and proposed mitigation actions
	o Early warning to the CPT in case the SFR document is below agreed minimum review requirements, and thus is candidate for rejection;
	o Attendance to the review meeting organised with all reviewers and the contractor responsible of the documents (the author) to discuss the author's positions and agree on comments implementation. This meeting is organised if necessary depending on the position provided by the author of the document.

	Work Packages
WP.9.4.2	Quality control of the Service Level Management processes of the other contractors
	Every contractor is expected to put in place processes to manage the level of services it provides to fulfil its Operational Level Agreement (OLA).
	The QA3 contractor will be the main guardian of the respect of the contractual OLAs of the other contractors. Principle of "due diligence" applies as well.

The QA3 contractor will perform quality control of the SLM processes of each contractor, i.e. concerning all the ongoing activities of that contractor being in one or more contracts, on a monthly basis by means of:

- Spot check of the service provided by the contractor, checking the actual performance of the services against the levels defined in the contractual OLAs;

- Alerting DG TAXUD in case any service anomaly is detected;

- Review of the monthly service reports (MSRs), in particular verification of the correctness of the SQI calculations.

The QA3 contractor will report by default on a monthly basis to DG TAXUD, including the analysis/evaluation of the service level with possible suggestions for improvement.

The QC of an MSR from another contractor by the QA3 contractor will be part of the formal review performed by DG TAXUD of the progress report of the contractor, including the MSR (T1 period); in terms of timing this implies that the QC report on the SLM processes from QA3 contractor needs to be available to DG TAXUD by the end of T1 period (T1 being the number of days for DG TAXUD to issue comments on the MPR/MSR received from the contractor). It is important that QA3 contractor respects the proper timing of the review cycle in order not to delay it.

It is to be noted that, in parallel to this activity, the QA3 contractor may also be requested to perform a quality review of the same MSR (under WP 9.4.1). The two activities will indeed run in parallel during T1.

As a pre-requisite to the start-up of the QC activities of the SLM processes of a given contractor, the QA3 contractor will agree together with the relevant CPT on the specific elements of service and corresponding SQIs for which the SLM processes need to be QCed.

All meetings needed with the DG TAXUD and the contractors are to be included in the cost of WP 9.4.2.

WP.9.5	Quality control of the Conformance Testing (CT)

QA3 will be involved in all CTs (category 1 to 4)[4]:

- Category 1: checking the connectivity to a Web application;

- Category 2: checking the compliance of file format;

- Category 3: checking the compliance of an application to a light request/response protocol and message structure;

- Category 4: checking the compliance of an application to a complex conversational protocol and message structure.

The QA3 contractor is expected to attend as needed the meetings organised during any pre-CT and to perform the QC of the CT process itself. Accordingly, the participation of the QA3 contractor in a Conformance Testing campaign encompasses the following activities in the concerned contractor's premises:

- Pre-CT: Attend the meetings organised during pre-CT (by default: kick-off and end of pre-CT meetings; other meetings upon request to resolve issues / coordinate, etc.). By default meetings are organised by conference calls;

- CT: Attend as needed the CT, including its preparation phase and kick-off meeting;

- CT: Check validity of documents used during CT and record any changes needed;

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[4] As defined in the Annex II.A - Terms of Reference.

	Work Packages
	• CT: Perform the QC of the CT processes of the contractor in charge of the CT campaign; check their compliance with the TEMPO methodology;
	• CT: Attend end of day de-briefing (most of the time via conference call);
	• CT: Attend the CT closing meeting (most of the time via conference calls);
	• CT: Produce and deliver daily QC report, describing findings and recommendations for the CT;
	• CT: After conclusion of the CT, produce and deliver a Quality Control report.
	As a pre-requisite to the start-up of the QC activities, the QA3 contractor will agree with the CPT which are the aspects of the CT which will require specific attention by the QA3 contractor.
	As a general requirement (principle of "due diligence"), the QC report produced by the QA3 contractor will include a max. one page checklist (QC form) where the QA3 contractor assesses the most important aspects of the conformance testing activity.
	The QC form will include:
	• Identification of the CT test campaign;
	• Summary of QC criteria;
	• Summary of main findings;
	• Identification of any risks and proposed mitigation actions;
WP.9.6	Quality Control of the FAT, pre-SAT/SAT and qualifications
WP.9.6.1	Quality Control of the FAT of a software deliverable
	The QA3 contractor is involved in the final stages of the FAT, it supports the Commission in the acceptance process of the FAT report provided by the contractor.
	It performs a "FAT mission" (possibly together with officials from the Commission) to the contractor in charge of the FAT. The QC activities can be summarised as:
	• Verify and control (on-site) the FAT environment, availability and installation of all material (software and documents), and the relevance of the test data used for the FAT;
	• Verify and control (on site) the FAT process, its compliance with the TEMPO methodology and whether the FAT report provided by the contractor is accurate;
	• Perform the QC of the source code review made by the contractor;
	• Monitor the acceptance test execution and the level of quality of the service delivered by the testers;
	• Participate to selected tests, and review the results;
	• Produce the FAT Quality Control report.
	As a pre-requisite to the start-up of the QC activities, the QA3 contractor will agree with the CPT which are the aspects of the FAT which will require specific attention by the QA3 contractor.
	As a general requirement (principle of "due diligence"), the QC report produced by the QA3 contractor will include a max. one page checklist (QC form) where the QA3 contractor assesses the most important aspects of the FAT activity.
	The QC form will include:
	• Identification of the FAT;
	• Summary of QC criteria;
	• Summary of main findings;
	• Identification of any risks and proposed mitigation actions.

	Work Packages
WP.9.6.2	Quality Control of the pre-SAT/SAT of a software deliverable
	As a pre-requisite to the start-up of the QC activities, the QA3 contractor will agree with the CPT which are the aspects of the pre-SAT/SAT which will require specific attention by the QA3 contractor.
	As a matter of fact, the QA3 contractor must also report to TAXUD early in the process any deviation, changes, discrepancies between the FAT environment (and associated deliverables) and the pre-SAT/SAT environment.
	The QA3 contractor will perform the QC activities according to the following:
	• Pre-SAT activities:
	• Attend pre-SAT kick-off meeting, assess the Pre-SAT environment (as compared to the FAT environment)
	• Attend the pre-SAT training given by the development contractor concerning the use/installation of the software, and the execution of the ATS (at the operations contractor's premises);
	• Attend the pre-SAT closure meeting as an observer in order to prepare for the SAT kick-off meeting (CPT and contractors);
	• produce the Quality Control Report of the pre-SAT activity, to support decision making by DG TAXUD
	• SAT activities:
	• Attend the SAT kick-off meeting;
	• Assist and support the SAT;
	• Assess the SAT environment (as compared to the FAT/Pre-SAT environments)
	• Control the availability of all material related to the SAT (source code, installation procedures, user manuals, test data)
	• Control of the SAT process and organisation, its compliance with the TEMPO methodology;
	• Report daily during the course of SAT;
	• Assess the SAT results;
	• Attend the SAT closing meeting (CPT and contractors);
	• After finalisation of the SAT, produce the Quality Control Report of the SAT activity, to support decision making by DG TAXUD.
	As a general requirement (principle of "due diligence"), the QC report produced by the QA3 contractor will include a max. one page checklist (QC form) where the QA3 contractor assesses the most important aspects of the pre-SAT/SAT activity.
	The QC form will include:
	• Identification of the pre-SAT/SAT;
	• Summary of QC criteria;
	• Summary of main findings;
	• Identification of any risks and proposed mitigation actions.
WP.9.6.3	Quality Control of the Qualification of new releases, service packs, patch or hot-fixes
	The QA3 contractor will perform following activities:
	• Attend the qualification kick-off meeting (if organised);
	• Attend the qualification;
	• Check the environment of the qualification;
	• Assess the test data used for the qualification;
	• Control of the qualification process and organisation, its compliance with the TEMPO methodology;

	Work Packages
	• Report daily during the course of the qualification (for qualification lasting more than one day); • Attend the qualification closure meeting (if organised); • Produce a Quality control report once the qualification is completed, to support decision making by DG TAXUD. As a pre-requisite to the start-up of the QC activities, the QA3 contractor will agree with the CPT which are the aspects of the qualification which will require specific attention by the QA3 contractor. As a general requirement (principle of "due diligence"), the QC report produced by the QA3 contractor will include a max. one page checklist (QC form) where the QA3 contractor assesses the most important aspects of the qualification activity. The QC form will include: • Identification of the CT test campaign; • Summary of QC criteria; • Summary of main findings; • Identification of any risks and proposed mitigation actions.
WP.9.7	Support to the review process
WP.9.7.1	Co-ordination of the review cycle of document deliverables from other contractors
	In addition to playing the role of a document reviewer (see WP 9.4.1), the QA3 contractor will coordinate the T1/T2/T3 review cycle of the document deliverables produced by the other contractors and to be reviewed and accepted by the Commission. Such documents include as well the documents to be accepted by the Commission prior they are sent for review to the Member States Administrations. The coordination of the review cycle is a critical process which has been evolving to cope more and more with the exceptions and specific cases encountered. The detailed process is described in the FQP of the incumbent contractor (QA2) provided in the baseline and is to be used as starting point at the take-over. This process may evolve during the course of the QA3 contract upon agreement with DG TAXUD. On DG TAXUD side, an official being part of the CPT is nominated as chef de file (CdF) for each document to be reviewed in order to take all the required decisions and be the main point of contact for the QA3 contractor. Overall, the coordination activities of the QA3 contractor during a review cycle may be summarised as follows: T1: • Activate the review process, upon reception of the SfR document, by sending a task to all reviewers, with the deliverable to be reviewed and an empty comments database attached, together with review instructions if needed. • Send early warning to the CdF in case the document is reported by one or more reviewers to be below agreed minimal quality/technical criteria, and is thus candidate for rejection. • Collect the review comments, send reminders to reviewers who are late. • Consolidate the review comments received from all parties, identifying duplicate and conflicting comments; sends the comments database to the author with copy to all reviewers. T2: • Receive and analyse author's position on review comments and advises the CdF about the necessity to have a review meeting with all parties or not. • When a review meeting is necessary following agreement of CdF, organises (invitation / agenda, date and time set-up), attends and contributes to the review meetings (may as well be held by conference calls); minutes the review meeting, with decisions on all comments and Author's positions, and sends to all meeting participants and reviewers.

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	T3:
	
	• upon reception of the SfA document, verify implementation of the comments, according to minute's decisions; verify that no unauthorised changes have been made; complete the verification report.
	
