

TAXUD/C5 – INVITATION TO TENDER TAXUD/2016/AO-01

REF: ITSM3-TES-TA

TAXUD ITSM3 TES – ANNEX 2a – TECHNICAL ANNEX

Section: Acronyms and definitions

ITSM3 TES ORIGINATOR: TAXUD/C5	ISSUE DATE: 22/09/2016	VERSION: FINAL v2
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Invitation to tender TAXUD/2016/AO-01

**IT SERVICE MANAGEMENT SERVICES
FOR
THE DIRECTORATE-GENERAL FOR TAXATION AND CUSTOMS UNION**

**ITSM3 Transeuropean
(ITSM3 TES)**

**Annex 2a:
Technical Annex**

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1 Acronyms and definitions

In this document, the Directorate-General Taxation and Customs Union of the European Commission, which is the Contracting Authority, will be further referred to as ‘**the Commission**’ or ‘**DG TAXUD**’.

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

Acronyms and Definitions	
Acronym	Definition
ARES	Advanced REcord System, internal document management system of the Commission
BCP	Business Continuity Plan
BL	Baseline
BMM	Bilateral Monthly Meeting
BT	Business Thread
BTL	Business Thread Leader
CAB	Change Advisory Board
CCN	Common Communications Network
CCN2	Common Communications Network 2
CCN2-DEV	Development Contractor for CCN2
CI	Configuration Item
CIRCA BC	Communication and Information Resource Centre for Administrations, Businesses and Citizens
CMDB	Configuration Management Database
COBIT	Control OBJECTives for Information and related Technology
COTS	Commercial Off-The-Shelf (software packages)
CSIP	Continuous Service Improvement Programme
CT	Conformance Test
CTOD	Conformance Test Organisation Document
CUSTDEV	Development contractor for Customs systems (currently CUST-DEV3)
DC	Data Centre
DG	Directorate-General
DIGIT	Directorate-General for Informatics

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DIGIT/DC	Data Centre of the European Commission / DIGIT Data Centre
DLV	Deliverable
DRP	Disaster Recovery Plan
DTM	Deliverable Tracking Matrix
e-Customs	Electronic Customs as per Decision No 70/2008/EC of 15 January 2008
EU	European Union
FAQ	Frequently Asked Questions
FAT	Factory Acceptance Test
FITSDEV	Development contractor for Fiscalis systems ¹ (currently FITSDEV3)
FP	Fixed Price
FQP	Framework Quality Plan
GQI	General/Global Quality Indicator
HO	Handover
HW	Hardware
ICT	Information and Communications Technology
IP	Internet Protocol
IPSec	Internet Protocol Security
IS	Information Systems
ISO	International Organisation for Standardisation
IT	Information Technology
ITIL	IT Infrastructure Library
ITOP	Weekly operational planning - Installation and Testing Operational Plan
ITSCM	ITSM Continuity Management process
ITSM	IT Service Management
ITSM2	IT Service Management 2 (ITSM2 Programme preceding ITSM3)
ITSM2 Lot2	ITSM2 Programme preceding ITSM3 TES
ITSM3	IT Service Management 3 (ITSM3 Programme following ITSM2)

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

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ITSM3 Operations	ITSM3 Operations (ITSM3 Programme following ITSM2 Lot1)
ITSM3 TES	ITSM3 Trans-European Systems (ITSM3 Programme following ITSM2 Lot2)
ITSM3 Integration	ITSM3 Integration (ITSM3 Programme following ITSM2 Lot3)
IWP	Internal Working Procedures
KPI	Key Performance Indicator
LISO	Local Information Security Officer
MASP	Multi-Annual Strategic Plan
MOM	Minutes of Meeting
MPR	Monthly Progress Report
MSA	Member State Administration
NA	National Administration
NCTS	New Computerised Transit System
OD	On Demand services
OLA	Operational Level Agreement
PQP	Programme Quality Plan
PreCT	Pre-Conformance Test
pSAT (preSAT)	Pre Site Acceptance Test
QA	Quality Assurance
QC	Quality Control
QoS	Quality of Service
QTM	Quoted Time and Means
RfA	Request for Action
RfC	Request for Change
RfE	Request for Estimation
RfI	Request for Information
RfO	Request for Offer
RfS	Request for Service
SAT	Site Acceptance Testing
SC	Specific Contract