	• At the end of the review cycle, produce a Quality Control report of the review cycle (applying principle of "due diligence") composed of:
	
	    • The comments database including the verification report
	
	    • The QC form: max. two pages checklist where the QA3 contractor assesses the most important aspects of the review cycle and composed of:
	
	        • Identification of the review cycle.
	
	        • Summary of QC criteria.
	
	        • Statistics/history of the review cycle (including nbr of reviewers, nbr of comments, nbr and types of major comments, quality statement on the first SFR document, review meeting needed, result of verification, nbr of comments not implemented).
	
	        • Summary of main findings.
	
	        • Identification of any risks and proposed mitigation actions.
	
	• Either send a positive verification notification to the Author upon agreement by the CdF, or support the CdF in handling the resolution process of the remaining problems after verification process.
	
	• At the end of the review cycle, archive all documents and e–mails exchanged during the review process (T1/T2/T3) in the group-working tool managed by the Commission – currently CIRCABC, see below.
	
	Overall, the QA3 contractor will perform the handling of the exchanges between all stakeholders (normally be e-mail), and the monitoring of the review activities (sending alarm to the CdF in case of delays).
	
	In relation with a given review cycle, the QA3 contractor is also expected to alert DG TAXUD when a foreseen event does not happen at the due date (e.g. a deliverable is not sent for review as foreseen in the contractor's planning, author's position does not reach TAXUD in due time).
	
	A Comments database is used during the whole review cycle to log the review comments (performed by each reviewer), consolidate them (consolidation performed by QA3 contractor), collect the author's position (entry performed by the author), record the review meeting decisions and the verification report (performed by QA3 contractor). The template of the comments database is available from TEMPO). The comments database is maintained (corrective and evolutive maintenance) by the QA3 contractor. The technology used may evolve during the course of the QA3 contract.
	
	During the review cycle, the exchange of documents is performed via a web-based utility called CIRCABC (Communication and Information Resource Centre for Administrations, Businesses and Citizens)[5] where all documents are stored. CIRCABC is managed by the Commission and accessible to all contractors, including the QA3 contractor, according to defined access rights and user groups.
	
	The QA3 contractor plays an active role in uploading into CIRCABC some of the documents involved in a review cycle (such as consolidated list of comments, review meeting decisions, verification of the implementation of comments, archiving of the document deliverables).
	
	To be noted: the technology used may evolve during the course of the QA3 contract.
	
	Some deliverables may exist not as a document but as a data set available from a given tool (e.g. business process models accessible from a BPM tool). In such case, the coordination activities from WP.9.7 may need to be augmented by additional tasks to be performed by the QA3

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[5] The current CIRCA environment will be migrated to CIRCABC environment by the end of 2012.

	Work Packages
	contractor. These additional tasks will be ordered as needed relying on WP.9.9.5 "Extended QA support".
WP.9.7.2	Management of the user groups under CIRCABC (and any of its successors) for use within the review cycles
	The expected activities include:
	User access management including the addition, changing and deletion of users and a biannual UAM review. The UAM will involve the forewarning of Responsible Managers (RMs) that the activity will happen, the preparation and issuing of the UAM lists to the RMs, follow-up and subsequent CIRCABC actions, confirmation of UAM lists back to the RMs of the actions taken. (see UAM procedure available from TEMPO).

Folder and document management and archival.

Monitoring of the dedicated functional mailbox and user support in order to ensure that reviewers get the documents to be reviewed in due time in case issues (e.g. unavailability) with CIRCABC are encountered.

Maintenance of the Administration manual, cheat sheet and training, task e-mails or other communications as and when needed.

Reporting: Information concerning availability and capacity (of CIRCABC) and user access management (e.g. users added/modified in the month, system availability, folder management actions) will be reported in the QA MPR and accepted via the MPR. |
| WP.9.8 | Management and Maintenance of TEMPO Methodology |
| | The DG TAXUD **Q**uality **M**anagement **S**ystem (**TEMPO**) comprises a set of policies and standards, processes, procedures, templates, techniques and tools required for the planning, specification, development, deployment and operation of DG TAXUD Trans-European systems and applications. TEMPO is continuously improved to guarantee quality and is embedded in the organisation through trainings and the utilisation and management of the Quality Assurance Framework Contract.

The methodology represents a comprehensive source of procedures, techniques and information based on good practices.

TEMPO is a library of methods from which the projects can draw from to program their activities. One of the objectives of TEMPO is to codify best practices in order to:
Specify the business processes of the stakeholders involved in the set-up and operation of trans-European IT systems, including their respective interfaces;
Have an open and evolutive specification which can be readily referred to in ITT issued by the Commission, as education material, as a convergence framework for all stakeholders involved in the integration of trans-European IT systems, as a reference for project benchmark and evaluation;
Foster a continuous improvement of efficiency and effectiveness of the project and operation activities under the responsibility of DG TAXUD IT units.

All the components of TEMPO must be maintained continuously to take full advantage of lessons learned and best practices.

TEMPO is a configurations items (CI) in the context of the IT activities of DG TAXUD. As such, it will be recorded in the CMDB managed by the IT service management contractor. Nevertheless, the QA3 contractor will remain the sole entity to ensure its evolution and maintenance.

The QA3 contractor will be in charge of the following:
Preventive, corrective and evolutive maintenance of the TEMPO structure and contents, including its implementing provisions, |

		Work Packages
		• Service support (excluding service desk),
		• Service management for the TEMPO electronic publishing and dissemination environment,
		• Advise on TEMPO evolution,
		• Produce TEMPO newsletters.
		NB: requirements for TEMPO training are described under WP 3.1.
		TEMPO is under continuous evolution, consequently the QA3 contractor will take over TEMPO from its status on the date of signature of the related specific contract.
WP.9.8.1		TEMPO preventive and corrective maintenance, TEMPO service support (excluding service desk)
		The scope is the TEMPO structure and contents, including its implementing provisions:
		• Preventive and corrective maintenance of the TEMPO documents
		• TEMPO service support, including incident and problem management, change, release and configuration management, which must comply with the relevant provisions of TEMPO methodology (in particular the TEMPO change and release management procedure). Service calls are collected through WP.9.8.3. By default, there is one TEMPO release every 6 months.
		• Support of the TEMPO Change Advisory Board (CAB) composed of representatives of IT units of DG TAXUD (typically, the head of unit and the sector leaders). With regard to this advisory board, the contractor has to:
		▪ invoke CAB meetings (by default once every two months);
		o prepare, release the agenda/documentation and RFC's/invitations to participants, facilitate and minute the meetings;
		o attend the CAB meeting (by default the meeting is held in Commission's premises)
		▪ Or to run CAB by written procedure.
		As result of this activity, the RfCs agreed by the CAB become candidate work to be ordered by DG TAXUD under WP 9.8.2 (evolutive maintenance)
WP.9.8.2		TEMPO Evolutive maintenance
		The scope is the TEMPO structure and contents, including its implementing provisions.
		The work includes the revision of existing TEMPO documents and creation of new ones if necessary, according to the requirements of DG TAXUD and the RFC's which will be agreed by the TEMPO CAB.
		In particular, DIGIT centrally develops a series of methodologies (referred to as @EC methodologies) which concern iterative development, project management, business process management and others to come, to be used by all. TEMPO needs to integrate those methodologies and thus keep compliancy with central guidelines.
		The whole TEMPO evolution work is guided by the Strategic and Tactical plan which needs to be maintained on regular basis (see WP 9.8.4)
		The deliverables will be published relying on WP.9.8.3.
WP.9.8.3.		Service Management for the TEMPO electronic publishing and dissemination environment
		This includes:
		• Deployment: producing, testing and posting the successive release of TEMPO (by default twice a year, with urgent updates possible in-between); posting the TEMPO training material (as needed); posting TEMPO newsletters;
		• Operation: managing user list and mailing lists; providing support to DG TAXUD for user account management; monitoring and reporting quarterly on the usage of the services by the users, including statistics, delivered as part the QA3 contractor MPR; second level support to calls issued by the TEMPO users (the first level support being ensured by the

	Work Packages
	ITSM service desk). This implies that the QA3 contractor will become a user of the IT service management tool (currently called Synergia, or any of its successor).
	TEMPO is currently available under CIRCA (Communication and Information Resource Centre Administrator, accessible via http://circa.europa.eu), by end of 2012 it must be migrated to an upgraded version called CIRCABC. The functionality offered by this environment may then evolve according to the evolution of CIRCABC, or following the use of another solution (a study on hosting alternatives for TEMPO is on-going at the time of writing). Irrespective of the evolution of the TEMPO hosting environment, it is operated by the Commission in its premises and will be made accessible remotely to the QA3 contractor via Internet.
WP.9.8.4	Advise on TEMPO evolution
	Advise on TEMPO evolution by maintaining the TEMPO Strategic and Tactical plan, giving a 5 years perspective, and further submit proposals for evolutive maintenance supported by their rationale (lessons learned, best practice, benchmarking against external relevant inputs such other methodologies from the Commission and third parties).
WP.9.8.5	Produce the TEMPO Newsletter (by default quarterly)
WP.9.9	Technical support to DG TAXUD
	In parallel to the QA/QC activities described in the other work packages, the QA3 contractor may be requested to perform technical (consultancy) activities.
	Such activities will be defined and ordered on a case-by-case basis, using pre-defined profiles included in the price sheet.
WP.9.9.1	Advice and analysis
	o Tactical/strategical advice (e.g. on new paradigms, cloud computing, SOA, etc.), feasibility study, IT risk analysis, security study, etc. o Benchmarking (financial and organisational)
WP.9.9.2	Audit and assessment
	• Specific audit activities (such as security audit of a given application, of trans-European networks, etc.) other than audit of contractors (WP 9.2). o Support for continuous improvement of DG TAXUD IT maturity including its contractors (CMMI assessments, CMMI audits, ISO audits, follow-up of recommendations from Commission internal audits, etc.). o Contract performance assessment, including assessment of the quality of the deliverables produced by another contractor. o Compliance assessment against TEMPO: e.g. compliance activity which aims to assess the level of compliance of the work performed by Sector-contractor and Units against TEMPO, in this case the Taxation sector.
WP.9.9.3	Support to the BPM governance
	This work package includes the support to the BPM governance and to the use of a Process Modelling Tool (PMT): o Creation and maintenance of supporting documentation; o Definition of roles and responsibilities; o Training; o Execution of change and release management; o Monitoring and control; o Requirements definition and testing of the PMT.
WP.9.9.4	Monitoring and control
	o In the context of operations management, support to the monitoring and control of services

	Work Packages

	and processes of contractor concerning:
	   o Overall Reporting and Alerting;
	   o Service Processes – check process execution, active tracking of process respect by different stakeholders;
	   o Operations – Data Correction;
	   o Spot-check on data quality as recorded in the supporting tools;
	   o Demand Management Process;
	   o DTM and Archiving;
	   o Service Desk process;
	   o Service level reporting;
	 o Monitoring and harmonisation of the SLAs agreed by DG TAXUD IT with the customers, in particular for the IT systems relying on the CCN/CSI network.
	 o Assessment of specific processes, e.g. the release process of an IT application to identify bugs/problems that have occurred in the process, analyse them, and make recommendations on how to avoid such problems in the future.

WP.9.9.5	Extended QA support
	This work package includes QA/QC activities which are needed to complement the execution of the QA services (WP 9.1-WP 9.6), e.g. to answer additional requirements than the ones foreseen in the standard work package: • Support to review cycles of documents organised with the Member States (out of scope of WP 9.7), including the collection of review comments of Member States in different formats and inclusion into proper comments database used by QA. o Deliverable acceptance process: specific support to the review of models within the PMT environment (additional activities to the one required by WP 9.7.1) o Other requirements which may occur during the course of the QA3 contract.
WP.9.10	Project Management support
	The QA3 contractor may also be requested to provide support to a given Central Project Team (CPT) for project management activities. This concerns support to: • Planning management and integration (also along several stakeholders); • Monitoring and reporting (Dashboard); • Risk Management; • Communication management; • Coordination between the different contractors involved; • Change and release management; • Knowledge management, to secure the overall knowledge base of applications and IT systems to be used e.g. at time of take-over / change-over between contractors; • Action management and tracking; • General project management activities (various project meetings, meetings minutes, issue escalation, writing of weekly status report, project documentation, CSIP, etc.).
WP.9.W	Response to Request for Information (RfI)
	Support activities that cover the answering to the RfI's in area covered by WP.9, at the exclusion of Corrective maintenance of TEMPO which is covered under WP.9.8.1.
WP.A	**Other deliverables and services in the scope of the contract**
	This work package is intended to cover all unforeseen activities in the scope of the QA3 contract which are not formalised as well identified work packages. Such activities will be defined and ordered on a case-by-case basis, using the price list of the contractor profiles included in the Annex III – Price Table.

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As an example: o Security Code review **-** to assess the level of security of a sample of TAXUD systems by inspecting the source code to identify any vulnerability. The overall aim being the improvement of coding practices. o Quality code review, code walkthrough during build phase. o Application of alternative methods to assess effort estimation (e.g. FPA counting) for software development activities. o Support to "Document Sanitisation" of deliverables in order they can be made publicly available e.g. as part of the documentation baseline of Invitations to Tender for DG TAXUD contracts. o set up and management of the artefacts repository of TAXUD and associated knowledge base.

Table 3: Specification of the Work Packages

1.3. DELIVERABLES, PLANNING AND QUALITY INDICATORS

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 section 1.3.1 and 1.3.2, the ordering, request and delivery mechanisms are listed in section 1.3.4 together with the deliverables table. The SQIs are defined in section 1.3.3.

Further information on ordering mechanism is available from TEMPO.

1.3.1. PLANNING MECHANISM

The planning information will relate:

- For a service: to start, end or change of the service, as a service is considered as continuous by nature;

- For a deliverable: to its submission for review and/or for acceptance.

The planning of the services and activities will be agreed in the 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 applicable, the planning specifies for a deliverable if the date is for submission for review or for acceptance;

- In an **RfA** within an SC;

- In the **CQP**;

- Mutual agreement (**MA**) between the CPT 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;

- Up to the contractor to take the initiative to provide the deliverable/service whenever an external event triggers the need for it (usually call/action driven).

No higher planning mechanism may be over-ruled by a lower one. However, a lower one may include provisions not considered in the higher one, which do not contradict its text.

All the agreed planned dates, foreseen date, actual date of delivery are reported in the Monthly Progress Report

1.3.2. ACCEPTANCE MECHANISM

The following sections describe the acceptance mechanism which will be **applied for the deliverables of the QA3 contractor**.

1. ACCEPTANCE OF DELIVERABLES

The acceptance procedures applicable to the deliverables and services are specified hereafter. The Quality plans (PQP, FQP and CQP) 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 the SC defines an acceptance procedure.

All deliverables will be subject to a formal **T1/T2/T3 review cycle** (also referred to as SfR/SfA cycle).

Important remark:

Before starting the review cycle, the contractor is responsible for taking all necessary actions to ensure that the deliverable is finalised completely so that the document sent for review must get only a few minor comments. The review cycle is not to be used to start discussing the content of a deliverable; this must be performed before T1 starts.

T1/T2/T3 represent three consecutive periods of time which drive the review cycle as follows:

T1 period:

T1 start upon reception by the Commission of the deliverable sent for review (SfR).

Distribution of the deliverable

As soon as the deliverable is ready, the Contractor sends out copies of the deliverable to the identified reviewers, together with review instructions if needed, and an empty comments database to be used.

Review Activity

The review is performed by the reviewers nominated by the Commission.

Delivery of the review comments

The Commission[6] (i.e. the reviewers) returns the review comments to the QA3 Contractor.

T2 period:

T2 start upon reception by the QA3 contractor of the review comments.

Author's answers to review report

After having received the review comments, the author (i.e. the QA3 Contractor) of the deliverable will consolidate the comments received, and will respond to the comments, proposing solutions and indicating which review comments require clarification and / or further discussion, which comments are conflicting. He/she then sends the review comments completed with his/her answers (Author's position) to the Commission (i.e. to all reviewers).

Review Meeting

Whenever needed, the Commission will organise a review meeting with reviewers and the author of the document.

The objective of this meeting is to reach an agreement on all review comments. A decision and the solution to be implemented are taken for each comment. The review comments completed with the decisions and solutions agreed are considered as the minutes of the review meeting that the QA3 Contractor needs to produce.

Agreement on changes

The minutes of the review meeting are sent by the QA3 Contractor to all the review meeting participants for agreement. If a meeting participant does not agree with the meeting minutes, he/she will inform the QA3 contractor in writing within a given deadline after the review meeting. If the QA3 contractor does not receive any feedback on the minutes within the deadline, it will consider the meeting decisions accepted.

Even if no review meeting was held, the QA3 contractor needs to make sure an agreement has been reached on every review comment that was raised.

Amendment to reviewed document and SfA

The author must amend the document according to the meeting decisions and submit for acceptance an updated version of the deliverable to the Commission.

All the agreed changes must be implemented in a correct way and consistently throughout the document. The updated version must contain the agreed changes only.

If the author has implemented some changes differently than agreed during the review meeting, or if he/she has included other changes, a prior agreement by the Commission is necessary and those changes will be documented in an "Implementation Information" field to

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[6] The Commission reserves the right to invite other contractors and or external parties to review the deliverables from QA3 contractor.

be added to the list of Review comments which he/she will send to the Commission together with the amended document.

<u>T3 period</u>:

T3 start upon reception by the Commission of the deliverable sent for acceptance (SfA).

Verification of amendments

Upon reception of the deliverable sent for acceptance, the Commission verifies that all agreed actions have been properly carried out and that no unauthorised changes have been made. After completion of this verification, the Commission decides whether the amendments have been well done, indicating also for each non-implemented comment if this is of minor or major importance for the document. If new amendments are necessary, this is communicated electronically as a "verification comments" to the QA3 Contractor who then needs to produce a new version and send it again for acceptance.

Once a document has been sent for SFA, and there is any relevant verification comment, any delay computed under contractor responsibility includes the number of days taken by the Commission to send the verification comment (with a maximum of T3 days).

Given this rule, it will be good practice to always define T3 lower than the limit value for the SQI measuring an SFA date.

Verification notification

When there are no further verification comments on the deliverable, the Commission sends electronically a "positive" deliverable verification notification to the QA3 Contractor (stating "there are no further verification comments"). This ends the review cycle. The formal acceptance letter is sent afterwards by the Commission to the QA3 Contractor.

<u>Rejection of a deliverable</u>

A deliverable may be rejected:

- at any point during its review (T1 period) if:
    - it is out of scope,
    - it is of low quality (including spelling or grammar errors)
    - an abnormally high number of comments is being produced.
- at any point during its verification (T3 period) if:
    - the review comments have not been implemented,
    - the review comments have not been implemented in a correct or consistent manner throughout the document,
    - other changes have been made to the document without prior agreement by the Commission and without being reported in the implementation information of a relevant review comment in the review database.

The Commission reserves the right to decide whether the non-implementation or inconsistent implementation of review comments or the other changes to the document are of major or minor importance.

If a deliverable is rejected during its review (T1 period) or its verification (T3 period), the review process is stopped and a new review cycle is defined.

If rejected during T1, this new review cycle will include a new analysis phase, a new SfR date and a new SfA date.

If rejected during T3, this new review cycle will include a new SfA date based on Commission's judgement.

In any case (unless not officially agreed otherwise) and for the purposes of SQI calculation, the initially planned SfR and SfA dates will remain the target dates against which SQIs are calculated, where the following dates are taken into account to define the actual SfR and SfA dates:

- for the calculation of SfR-related SQIs: the date of submission of the last SfR-version of the deliverable that led eventually to an SfA

- for the calculation of SfA-related SQIs: the date of submission of the last SfA-version of the deliverable that was eventually accepted by DG TAXUD.

Once accepted, all deliverables become the property of the Commission, which is then the only party that can authorise their further use and distribution.

The 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 QA3 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.

2. INDIVIDUAL ACCEPTANCE OF DELIVERABLES

All deliverables marked for Individual Acceptance (IA) in a Specific Contract or in RFA will be subject to an individual acceptance letter by the Commission.

3. ACCEPTANCE OF DELIVERABLES VIA THE MONTHLY PROGRESS REPORT

The deliverables specified with an acceptance mechanism "to be accepted via the Monthly Progress Report" are formally accepted through the formal acceptance of the MPR. The MPR must contain a list of all these deliverables presented for acceptance.

4. ACCEPTANCE OF THE SERVICES

The definition and the targets for the Quality of Service are set in the contractual documents, in the PQP/FQP/CQP and/or in applicable contractual OLAs.

The Monthly Service Report must report the actual QoS of the service 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. Refer to section 3 for the definition of SQI.

The correctness of the reported QoS and SQI is accepted by the acceptance of the monthly service report.

Note that it is the factual correctness of the reported QoS and associated SQI, which are subject to acceptance and not the service itself. The accepted QoS and SQI become then the indisputable base to compute the liquidated damages where applicable.

5. 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 (DLV-0.7), which includes the various monthly service reports and the minutes of the Bilateral Monthly Meeting (BMM). The Commission will not issue 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.