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SD	Service Desk
SfA	Submit for Acceptance
SfR	Submit for Review
SMT	Service Management Tool
SLA	Service Level Agreement
SLM	Service Level Management
SMM	Service Monthly Meetings per BT
SYNERGIA	Service Management Tool of DG TAXUD
SPOC	Single Point of Contact
SQI	Specific Quality Indicator
STEERCO	Steering Committee
T&S	Travel and Subsistence
TA	Technical Annex
TAXUD	'TAXation et Union Douanière': Directorate-General for Taxation and Customs Union
TEMPO	TAXUD Electronic Management of Projects Online
TES	Trans-European System
TESM	Trans-European System Management
TO	Takeover
ToC	Terms of Collaboration
ToR	Terms of Reference
TRP	Test Reference Package
VPN	Virtual Private Network
WBS	Work-Breakdown Structure
WIKI	Collaborative Web site
WP	Work package
xDEV	Development contractors (FITSDEV , CUSTDEV , CCN2-DEV)

Table 1: List of acronyms

TAXUD/C5 – INVITATION TO TENDER TAXUD/2016/AO-01	REF: ITSM3-TES-TA
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Section: Reference documents	

2 Reference documents

Reference Documents				
Ref.	Title	Reference	Version	Date
[R1]	Call for tenders-ITSM3- Terms of Reference	Call for tenders-ITSM3- TES Annex 2b	1.00	TBD
[R2]	ITSM2 Lot2 FQP and Annexes	ITSM2 Lot2 FQP and Annexes	4.0	TBD
[R3]	Call for tenders-ITSM3- Operations-Technical Annex	Call for tenders-ITSM3- Operations Annex II.A	1.00	06/11/2015
[R4]	Call for tenders-ITSM3- Operations-Terms of Reference	Call for tenders-ITSM3- Operations Annex II.B	1.00	06/11/2015
[R5]	FITSDEV3 - Business Monitoring - Scenarios Specifications	FITSDEV3 - Business Monitoring - Scenarios Specifications	1.01	11/04/2016
[R6]	CTA vision document	Conformance Testing Application (CTA) Vision	Approved	25/02/2016

Table 2: Reference Documents

The **ITSM2 Lot2 Baseline (BL)** provides the documents and reports on **DG TAXUD IT** activities of relevance for this call for tender. It is available at the URL

<https://circabc.europa.eu/w/browse/e2cca12f-b6bf-4b77-97c8-932bd59b6578>

with the following parameters to sign in:

Domain: External
 User Identifier: itsm2lot2BL
 Password: TbyNx_in0P

(Click on **Library** on the left side of the screen. The BL documents are stored in the library **LOT2**). **This baseline is organised according to ITSM2 Lot2 Work Packages. Annex 1 of [R1] provides a matrix of correspondence between ITSM2 Lot2 and ITSM3 TES Work Packages, Services, and Deliverables.**

The **ITSM3 TES** tenderer shall take into account that this baseline reflects the situation applicable at the time of publication of this call for tenders. This situation will evolve until the start of the Framework Contract.

The documents listed above can be consulted from the baseline except for:

- [R1], which is part of the technical specifications of this Invitation to Tender
- [R3] and [R4], which are part of the technical specifications of the call for tenders **ITSM3 Operations**, are available here:

http://ec.europa.eu/taxation_customs/common/tenders_grants/tenders/ao_2015_03_en.htm

The **ITSM2 Lot1 Baseline (BL)** provides additional documents useful for **ITSM3 TES** contractor to get and maintain a holistic understanding of the IT services ecosystem in which it has to deliver its services. It is available at the URL

<https://circabc.europa.eu/w/browse/dbcf3e52-bf1a-4db7-b321-4b12f889ac7f>

with the following parameters to sign in:

Domain: **External**
User Identifier: **itsm2lot1baseline**
Password: **HJA(3,t:H]C^**

3 Foreword

The Technical Specifications of the call for tenders **ITSM3 TES** are split into three core documents:

- The **Technical Annex (TA)** – this document – defines the **ITSM3 TES** requirements in terms of quality, services, staffing, and infrastructure. It also describes the Service Level Agreement (SLA, with indicators), and a preliminary list of deliverables to be provided by the **ITSM3 TES** contractor;
- The **Terms of Reference (ToR)**, document [R1]) provides an overview of the current services that must be taken over by the **ITSM3 TES** contractor from **ITSM2 Lot2**, and insights on expected evolutions in the medium and long term;
- The **ITSM2 Lot2 Framework Quality Plan and its Annexes (FQP)**, document [R2]) provide an exhaustive and detailed description of the services provided by the incumbent **ITSM2 Lot2** contractor, as they must be taken over without degradation of service by the **ITSM3 TES** contractor. These documents are completed by **Internal Working Procedures (IWP)** that can be also found in the baseline.

Throughout this call for tenders, references are also made to:

- The **Technical Specifications** of the call for tenders **ITSM3 Operations** (Technical Annex [R3] and Terms of Reference [R4]);
- **ITIL: IT Infrastructure Library** for the implementation of the IT Service Management Processes (ITSM). More information on ITIL is available on: <https://www.axelos.com/>
- **COBIT: Control Objectives for Information and related Technology**. Refer to <http://www.isaca.org> for the COBIT 5.0 specifications;
- **TEMPO: DG TAXUD** methodology to ensure the consistent and efficient management, set-up, development, operation, and support of projects and service management. The tendering parties are invited to access **TEMPO** at the following URL:

<https://circabc.europa.eu/w/browse/397be292-a066-451d-8cf3-988f115f098d>

With the following parameters to sign in:

Domain:	External
User Identifier:	itsm3tempoguest
Password:	LmqFyn#3w6

- **ISO standards:**
 - ISO 20000-2:2013 (IT Service Management Part 2 – Code of Practice)
 - ISO 27001:2013 (IT Security Techniques – Information security management systems)
 - ISO 27002:2013 (IT Security Management – Code of Practice for information security management);
- The Baseline of **ITSM2 Lot2** as mentioned in **Section 2 - Reference documents**;
- The Baseline of **ITSM2 Lot1** (predecessor of **ITSM3 Operations**) as mentioned in **Section 2 - Reference documents**.

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

- The **ITSM3 TES** call for tenders (of which this document is part) and the documents referenced in the call for tenders;
- The documents included in the Baseline of **ITSM2 Lot2**;
- **TEMPO**.

References to **DG TAXUD** organisation are based on the organisational structure at the time of writing this call for tenders. This organisational structure might evolve until the start of the Framework Contract and over its lifetime.

4 Introduction

4.1 Scope of the call for tenders

DG TAXUD is responsible for the Customs and Taxation policies of the EU. The Taxation policy includes the Excise, Indirect, and Direct Taxation policies. These policies address mainly the EU but have international dimensions as well (for instance specific agreements with third countries like the United States or Russia).

DG TAXUD provides the National Administrations², economic operators³, citizens and the Commission internal staff with a wide portfolio of IT services. The quality of these services is critical for the sustainability of EU policies and objectives in the field of Customs and Taxation.

These IT services call for the implementation and operation of IT Information Systems:

- **Trans-European IT Systems** (named Trans-European Systems, or **TES**, in the rest of the text) for the policies calling on the NAs and the Commission to exchange **information** and **IT services** amongst themselves;
- **Central applications of the Commission** delivering **IT Services** to the NAs, the traders' communities and the Commission services, for instance applications to manage reference data or dissemination applications to the wide public (e.g. via the Europa website);
- **Trans-European Service Management tools (TESM)** delivering **IT Service Management Services** to the NAs and the Commission services, for instance test and monitoring applications.