6. FQP AND TAKE-OVER

The acceptance of the FQP and the Take-over will be subject to a Factory Acceptance Test (FAT) to be performed in the QA3 contractor premises, the aim of which is to verify the integrity between the FQP and Take-over reports with the set-up of the QA3 contractor.

1.3.3. DEFINITION OF THE SQIS

Refer to section 3 for the formal definition of the SQI and GQI model and the way to calculate them from the QoS's measurements, along with general indications on their use.

The table below gives a set of indicative 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 in the course of the contract as deemed adequate for reporting purpose 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 its right to change the SQI combination and weights in the GQI for each SC or in RFA, as an instrument to enforce the

non-regression and continuous improvement of the quality of service. The relative importance of a particular contractual SQI, in comparison to the other contractual SQIs, will be given by the definition of the weights for the calculation of the GQI.

The Specific Contracts will:

- specify all the contractually binding SQIs (using the table below as an indicative reference) and the associated GQI;

- further qualify the SQI as "average" where relevant.

The CQP and/or contractual OLA of an SC may define additional SQI which however will not be contractually binding.

SQI ID	Name	Target	Limit	Measurement*	Min nb of measure ments	Description
SQI01	Delivery of major deliverables	"0 delay" for acceptance	10 wdays	Calculated for each deliverable	1	Difference between planned submission date for acceptance and the submission date of the accepted version.
SQI02	Delivery of normal deliverables	"0 delay" for acceptance	5 wdays	Calculated for each deliverable	1	Difference between planned submission date for acceptance and the submission date of the accepted version.
SQI03	Delivery of minor deliverable	90% "0 delay" for review	80%	Calculated for each deliverable	4	Percentage of deliveries which have a delay
SQI04a	Delivery of Monthly Progress Report for review	"0 delay" for review –5wday date of BMM	2 wdays	Calculated for each MPR	3	Difference between planned submission date for review and actual date of submission for review.
SQI04b	Delivery of Monthly Progress Report for acceptance	"0 delay" for acceptance +10wdays date of BMM	5 wdays	Calculated for each MPR	3	Difference between planned submission date for acceptance and the submission date of the accepted version.
SQI05	Delivery of time critical deliverable	"0 delay" for review and acceptance	1 wday	Calculated for each deliverable	1	Sum of [Difference between planned submission date for review and actual date of submission for review] and [Difference between planned submission date for acceptance and the submission date of the accepted version].
SQI06	Response to RfI	95% "0 delay"	85%	Calculated for each RfI	10	Percentage of responses to RfI which have a delay
SQI09	Attendance to meeting	"0 hour delay" for attendance	0,5 wHour	Calculated for each meeting	5	Difference between planned hour for meeting attendance and the real hour of attendance
SQI11	Delivery of the FQP	"0 delay" for acceptance	10 wdays	Calculated for the FQP	1	Difference between planned submission date for acceptance and the submission date of the accepted version.
SQI17	Delays for submitting an offer as response to an RfE	"0 delay" as per request	10% delay as per request	Calculated for each offer	1	Percentage of offers in response to RfE which have a delay
SQI20	Delivery of FAT report for the Take-Over	"0 delay" for acceptance	10 wdays	Calculated for the FAT report	1	Difference between planned submission date for acceptance and the submission date of the accepted version.
SQI21	Delivery of quality control report on SfR documents deliverables from	"0 delay" in delivery"	2 wdays	Calculated for each QC report	5	Difference between planned delivery date and actual delivery date.

SQI ID	Name	Target	Limit	Measurement*	Min nb of measurements	Description
	other contractors					
SQI22	Delivery of consolidated list of review comments	"0 delay" in delivery"	2 wdays	Calculated for each consolidated list of comments	5	Difference between planned delivery date and actual delivery date.
SQI23	Delivery of review meeting decision for each review comment	"0 delay" in delivery	2 wdays	Calculated for each bundle of comments	5	Difference between planned delivery date and actual delivery date.
SQI24	Delivery of quality control report of the review cycle	"0 delay" in delivery	2 wdays	Calculated for each bundle of comments	5	Difference between planned delivery date and actual delivery date.
SQI25	Delivery of Quality Control Report for testing activities and SLM processes	"0 delay" for acceptance	2 wdays	Calculated for each report	5	Difference between planned submission date for acceptance and the submission date of the accepted version.
SQI26	Review process activation	"0 delay" in delivery	1 wday	Calculated for each deliverable to be reviewed	5	Difference between planned delivery date and actual delivery date.
SQI27	Coordination of review meetings	"0 delay" in delivery, i.e. review meeting organised within the deadline imposed by the review cycle (T2)	1 wday	Calculated for each review meeting coordinated	5	Difference between planned delivery date and actual delivery date.
SQI46	Quality of review comments	80% of QA comments TBI	66%	Calculated for each review comment	1	Percentage of total nr of QA comments given, for which a "To be implemented" decision has been taken.
SQI50	Number of complaints**	<3	5	Count each occurence	1	Total number of "Official Complaint" received during the Specific Contract period.

Table 4: SQI table

* Whenever the same SQI is used to measure the QoS of more than 1 deliverable, the SQI is averaged. This is done by averaging the sum of the profiled SQI_{prof} related to the different deliverables, refer to section 3 for more information on the calculation of SQIs.

** 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.

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1.3.4. SERVICE AND DELIVERABLE CATALOGUE

The table lists all the services and deliverables linked to the WPs identified in the previous section 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;

- **Ordering mechanism**:

  A service and/or a deliverable can be ordered through one of the following:
  - Specific Contract (SC);
  - Request for Action (RfA);

- **Request 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 Estimation (RfE);
  - Request for Offer (RfO);
  - Trigger (TR): On request (OR);ed by e-mail or paper mail;

- **Planning** coded as follows:
  - Planning specified in reference to T0, the starting date of the activity of the SC, and/or possibly to other internal/external dependencies. When applicable, the planning specifies 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;
  - **OR**: On Request: planning will be defined in the request;
  - **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;

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

- **Delivery mechanism**:
  - in case of a service (SE), this indicates the service monthly report used to report the QoS metrics of the service when different from the MPR (in which case "-" is shown);
  - in case of a deliverable, this indicates the "hosting" deliverable used to deliver the deliverable. In most cases both are identical, but in case of service report, they are all delivered via the monthly progress report;
  - ID: code used to specify that the deliverable is delivered by its own (Individual Delivery);
  - DLV- w.x.y.z;
  - As per request: as defined in the request

- **Acceptance mechanism**:
  - **No**: no formal acceptance required,
  - **IA**: the Commission will issue a dedicated acceptance letter for the deliverable (Individual Acceptance);
  - **As per request**: as defined in the request;

- **DLV-0.7** :
    - in case of a deliverable: the acceptance by default of the deliverable is reached by the acceptance of the Monthly Progress Report in which the deliverable is proposed for acceptance. The (non) acceptance of the deliverable will need to be notified as specific qualification in the letter of (non) acceptance of the MPR;
    - in case of a service: the acceptance of the reported QoS in the Monthly progress report. Note that it is the factual correctness of the reported Quality of Service which is subject to acceptance in the monthly progress report and not the service itself. The accepted QoS is the base to compute the SQI and then the liquidated damages where applicable.

Work package	Deliverable	Deliverable title	Ordering mechanism	Request mechanism	Planning	Delivery mechanism	Acceptance mechanism	SQI (indicative)
WP.0.1	DLV-0.1-1	Framework Quality Plan (FQP) along with an FQP test plan and its FAT report	SC	SC	SC 01, T0 + 6 months, for acceptance, with a 10/10/10 review cycle	ID	IA	*SQI11*[7]
WP.0.1	DLV-0.1-2	Evolutive version of FQP	SC, RfA	SC, RfA	as per request	ID	IA	SQI01
WP.0.3	DLV-0.3-1	Contract Quality Plan (CQP), including the Contractual OLA	SC	SC	SC 01, T0 + 6 months, for acceptance (bundled with FQP) Following SAs, T0 + 2 months for acceptance	ID	IA	SQI01
WP.0.3	DLV-0.3-2	Evolutive version of CQP	SC, RfA	RfA	as per request	ID	IA	SQI01
WP.0.4	DLV-0.4-1	SC proposal	SC	RfO	As per RfO	ID	No	SQI17
WP.0.4	DLV-0.4-2	RfA proposal	SC	RfE	As per RfE	ID	No	SQI17
WP.0.5	SE-0.5-0	Internal QA and QC	SC	SC	Continuous	-	DLV-0.7	
WP.0.5	DLV-0.5-1	Internal quality records, filed in contractor's premises	SC	OR	max 5 wdays upon request from the Commission	ID	No	
WP.0.5	DLV-0.5-2	Author's position on technical and quality review comments	SC	SC	+ z wdays after receipt of the review comments, according to FQP, CQP (with z usually = 1)	ID	No	
WP.0.5	SE-0.5-3	Participation to the review meeting to clarify 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	SC	MA within the limit imposed by FQP, CQP and the review cycle (usually after 1 to 3 wdays after submission of DLV.0.5.2)	-	DLV-0.7	
WP.0.5	DLV-0.5-4	Internal quality procedures, filed in contractor's premises	SC	OR	max 5 wdays upon request from the Commission	ID	No	

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[7] Please note that SQI11 is contractual (and not indicative)

Work package	Deliverable	Deliverable title	Ordering mechanism	Request mechanism	Planning	Delivery mechanism	Acceptance mechanism	SQI (indicative)
WP.0.6	SE-0.6-0.1	Attendance at monthly meetings	SC	SC, OR	One per month as per CQP and in exceptional case MA	-	DLV-0.7	SQI09
WP.0.6	SE-0.6-0.2	Attendance at Ad hoc meetings	SC	OR	Within 1 wday notice	-	DLV-0.7	SQI09
WP.0.6	SE-0.6-0.3	Attendance to coordination meetings at SPOC (Specific Point Of Contact) level	SC	OR	As required, by default on weekly basis	-	DLV-0.7	SQI09
WP.0.6	DLV-0.6-1	Agenda of Monthly Progress Meeting	SC	SC	1 wday before the meeting	ID	DLV-0.7	SQI02
WP.0.6	DLV-0.6-2	Minutes of the Monthly Progress Meetings bundled with DLV-0.7	SC	SC	date of BMM +10 wdays for acceptance	ID	IA bundled with DLV-0.7	SQI02
WP.0.6	DLV-0.6-3	Minutes of ad hoc meetings	SC	SC	date of the meeting+5 wdays for acceptance	ID	DLV-0.7	
WP.0.6	DLV-0.6-4	Minutes of SPOC meetings	SC	SC	date of the meeting+2 wdays for acceptance	ID	DLV-0.7	
WP.0.7	DLV-0.7	Monthly Progress Report, which includes monthly service report.	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 bundled with DLV-0.6-2	SQI04a SQI04b
WP.0.8	DLV-0.8-1	Monthly report from demand management activities Monthly update of the planning of the contractor's activities, services and deliverables	SC	SC	as per DLV-0.7	DLV-0.7	DLV-0.7	
WP.0.8	DLV-0.8-2	Acceptance report	SC	SC	As needed (following the payment terms of the QTM RFAs, or the individual acceptance to be performed)	ID	DLV-0.7	
WP.0.9	DLV-0.9-1	Knowledge base	SC	SC	Available upon request from DG TAXUD	ID	DLV-0.7	SQI50

Work package	Deliverable	Deliverable title	Ordering mechanism	Request mechanism	Planning	Delivery mechanism	Acceptance mechanism	SQI (indicative)
WP.0.10	SE-0.10	Change management	SC	SC	continuous	DLV-0.7	DLV-0.7	
WP.0.11	SE-0.11	Incident management	SC	SC	continuous	DLV-0.7	DLV-0.7	
WP.0.A	SE-0.A	Co-operate with the Commission (and any third party nominated by it) during quality and security audit	SC	OR	average duration of 5 wdays, date as per request if requested date is more than 2 weeks from date of request otherwise MA;	-	DLV-0.7	
WP.0.A	DLV-0.A	Position of the audited contractor on the audit report	SC	SC	20 wdays after reception of the audit report, for acceptance	ID	IA	SQI01
WP.0.B	DLV-0.B	Quarterly CD-ROM with all deliverables from the past quarter	SC	SC	Quarterly	ID	DLV-0.7	SQI02
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	SE-1.6-1	Set up, install, operate and maintain (including its evolution) the necessary infrastructure	SC, RfA	SC, RfA	AN	-	DLV-0.7	
WP.1.6	DLV-1.6-2	FAT report related to set up and evolution of SE-1.6-1	SC, RfA	SC, RfA	As per SC, RfA	ID	IA	SQI01
WP.2.0	DLV-2.0-1	Take-over plan	SC	SC	Submitted for acceptance: SC 01 T0 + 6 weeks)	ID	IA	SQI01
WP.2.1	DLV-2.1-1	Take-over of QA/QC activities: FAT report	SC	SC	Submitted for acceptance: SC 01 T0 + 6 months) Acceptance of the FAT report triggers the start of the QA3 service provision by the contractor.	ID	IA	*SQI20*
WP.3.0	DLV-3.0-1	Video recording of training sessions	SC, RfA	RfA, OR	Date of the Training + 10 wdays.	ID	DLV-0.7	SQI02

Work package	Deliverable	Deliverable title	Ordering mechanism	Request mechanism	Planning	Delivery mechanism	Acceptance mechanism	SQI (indicative)
					No review cycle			
WP.3.1.1	SE-3.1.1-1	Preventive and corrective maintenance of TEMPO training material	SC	SC	Continuous	-	DLV-0.7	
WP.3.1.1	DLV-3.1.1-2	New release of TEMPO training material	SC, RfA	RfA, OR	Submitted for acceptance as per SC	ID	DLV-0.7	SQI01
WP.3.1.2	DLV-3.1.2-1	Evolution maintenance of TEMPO training material	SC, RfA	RfA, OR	Submitted for acceptance as per order	ID	DLV-0.7	SQI01
WP.3.1.3	DLV-3.1.3-1	TEMPO training – specific adaptation of the training material	SC, RfA	RfA, OR	date of the Training – 10 wdays, for review date of the Training – 5 wdays, for acceptance	ID	IA	SQI05
WP.3.1.3	SE-3.1.3-2	TEMPO training - performance	SC, RfA	RfA, OR	average duration of 2 wdays, date as per request if requested date is more than 3 weeks from date of request otherwise MA;	-	DLV-0.7	SQI09
WP.3.1.3	DLV-3.1.3-3	TEMPO training – Minutes and evaluation	SC, RfA	RfA, OR	Date of the Train/Wshp/Demo + 10 wdays, for acceptance	ID	DLV-0.7	SQI02
WP.3.2.1	DLV-3.2.1-1	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 – 2 wdays, for acceptance	ID	IA	SQI05
WP.3.2.1	SE-3.2.1-2	Training/workshop/demo – Performance	SC, RfA	RfA, OR	average duration of 2 wdays, date as per request if requested date is more than 3 weeks from date of request otherwise MA;	-	DLV-0.7	SQI09
WP.3.2.2	SE-3.2.2-1	Training/workshop/demo – Attendance	SC, RfA	RfA, OR	average duration of 2 wdays, date as per request if requested date is more than 3 weeks from date of request otherwise MA;	-	DLV-0.7	SQI09
WP.3.2.3	SE-3.2.3-1	Training/workshop/demo – Hosting Facilities and infrastructure: Meeting	SC, RfA	RfA, OR	average duration of 2 wdays, date as per request if requested	-	DLV-0.7	SQI09

Work package	Deliverable	Deliverable title	Ordering mechanism	Request mechanism	Planning	Delivery mechanism	Acceptance mechanism	SQI (indicative)
		room 20 persons in Contractor's premises			date is more than 3 weeks from date of request otherwise MA;			
WP.3.2.4	DLV-3.2.4-1	Training/workshop/demo – Agenda	SC, RfA	RfA, OR	Date of the Train/Wshp/Demo – 10 wdays, for review, or MA if request date is > date of Training/workshop/demo - 10 wdays	ID	no	SQI05
WP.3.2.4	DLV-3.2.4-2	Training/workshop/demo – Briefing	SC, RfA	RfA, OR	Date of the Train/Wshp/Demo – 5 wdays, for review	ID	no	SQI05
WP.3.2.4	DLV-3.2.4-3	Training/workshop/demo – Minutes and evaluation	SC, RfA	RfA, OR	Date of the Train/Wshp/Demo + 10 wdays, for acceptance	ID	DLV-0.7	SQI01
WP.3.3	DLV-3.3-1	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	no	SQI05
WP.3.3	SE-3.3-2	Mission - Performance	SC, RfA	RfA, OR	average duration of 2 wdays, date as per request if requested date is more than 2 weeks from date of request otherwise MA;	-	DLV-0.7	SQI09
WP.3.3	DLV-3.3-3	Mission - Agenda	SC, RfA	RfA, OR	Date of the mission – 15 wdays, for review, if mission's requested date is more than 3 weeks from date of request, otherwise MA.	ID	no	SQI05
WP.3.3	DLV-3.3-4	Mission - Briefing	SC, RfA	RfA, OR	Date of the mission – 5 wdays, for review	ID	no	SQI05
WP.3.3	DLV-3.3-5	Mission - Report and evaluation	SC, RfA	RfA, OR	Date of the mission + 10 wdays, for acceptance	ID	DLV-0.7	SQI02
WP.4.1	SE-4.1-1	Technical meetings with the Commission and/or 3rd parties – Organisation and	SC, RfA	RfA, OR	as per request	-	DLV-0.7	SQI09

Work package	Deliverable	Deliverable title	Ordering mechanism	Request mechanism	Planning	Delivery mechanism	Acceptance mechanism	SQI (indicative)
		performance						
WP.4.1	DLV-4.1-2	Technical meetings - Minutes	SC, RfA	RfA, OR	date of meeting + 5 wdays for review	ID	DLV-0.7	SQI02
WP.4.2	SE-4.2-1	Service Monthly Meeting SMM - Attendance	SC	SC, OR	as per CQP and in exceptional case MA	-	DLV-0.7	SQI09
WP.4.5.1	DLV-4.5.1-1	Management Committee (or its sub-groups) meeting - Preparation of material	SC, RfA	RfA, OR	meeting date – 10 wdays for review, - 5 wdays for acceptance	ID	DLV-0.7	SQI02
WP.4.5.1	SE-4.5.1-2	Management Committee (or its sub-groups) meeting – Performance	SC, RfA	RfA, OR	average duration of 2 wdays, date as per request	-	DLV-0.7	SQI09
WP.4.5.2	SE-4.5.2-1	Management Committee (or its sub-groups) meeting – Attendance	SC, RfA	RfA, OR	average duration of 2 wdays, date as per request	-	DLV-0.7	SQI09
WP.4.5.3	DLV-4.5.3-1	Management Committee (or its sub-groups) meeting – Agenda	SC, RfA	RfA, OR	Meeting date – 15 wdays for review	ID	No	SQI05
WP.4.5.3	DLV-4.5.3-2	Management Committee (or its sub-groups) – Briefing	SC, RfA	RfA, OR	Meeting date – 5 wdays for review	ID	no	SQI05
WP.4.5.3	DLV-4.5.3-3	Management Committee (or its sub-groups) – Minutes	SC, RfA	RfA, OR	Meeting date + 5 wdays for review	ID	DLV-0.7	SQI01
WP.4.6	SE-4.6.1-1	Extended technical meetings with the Commission or 3rd parties – Organisation and performance	SC, RfA	RfA, OR	as per request	-	DLV-0.7	SQI09
WP.4.6	DLV-4.6.1-2	Extended technical meeting material	SC, RfA	RfA, OR	During meeting performance	ID	DLV-0.7	
WP.4.6	DLV-4.6.2-1	Minutes and updated meeting material	SC, RfA	RfA, OR	Maximum 3 working days after the day of the meeting performance for review.	ID	DLV-0.7	SQI03
WP.5.1	DLV-5.1-1	Hand-over plan	SC, RfA	SC, RfA	As per request or SC	ID	IA	SQI01
WP.5.2	SE-5.2-1, DLV5.2-1	Hand-over related deliverables and services	SC, RfA	SC, RfA	Continuous during the handover period	-	DLV-0.7	(SQI50)