In the context of this call for Tender, the following definitions apply:

- A **Trans-European System (TES)** is a collection of collaborating and distributed IT systems across the National Administrations where business processes and functional / technical Specifications are managed by the Commission but technical implementations are done at the National Administrations level;
- An **IT Service (ITS)** is an IT system developed and operated by the Commission, definition which encompasses:
 - **Central applications** of the Commission delivering IT Services to the NAs, the traders' communities and the Commission services, for instance applications to manage reference data or dissemination applications to the wide public (e.g. via the Europa website);
 - **Trans-European Service Management tools (TESM)** delivering IT Service Management Services to the NAs and the Commission services, for instance test and monitoring applications.

The present call for tenders relates to the provision of **support services** for the integration of **DG TAXUD** IT systems with those of the NAs to deliver the expected business solutions. These support services comprise:

- The **management of the deployment and operations** of TES and IT Services of the Commission **from a business perspective**⁴ for NAs, traders' communities and other economic operators;
- The **assistance to DG TAXUD** concerning:
 - Scope definition, systems definition, specifications of the TES and IT services,

² The term National Administrations (NAs) encompasses all National Administrations that have IT obligations to fulfil Union customs and taxation policies, in all Member States, Candidate and Accession countries and in non-EU NAs as specified in EU customs and taxation policies.

³ The terms 'economic operators', 'traders' and 'businesses' are used as synonyms in the context of this document.

⁴ **ITSM3 Operations** is responsible for the Infrastructure, the Platform and the Application Management of the applications delivering the IT Services from the Commission. The NAs have the same responsibilities for their own IT Services.

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- IT collaboration amongst National Authorities,
- Project and service management tasks,
- Service Level Management,
- Reporting,
- Working groups, workshops, meetings and trainings;
- The **scope definition, systems definition, specifications, implementation, and operation of Transformation Projects.**

ITSM3 TES contractor shall use some IT services from the Commission **as a resource** to deliver its services⁵. In particular, **ITSM3 TES** contractor shall use the Service Management Tool (Synergia, managed by **ITSM3 Operations**), the CCN monitoring of the Commission and some central applications delivering statistics (CS/MIS, TSS) to support the service management of the Configuration Items falling in the scope of its contract⁶.

The **ITSM3 TES** does **NOT** have in its scope the management of

- The lifecycle of the customs central business applications;
- The ICT infrastructure supporting the IT services of the Commission;
- The CCN network.

Nevertheless, the Commission reserves its right during the lifetime of the Framework Contract to place – partially⁷ or totally – under the services of the **ITSM3 TES** contractor any of the existing and/or future customs central business applications. Therefore, it is important that **ITSM3 TES** contractor stays aware of the existence of all customs applications of the Commission placed under the management of the **ITSM3 Operations** contractor and of the MASP (Multi-Annual Strategic Plan) to maintain a holistic understanding of the IT services ecosystem in which it has to deliver its services⁸. The (potential) introduction of additional services for Customs Central Application will follow the process described in **WP.0.8 – Internal Change Management**.

In addition, this call for tenders covers other needs:

- Takeover from the incumbent **ITSM2 Lot2** contractor and Handover at the end of the Framework Contract;
- Security and Service Continuity Management services;
- Continual Service Improvement Programme (CSIP) and Transformation Projects.

All the above must be supported by coordination services, given the number of actors involved with **DG TAXUD** IT systems (Contractors, NAs, Commission DGs and agencies, etc.).

This Technical Annex reflects the scope of the services that are envisaged at the start of the **ITSM3 TES** contract to be applied to the CI list in **Annex 2 – ITSM3 TES Configuration Items**.

4.2 The DG TAXUD IT Ecosystem

DG TAXUD IT plays a central role in the management and coordination of TES and IT services. The **ITSM3 TES** contractor shall support **DG TAXUD** in the coordination:

⁵ The list of applications / tools is provided in **Annex 1 - List of applications / tools to be used by the ITSM3 TES contractor** of the present document.

⁶ As defined in **Annex 2 – ITSM3 TES Configuration Items** of the present document.