Work package	Deliverable	Deliverable title	Ordering mechanism	Request mechanism	Planning	Delivery mechanism	Acceptance mechanism	SQI (indicative)
WP.5.4	SE-5.4-1	"After Hand-over" support	SC, RfA	SC, RfA	Continuous during 3 months, as from handover of services	-	DLV-0.7	(SQI50)
WP.5.5	DLV-5.5-1	Hand-over report	SC, RfA	SC, RfA	SFA 1 month after the end of SE.5.4-1	ID	IA	SQI01
WP.9.1	DLV-9.1-1	Evolutive version of PQP	SC, RfA	SC, RfA	as per request or SC	ID	IA	SQI01
WP.9.2	DLV-9.2-1	Audit plan and agenda	SC, RfA	SC, RfA	30 wdays before planned audit date for review	ID	IA	SQI01
WP.9.2	SE-9.2-2	Audit	SC, RfA	SC, RfA	As per request or SC	-	DLV-0.7	SQI09
WP.9.2	DLV-9.2-3	Audit report	SC, RfA	SC, RfA	20 wdays after audit, for acceptance	ID	IA	SQI01
WP.9.2	DLV-9.2-4	Review of the position of the audited contractor on the audit report	SC, RfA	SC, RfA	10 wdays after reception of the position of the audited contractor	ID	DLV-0.7	SQI01
WP.9.3.1	DLV-9.3.1-1	Dashboard of IT projects and systems	SC	SC	Quarterly basis, 5 wdays after the end of the quarter for review	ID	DLV-0.7	SQI02
WP.9.3.2	SE-9.3.2-1	Internal and external QMM meetings – Organisation and performance	SC	SC	Quarterly basis	-	DLV-0.7	SQI09
WP.9.3.2	DLV-9.3.2-2	Minute of internal QMM meeting, including updated actions list	SC	SC	Quarterly basis, 5 wdays after the internal QMM meeting for review	ID	DLV-0.7	SQI02
WP.9.3.2	DLV-9.3.2-3	Minute of external QMM meeting, including updated actions list	SC	SC	Quarterly basis, 5 wdays after the external QMM meeting for review	ID	DLV-0.7	SQI02
WP.9.3.2	SE-9.3.2-4	Administrate the QMMs forum	SC	SC	Continuous	-	DLV-0.7	
WP.9.4.1A	SE-9.4.1A-1	Full scope review - Review of document deliverables from other contractors, including proactive attendance to meetings organised by DG TAXUD prior to the start of the review cycle, held either in the Commission's premises or by conference call	SC, RfA	RfA, OR	from date of reception of the deliverable for review till x wdays after, according to review cycle applicable, typically x = 3 to 10 wdays	-	DLV-0.7	

Work package	Deliverable	Deliverable title	Ordering mechanism	Request mechanism	Planning	Delivery mechanism	Acceptance mechanism	SQI (indicative)
WP.9.4.1A	DLV-9.4.1A-2	Full scope review - List of review comments (to be bundled with DLV-9.7.1-2) and QA3 QC form	SC, RfA	RfA, OR	x wdays after reception of the deliverable for review, x being set according to the review cycle applicable, typically x= 3 to 10 wdays	ID	No	SQI21 SQI46
WP.9.4.1A	SE-9.4.1A-3	Full scope review - Attendance to review meetings to clarify review comments issued, held either in the Commission's premises or by conference call	SC, RfA	RfA, OR	y days after submission of the QCR (DLV-9.4.1-2), y being set according to the review cycle applicable, typically y = 2 to 5 wdays	-	DLV-0.7	SQI09
WP.9.4.1A	DLV-9.4.1A-4	Full scope review – Minutes of after review meeting including lessons learned	SC, RFA	RFA,OR	date of meeting + 5 wdays for review	ID	DLV-0.7	SQI02
WP.9.4.1B	SE-9.4.1B-1	Quality only review – Review of document deliverables from other contractors	SC, RfA	RfA, OR	from date of reception of the deliverable for review till x wdays after, according to review cycle applicable, typically x = 3 to 10 wdays	-	DLV-0.7	
WP.9.4.1B	DLV-9.4.1B-2	Quality only review - List of review comments (to be bundled with DLV-9.7.1-2) and QA3 QC form	SC, RfA	RfA, OR	x wdays after reception of the deliverable for review, x being set according to the review cycle applicable, typically x= 3 to 10 wdays	ID	No	SQI21 SQI46
WP.9.4.1B	SE-9.4.1B-3	Quality only review - Attendance to review meetings to clarify review comments issued, held either in the Commission's premises or by conference call	SC, RfA	RfA, OR	y days after submission of the QCR (DLV-9.4.1-2), y being set according to the review cycle applicable, typically y = 2 to 5 wdays	-	DLV-0.7	SQI09
WP.9.4.2	SE-9.4.2-1	Quality control of the SLM processes of the other contractors	SC, RfA	RfA, OR	As per request or SC	-	DLV-0.7	
WP.9.4.2	DLV-9.4.2-2	Monthly quality control reports of the SLM processes of the other contractors	SC, RfA	RfA, OR	monthly for review	DLV-0.7	DLV-0.7	SQI25

Work package	Deliverable	Deliverable title	Ordering mechanism	Request mechanism	Planning	Delivery mechanism	Acceptance mechanism	SQI (indicative)
WP.9.5	SE-9.5-1.cx[8]	On site quality control in the premise of the responsible contractor of the conformance test performance and the conference calls	SC, RfA	RfA, OR	as per request	-	DLV-0.7	SQI09
WP.9.5	DLV-9.5-2.cx	Conformance test quality control report	SC, RfA	RfA, OR	5 wdays after the conformance test conclusion, for acceptance	ID	DLV-0.7	SQI25
WP.9.5	DLV-9.5-3.cx	Daily conformance test report to the Commission	SC, RfA	RfA, OR	daily during the conformance test	ID	-	
WP.9.6.1	SE-9.6.1-1	On site quality control of the FAT at the development contractor's premises	SC, RfA	RfA, OR	as per request	-	DLV-0.7	SQI09
WP.9.6.1	DLV-9.6.1-2	FAT quality control report	SC, RfA	RfA, OR	5 wdays after FAT attendance, for acceptance	ID	DLV-0.7	SQI25
WP.9.6.2	SE-9.6.2-1	Pre-SAT training attendance, in the operations contractor's premises	SC, RfA	RfA, OR	as per request, before test starts	-	DLV-0.7	SQI09
WP.9.6.2	SE-9.6.2-2	Attendance to the pre-SAT kick-off and conclusion meetings	SC, RfA	RfA, OR	date of the pre-SAT conclusion meeting	-	DLV-0.7	SQI09
WP.9.6.2	DLV-9.6.2-3	Quality control report of the pre-SAT	SC, RfA	RfA, OR	Date of the pre-SAT conclusion meeting + 1 wday	ID	DLV-0.7	SQI25
WP.9.6.2	SE-9.6.2-4	Quality control of the SAT performed by the operation contractor, including attendance to the SAT related meetings	SC, RfA	RfA, OR	SAT time slot	-	DLV-0.7	SQI09
WP.9.6.2	DLV-9.6.2-5	Quality control report of the SAT	SC, RfA	RfA, OR	5 wdays after the SAT conclusion meeting, for acceptance	ID	IA	SQI25
WP.9.6.2	DLV-9.6.2-6	Daily SAT report to the Commission	SC, RfA	RfA, OR	daily during the SAT	ID	-	

[8] *x=1 category 1*

x=2 category 2

x=3 category 3

x=4 category 4

Work package	Deliverable	Deliverable title	Ordering mechanism	Request mechanism	Planning	Delivery mechanism	Acceptance mechanism	SQI (indicative)
WP.9.6.3	SE-9.6.3-1	Quality Control of the Qualification performed by the operation contractor	SC, RfA	RfA, OR	Qualification time slot	-	DLV-0.7	SQI09
WP.9.6.3	DLV-9.6.3-2	Quality Control report of the Qualification	SC, RfA	RfA, OR	5 wdays after the Qualification conclusion, for acceptance	ID	DLV-0.7	SQI25
WP.9.7.1	SE-9.7.1-1	Review process activation	SC, RfA	RfA, OR	+ 4 whours after reception of deliverable to be reviewed	-	DLV-0.7	SQI26
WP.9.7.1	DLV-9.7.1-2	Consolidated list of review comments (DLV-9.4.1-2 is to be included in this deliverable)	SC, RfA	RfA, OR	end of review as request – 1 wday	ID	DLV-0.7	SQI22b
WP.9.7.1	SE-9.7.1-3.1	Attendance to review meetings	SC, RfA	RfA, OR	OR, according contractual OLA	-	DLV-0.7	SQI09
WP.9.7.1	SE-9.7.1-3.2	Coordination of review meetings	SC, RfA	RfA, OR	OR, according contractual OLA	-	DLV-0.7	SQI27
WP.9.7.1	DLV-9.7.1-4	Minute of the review meeting with the meeting decision for each review comment	SC, RfA	RfA, OR	At the conclusion of the review meeting	ID	DLV-0.7	SQI23
WP.9.7.1	DLV-9.7.1-5	Quality control report of the review cycle (including the comments database with the verification of implementation of the review comments according review meeting decisions, and the QC form)	SC, RfA	RfA, OR	+ 1 wday after reception of the deliverable to verify	ID	DLV-0.7	SQI24
WP.9.7.1	SE-9.7.1-6	Corrective and evolutive maintenance of the comments database	SC, RfA	RfA, OR	Continuous		DLV-0.7	
WP.9.7.2	SE-9.7.2-1	Maintenance and operation of the related CIRCABC interest group(s)	SC, RfA	RfA, OR	Continuous		DLV-0.7	
WP.9.7.2	DLV-9.7.2-2	User account management report containing the UAM lists	SC, RfA	RfA, OR	First report: SFA=T0+1 month Second report: SFA=T0+7 month (Review cycle: 5/5/5)	ID	DLV-0.7	SQI02
WP.9.7.2	DLV-9.7.2-3	Maintenance and operation status report	SC, RfA	RfA, OR	Monthly basis	Bundled with DLV-0.7	DLV-0.7	

Work package	Deliverable	Deliverable title	Ordering mechanism	Request mechanism	Planning	Delivery mechanism	Acceptance mechanism	SQI (indicative)
WP.9.7.2	DLV-9.7.2-4	Update of documentation (administration manual, cheat sheets, etc.)	SC, RfA	RfA, OR	As needed (Review cycle: 5/5/5)	ID	DLV-0.7	
WP.9.8.1	SE-9.8.1-1	TEMPO preventive and corrective maintenance, service support (excluding service desk)	SC, RfA	SC, RfA	Continuous; TEMPO CAB meetings by default every two months.	-	DLV-0.7	
WP.9.8.1	DLV-9.8.1-2	New TEMPO release/version	SC, RfA	RfA,OR	Every 6 months	ID	DLV-0.7	SQI01
WP.9.8.1	DLV-9.8.1-3	Material for the TEMPO CAB meeting (agenda, invitation, documentation and RfC's)	SC, RfA	RfA, OR	meeting date – 10 wdays for review	ID	DLV-0.7	SQI05
WP.9.8.1	DLV-9.8.1-4	TEMPO CAB meeting minutes	SC, RfA	RfA, OR	meeting date + 5 wdays for review	ID	DLV-0.7	SQI02
WP.9.8.2	DLV-9.8.2	Evolutive maintenance of TEMPO	SC,RfA	SC, RfA,OR	Submitted for acceptance as per SC/RFA	ID	DLV-0.7	SQI01
WP.9.8.3	SE-9.8.3	Service management for the TEMPO e-publishing and dissemination environment	SC, RfA	SC, RfA	Continuous	-	DLV-0.7	
WP.9.8.4	SE-9.8.4-1	Advise on TEMPO evolution, maintain the TEMPO strategic and tactical (including release/change/configuration management of it)	SC, RfA		Continuous	-	DLV-0.7	
WP.9.8.4	DLV-9.8.4-2	TEMPO strategic and tactical plan	SC, RfA	SC, RfA	As per SC (default is update every 6 months)	ID	IA	SQI01
WP.9.8.5	DLV-9.8.5	TEMPO newsletter	SC, RfA	SC, RfA,OR	As per SC (default is quarterly)	ID	DLV-0.7	SQI02
WP.9.9	DLV-9.9x SE-9.9x	Services and deliverables from technical support activities. To be defined on a case by case basis	SC, RfA	SC, CQP, RfA, OR	as per request or SC	as per request	as per request	as per request
WP.9.10	DLV-9.10.x SE-9..10x	Project management support. To be defined on a case by case basis.	SC, RfA	SC, CQP, RfA, OR	as per request or SC	as per request	as per request	as per request
WP.9.W	SE-9.W	Reply to RfI	SC, RfA	RfA, OR	AN, upon request of RfI, according contractual OLA in	-	DLV-0.7	SQI06