⁷ Customs Central applications might use partially the services of **ITSM3 TES**. At the time this technical annex is written, decision has just been taken to implement additional services delivered by **ITSM2 Lot2** on top of the application management layer managed by **ITSM2 Lot1** for the customs applications COPIS, EOS and CRMS. The supporting vision documents are provided in the **ITSM2 Lot2** Baseline.

⁸ Information available in **ITSM2 Lot1** Baseline.

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- **With participating Member States and non-EU NAs.** It is important to track the development of applications under DG TAXUD responsibility, but also under the responsibility of NAs;
- **Between DG TAXUD and other EC DGs or agencies** (e.g. DIGIT). For example, there may be specific governance requirements for applications that are hosted at DIGIT/DC;
- **Between the DG TAXUD's IT units and its Business Units.** The responsibility of the TES development and operation is shared between all these units. Strong coordination is required between units to ensure an acceptable quality of service.

In addition, the following third parties will be continuously interacting with the **ITSM3 TES** contractor:

- **CUSTDEV and FITSDEV** development contractors in the context of
 - Deployment and operation of TES and IT services;
 - Configuration, incident and problem management, change and release management;
- **ITSM3 Operations** contractor in the context of:
 - Escalation by **ITSM3 Operations** contractor of all incidents and service requests to **ITSM3 TES** contractor pertaining to the CIs in the scope of **ITSM3 TES** contractor;
 - Escalation by **ITSM3 TES** contractor back to **ITSM3 Operations** contractor of all incidents pertaining to the CIs in the scope of **ITSM3 Operations**;
 - Delivery of the IT services used by **ITSM3 TES** contractor by **ITSM3 Operations** contractor, for instance the SMT or the CCN monitoring tools;
 - Coordination during the deployment of TES and IT services, in particular for the configuration of the CCN connectivity of the NA;
 - Configuration, incident and problem management, change and release management;
- **ITSM3 Integration** contractor in the context of:
 - issues regarding the interface between **ITSM3 TES** and **ITSM3 Operations** contractors;
- **QA** contractor in the context of:
 - Quality control of the testing activities;
 - Review of deliverables;
 - Quality control of the **ITSM3 TES** contractor services and deliverables;
 - Quality and security audits.

4.3 Critical factors of success

Beyond the execution of the contract in compliance with the Technical Annex (this document), FQP, Specific Contracts and their technical annexes and the service performance and achievements in relation to targets set forth in the OLAs, SLAs and Terms of Collaboration, the Commission regards the following as critical quality success factors for the delivery of the contract:

4.3.1 CUSTOMER-DRIVEN SERVICE MANAGEMENT

The **ITSM3 TES** contractor will be in daily direct contact with NAs, traders, end-users and Commission staff. It shall always act and behave in the best interest of the Commission during the lifetime of the contract and strive for

- High user satisfaction levels;
- Pro-active behaviour in all situations;
- Professional and predictable behaviour and quality;
- Transparent, accountable, and service-oriented relationships with all involved parties (NAs, traders, end-users, Commission services and other contractors).

Customer Satisfaction surveys will be periodically performed towards the external and internal stakeholders. Their result will play a major role in the assessment of the quality of the services delivered.

4.3.2 CONTINUITY OF SERVICES

DG TAXUD and all business stakeholders (NAs, traders, end-users, and Commission staff) heavily rely on the availability of systems and services. By providing a bid, the **ITSM3 TES** tenderer commits to ensure continuity of all services described in the FQP (including Annexes and IWPs) of the incumbent **ITSM2 Lot2** contractor

(see [R2]) by the end of the Takeover period. At the end of the Takeover, services have to be delivered with at least the same high level of quality as currently provided by the incumbent **ITSM2 Lot2** contractor.

The **ITSM3 TES** contractor shall also ensure continuity of its own infrastructure (technical, building, other) supporting the delivery of the services in the scope of the contract.