Work package	Deliverable	Deliverable title	Ordering mechanism	Request mechanism	Planning	Delivery mechanism	Acceptance mechanism	SQI (indicative)
					CQP			
WP.A	DLV-A SE-A	Other services and deliverable in the scope of the contract	SC, RfA	SC, CQP, RfA, OR	as per request or SC	as per request	as per request	

Table 5: Deliverables table

2. GENERAL REQUIREMENTS

2.1.   RELATIONSHIP

The QA3 contractor will perform the service activities under the authority and the close control of the Commission, and in full compliance with the FQP. The instruments of this control must include all the deliverables specified in the "WP.0 Project Management" work package.

The QA3 contractor will always act and behave in the best interest of the Commission during the life of the contract.

In terms of inter-relationship between the QA3 contractor and the other contractors and stakeholders involved in the service, the QA3 contractor reports to the Commission only.

Nevertheless, the Commission authorises the QA3 contractor to establish and maintain direct operational relationships between the QA3 contractor and the other contractors and stakeholders in order to improve the overall effectiveness and efficiency of the service.

However, the Commission will always retain the full control over, and require full traceability of the information exchanged between the QA3 contractor and these 3rd parties.

It is important for the QA3 contractor to appreciate that delays incurred by any of the involved parties, including the contractor itself, affect the quality of the service delivery by the Commission.

2.2.   METHODOLOGY - QUALITY

TEMPO is the applicable methodology for the QA3 contractor and other contractors which will interact with the QA3 contractor. The QA3 contractor will need to adapt to the evolution of TEMPO which is subject to a continuous improvement programme leading to 1 or 2 TEMPO releases per year.

The contractor has to deliver the requested services in line with TEMPO methodology and ISO standard (as listed in section 0.3 References). The contractor may also be required to use ITILv.2 and v.3 best practices in the context of its quality control services.

The Contractor has to use an adequate methodology to carry out the activities and deliver the products and services required, while meeting the desired level of quality. The quality framework applicable to the Framework Contract is made of the following items with this order of precedence:

1. this Technical Annex;

2. TEMPO Methodology;

3. the contractor's own quality methodology.

The QA3 contractor must define a <u>Framework Quality Plan</u> (FQP), covering the activities as seen from the Contractor side. The FQP must be (maintained) compliant with the existing PQPs and with the FQP template of TEMPO. The FQP is applicable throughout the full validity time of the Framework Contract. The FQP is a mandatory deliverable of the first Specific Contract (SC) of the Framework Contract (FC).

Furthermore, for each SC signed under the FC, a <u>Contract Quality Plan</u> (CQP) will be produced by the contractor. The CQP is an "instantiation of the FQP" applied to the specific requirements of the SC. The CQP must also be (maintained) compliant with the existing PQPs and with the CQP template of TEMPO. The CQP is applicable throughout the full validity time of the related SC.

2.3.   DELIVERABLES

The QA3 contractor must deliver the documents electronically, on paper only if requested, using a format compatible with the Commission office automation tools and according to the procedures defined in the applicable quality plan.

Written deliverables must also be provided on a quarterly DVD-ROM. All written deliverables are to be produced in English, unless stated otherwise.

Refer to section 1.3.2 for the acceptance of deliverables.

2.4.   STAFF AND AVAILABILITY

The QA3 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 QA3 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 and quality roles, the QA3 contractor will inform the Commission at least two (2) months before hand and communicate the details of the new staff and evidence of his/her compliance with the role profile for which (s)he is proposed. The QA3 contractor will ensure the knowledge retention, at his own expense, avoiding any regression of service. The QA3 contractor will describe the team induction and team management in the FQP and CQPs.

The QA3 contractor must ensure that his staff is fully aware of the contractor's quality system, of the quality system of the project, of the contractual OLA, of the security requirements of the project as well as of the goal, the context, the planning and the political importance of the service.

The QA3 Contractor needs to be available to provide 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.

2.5. PLACE OF WORK

The work will be performed primarily at the QA3 Contractor's premises situated in the territory of one or more of the EU Member States. Some meetings as well as acceptance tests may be held in the Commission's premises or in the premises of another contractor involved in the projects.

The QA3 contractor must be able to attend ad-hoc meetings with the Commission in the Commission premises at mutually agreed date and time.

During the contract and on request from the Commission, mission or consultancy services could be organised inside or outside the Commission's premises e.g. in DG TAXUD, National Administrations, other contractors premises, other supplier premises, etc.

2.6. NECESSARY INFRASTRUCTURE AND TELECOM SERVICES

2.6.1. INFRASTRUCTURE

The QA3 contractor must specify size, provide, host, install, configure, operate, monitor and administer the necessary office infrastructure (and its maintenance) in his premises, located in the European Union, for the successful execution of the work packages, including access to the Internet, any necessary monitoring tool and a meeting room for up to 20 persons. The tools must be compatible with the Central Project Office automation environment.

The QA3 contractor may use any additional tools considered necessary to improve its efficiency, effectiveness and quality of its service. Those tools must remain compatible with the current infrastructure.

The QA3 Contractor will need to take the necessary insurance to cover the needed infrastructure, against usual risks (fire, flood, thefts, etc.).

The QA3 Contractor must pay attention to use and respect commonly used standards and guidelines according to the chosen technology. The standards used within the Commission are set up by the Informatics Directorate General of the Commission (DIGIT) to be found at http://ec.europa.eu/dgs/informatics/index_en.htm)

2.6.2. TELECOM SERVICES

The QA3 contractor must have access from their premises to all necessary telecom services for the successful execution of all the work packages. The QA3 contractor must specify, size, provide, host, install, configure, operate, monitor and administrate the necessary telecom services in his premises (refer to WP.1.6). Telecom services are required for:

- Access to Internet;

- Conference calls;

- Monitoring tools.

2.7. SECURITY

Due to the sensitivity and the political visibility of the project, the QA3 contractor must take the necessary steps to:

- maintain the Commission informed of the composition of the contractor's team and provide the CVs for each staff member and provide a declaration of confidentiality for each of his staff to the Commission;

- restrict and control the access to the project information (stored internally or available on a web site) to the staff known by the Commission as allocated to the project;

- take the necessary security protection to avoid divulgation of unauthorised project documentation and information dissemination to external parties, including a strong protection (e.g. by encryption or strong access control) of all project related sensitive information when it leaves the contractor premises. A 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;

- sign a security convention, for activities in particular projects where a connection to the servers of the Commission would be required;

- ensure the secure delivery of all deliverables taking into account the specific areas of the security policy of DG TAXUD.

The QA3 contractor will describe the security system that he will apply to the project in the FQP and CQP. In particular, the security plan will be provided as part of the FQP.

The security protection measures apply to all team members of the QA3 contractor.

The Commission reserves the right to impose additional specific security rules in the future, should the need arise. The contractor must adhere to changing Commission or DG TAXUD policies or procedures.

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 himself to co-operate fully with the Commission during the audits (refer to WP.0.A). In particular, the contractor commits:

- to authorise the access to the whole of the project information located in their premises no later than two weeks after the request of the Commission,

- to answer the questions from the Commission,

- And to provide the evidences required during those audits.

2.8.   "OUT OF PREMISES" SERVICES

2.8.1.   WITHOUT REIMBURSEMENT OF TRAVELS AND SUBSISTENCE COSTS

All meetings at the Commissions'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 fixed price elements, including the travel and subsistence of these meetings. Therefore, no additional travel and subsistence expenses will be reimbursed **between** Commission's premises (Brussels and Luxembourg).

2.8.2.   WITH REIMBURSEMENT OF TRAVELS AND SUBSISTENCE COSTS

Travel and subsistence expenses for **all other missions** must be reimbursed according to the rules specified in the Framework Contract.

3. QUALITY REQUIREMENTS

3.1.   SERVICE QUALITY REQUIREMENTS

The Service Quality Requirements will be fixed in the contractual OLA.

The QA3 contractor will need to draw continuous attention to quality and consider it as a critical success factor for the project. In particular, the CPT views the following criteria as important:

- transparent relationship between all the parties of the project;

- the configuration management, consistency, traceability, coherence and usage of controlled vocabulary in the deliverables;

- timeliness and quality of deliveries and services;

- adequate knowledge sharing across all QA activities;

- transparency in project management;

- continuous recycling of experience into quality improvement;

- linguistic quality of the deliverables to be handed over to the MS and CC.

The Commission will assess the quality compliance of all the deliverables with the contractual terms, which include the Framework Contract, the PQP, the FPQ, the relevant CQP and technical annexes of the Specific Contracts. Regarding the services deliverables, the Commission will also assess, where applicable, their quality compliance with the Quality of Services defined in the applicable contractual OLA and monitor it with the SQI and GQI.

The Commission reserves the right to perform quality and security audits in the QA3 contractor's premises for assessing 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 QA3 contractor commits himself to co-operate fully with the Commission during the audits (Refer to WP.0.A).

3.2.   PURPOSE OF THE CONTRACTUAL OLA

The contractual OLA is between the Commission (Service Requester) and the QA3 Contractor (Service Provider). It defines the minimum level of agreed service acceptable to the Service Requester. It provides a mutual understanding of service level expectation, their measurement methods and the possible associated liquidated damages.

The Service Provider commits to provide services to the Service Requester, as defined in the Specific Contract, and commits to deliver those services according to the service

quality level as defined in the contractual OLA.

The contractual OLA is associated to the Specific Contract and remains valid during its whole duration.

3.3. THE SQI/GQI APPROACH

Quality indicators, called SQI (Service Quality Indicators) are defined in the framework of the contractual OLA. Aggregated, these SQI allow defining a general quality indicator (GQI) for a 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 in 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 limit.

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

3.4. THE SPECIFIC QUALITY INDICATORS (SQI)

3.4.1. DEFINITION OF THE SQI

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

SQI Attribute	SQI Attribute description
SQI Id	Represents the SQI identifier
SQI Name	A name, which allows to fully identify 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;

SQI Attribute	SQI Attribute description
Target	Target, which sets the level of the measurement, that, 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 immune 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 SQI will apply.
Minimum number of Measurements	Minimum number of measurements or set of measurements necessary for an SQI to be computable.

Table 6: SQI parameters

3.4.2. 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 the definition of the Measurement of the QoS.

If the minimum number of measurements required over the Applicability period to make the SQI relevant is not computable, then the Measurement (hence SQI) has no applicable value for that applicability period.

Normalise the Measurement (M_{norm})

For a given Measurement M, the related normalised Measurement $\underline{M_{Norm}}$ is obtained by applying the following formula:

$$\underline{M_{Norm}} = \frac{M - \text{Target}}{\text{Target} - \text{Limit}}$$

Where the M*,* Target *and* Limit *are values expressed in the same unit and 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 an SQI_{prof}, which has the following effects:

- It limits the SQI_{prof} upwards, versus irrelevant over-performance of QoS above target;

- It defines linear proportionality between the SQI_{prof} and the under-performance of QoS below Limit;

- It sets a grace period (interval defined by the Target and the Limit) which is setting the SQI_{prof} to a neutral level, immuning 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 $\quad \underline{M_{Norm}} \geq 0 \Rightarrow SQI_{prof} = f(\underline{M_{Norm}}) = 1$ i.e. the QoS leads to a Measurement above or on *Target*

If $\quad -1 < M_{Norm} < 0 \Rightarrow SQI_{prof} = f(\underline{M_{Norm}}) = 0$ i.e. the QoS leads to a Measurement between *Target* and *Limit* – <u>neutral grace window</u>

If $\quad M_{Norm} = -1 \Rightarrow SQI_{prof} = f(\underline{M_{Norm}}) = -1$ i.e. the QoS leads to a Measurement on *Limit*

If $\quad M_{norm} < -1 \Rightarrow SQI_{prof} = f(\underline{M_{norm}}) = \underline{M_{norm}}$ i.e. the QoS leads to a Measurement below the *Limit*
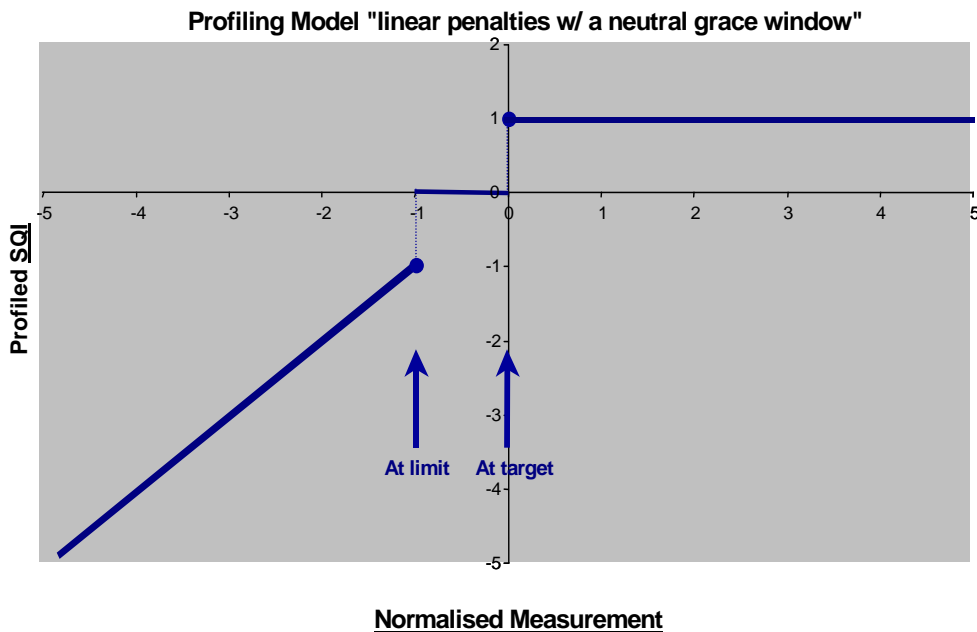
Profiling Model "linear penalties w/ a neutral grace window"

Averaged profiled SQI

When a single SQI$_{prof}$ *is used to measure the QoS of multiple occurences 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:*

$$SQI_{prof} = \frac{\sum_{i}^{n} SQI_{prof_i}}{n} = \frac{\sum_{i}^{n} f(\underline{M}_{norm_i})}{n}$$

Where n *is the number of occurrences of the given SQI*$_{prof}$ *during the applicability period.*

3.5.   THE GENERAL QUALITY INDICATOR (GQI)

The GQI is the weighted average of all SQI$_{prof}$ defined on the applicability period, allowing a global assessment of the QoS for all services and deliverables during the whole period.

To each contractual SQI a normalised weight factor[9] (*w*) has to be associated.

In formula, the General Quality Indicator (GQI) is defined as:

$$GQI = \sum_{i} (SQI_{prof_i} \times w_i)$$

By default, the applicability period is defined as the whole duration of the specific contract.

Specific applicability periods (and thus GQIs) may also be defined for activities and services ordered by RfAs.

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.

3.6.   LIQUIDATED DAMAGES

This section defines the conditions when the liquidated damages are applied and their value.

The liquidated damages related to deficient QoS during an applicability period are derived directly from the GQI calculation.

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

The GQI and the liquidated damages will be calculated at the end of the applicability period (e.g. the duration of a Specific Contract, the duration of an RfA). Nevertheless, over the applicability period, some "intermediary" GQI can be calculated, in order to assess the QoS at any time. The penalty will take the form of an amount to be deducted from the (last) invoice relating to the applicability period.

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 an applicability period is calculated according to the following "P" function:

If $GQI \leq -1$ Liquidated damage = 20 % * BUDG

If $-1 < GQI < 0$ Liquidated damage = 20 % * BUDG * *abs(*GQI);
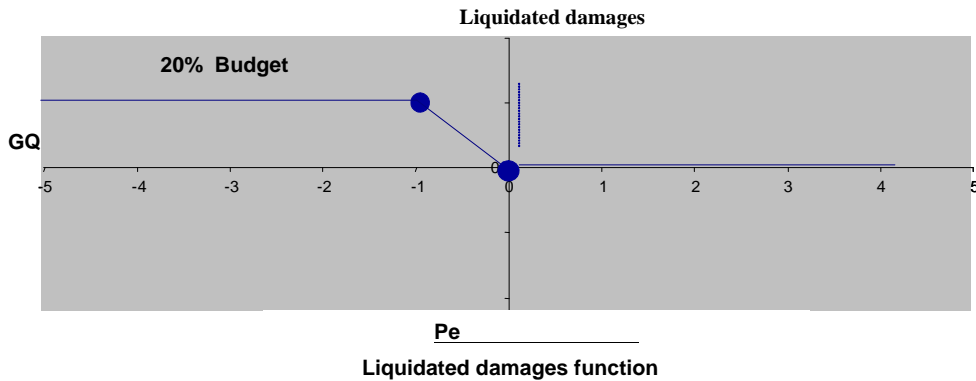
$GQI \geq 0$ Liquidated damage = 0

abs means *absolute-value.*

BUDG is the Budget corresponding to the applicability period:

- the Fixed Price budget of the SC – for applicability period corresponding to the whole duration of the SC

- the budget allocated to an RfA – for applicability period corresponding to the duration of the RfA

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

- Have **no** liquidated damage when the GQI is positive, indicating overall positive QoS for the applicability period;

- Have liquidated damages linearly proportional to the related budget, when GQI is negative…

- And limit the maximum amount of liquidated damages to 20 % of related budget when GQI gets below -1, indicating that the global QoS during the applicability period has been very negative.

Liquidated damages function

Liquidated damages are calculated at the end of the applicability period and applied on the last payment related to the applicability period, when applicable.

The liquidated damage will take the form of an amount to be deducted from the last invoice related to the applicability period.

3.7.   GENERAL INDICATIONS ON THE USE OF SQIS

This section aims at providing a general view on how SQIs will be used throughout this contract, by:

- identifying the main categories of SQIs;

- mapping of the SQIs to their deliverables or services defined in this Framework Contract;

- defining their relative importance, i.e. attaching them weights, which will intervene in the GQI calculation.

Note also that non-contractual SQIs could be defined in the CQP or by any mutual agreement, for the sole purpose of having a convenient normalised instrument to measure the level of the QoS provided by the QA3 contractor. They will not be accounted in the calculation of the GQI.

3.7.1.   CATEGORY OF SQIS

The following points are describing the main categories of SQIs, without prejudice of new categories to be defined at a later stage during the period of the contract:

- *Delivery date-related SQIs* reflect whether those deliverables were delivered in due time or if there were any delay in their submission (usually for acceptance). The sensitive factors of the SQIs will be the *target* set, and more over the *limit*, which

for instance, is what will differentiate the SQI on "major deliverables", from the SQI on "common deliverables".

- *Discrete SQIs*: a way to emphasise the importance attached to a deliverable is to have a discrete SQI solely dedicated to it.

- *Service-related SQIs*: the range of definition of those SQIs, which are measuring the quality of the service provided, is very broad, and can be easily extended. Here are presented some sub-categories, for the sake of illustration:

  - *Training/workshop/demo performance-related SQIs*: measures the level of the quality of those types of services. Note that some of those SQIs are calculated on the evaluation made by the attendees.

  - *Response time-related SQIs*: measures if the response time to a service request has taken place in the range specified. Typical examples of this are the helpdesk support activities-related SQIs, or SQI related to the time needed to produce SC/RfA offers.

  - *Availability-related SQIs*, measuring the availability of the services, measuring the availability of the Operations, or any SQI related to absence/delay of theQA3 contractor to a planned meeting.

By no means must this list of categories be considered limiting / complete and comprehensive.

3.7.2. MAPPING OF THE SQIS TO THEIR DELIVERABLES OR SERVICES

The mapping between the SQIs (defined in this document), and the deliverables or services they relate to, is provided by the column "SQI" in Table 4. The mapping is only indicative and will be contractually defined at the SC level, unless otherwise stated.