4.3.3 ACTIVE CONTRIBUTION TO THE DG TAXUD IT ECOSYSTEM

The **DG TAXUD** IT ecosystem with its multi-partners dimension and its distributed responsibility scheme imposes a seamless collaboration between the different partners. **ITSM3 TES** contractor shall contribute to the proper functioning and the continuous improvement of this ecosystem, which implies:

- High quality level of deliverables submitted for review to the Commission;
- Strict respect of deadlines without degradation of the quality of the deliverables;
- Business, functional and technical in-depth knowledge of the TES and IT services;
- Autonomy and direct interactions with all stakeholders (**DG TAXUD** shall not be a hub for interactions between stakeholders);
- Proactive capacity of initiative, provision of advices on how things could be better globally without being strictly limited to the scope of the contract;
- Strive for the increase of quality and value of Commission's assets;
- Strive for the harmonization of process and tools whenever relevant, internally and externally;
- Propose innovations, out of box thinking approach.

5 Quality Requirements

5.1 Methodology

TEMPO is the applicable methodology for the **ITSM3 TES** contractor. The **ITSM3 TES** contractor will need to adapt to the evolutions of **TEMPO**, which is subject to a continuous improvement programme leading to one or two major releases per year.

In case of a conflict between the technical specifications defined in **Section 3 - Foreword**, the **ITSM3 TES** contractor should report the conflict giving priorities to **TEMPO** over any international standards or ITIL.

5.2 Quality Plans

The quality plans determine:

- The roles of the different parties interacting with the **ITSM3 TES** contractor;
- The communication and collaboration framework between the **ITSM3 TES** contractor and the different stakeholders;
- The key services and deliverables;
- The specific plans to be produced, implemented and revised;
- The procedures and business processes to apply;
- The quality framework, the implementation of quality requirements, and the instruments to specify and monitor them.

These quality plans⁹ are organised in four levels:

- **Level 1 – DG TAXUD: TEMPO** defines the level applicable to all systems and projects managed by **DG TAXUD**;
- **Level 2 – Programme Quality Plan (PQP) per Domain**: The Commission has already produced a Programme Quality Plan (PQP) for Customs systems, Excise Systems and Taxation¹⁰ systems, which shall apply to all contractors involved in that area of work. Each PQP defines - among other procedures - the details of the working relationships between all the stakeholders. In the absence of a PQP, the Terms of Reference, the Technical Annex and the baseline of **ITSM3 TES** provides a high level indication of the content of the missing PQP;
- **Level 3 – Framework Contract (FWC)**: The **ITSM3 TES** contractor must produce a Framework Quality Plan (FQP), covering the activities as seen from the **ITSM3 TES** contractor's perspective. The FQP must be compliant with the PQPs of Level 2, which are available and applicable at the moment of the FQP preparation. The FQP is applicable and maintained throughout the lifetime of the FWC (as described in WP.0.1 – Production and maintenance of the Framework Quality Plan (FQP)). The FQP is a mandatory deliverable of the Takeover period and shall be kept updated during the lifetime of the contract;
- **Level 4 – Specific Contract (SC)**: For each Specific Contract (SC) signed under the FWC, the Technical Annex will define the Contractual OLA and any addition/deviation to/from the PQP and/or the FQP (as defined in WP.0.2 – Production of proposals for Request for Offers (RfO)).

5.3 Service Catalogues and Service Level Agreements (SLA)

The **Service Catalogues** and the **Service Level Agreement (SLA)** address the activities provided by the Commission to users of TES. These users are currently identified as:

- The NAs;

⁹ Refer to **TEMPO** for more detailed information concerning the required contents of quality plans.

¹⁰ The Taxation PQP will require a revision.

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- The traders' communities;
- The users within the Commission, including also the other Directorates-General;
- The citizens, via Europa

The Service Catalogue defines the services provided by the Commission. The SLA defines the minimum level of service expected from the Commission. It provides a mutual understanding of service level expectation and their measurement methods. It sets the Quality of Service targets using Specific Quality Indicators (SQI), based on the Commission SQIs. The SLAs of the Commission as well as of the NAs must be compliant with the ToC.

The **ITSM3 TES** contractor will assist the Commission in maintaining a Service Catalogue and a SLA for each of the business threads (as described in **WP.4.3.1 – Maintain, monitor and report on the Service Catalogues and SLA between the Commission and its customers/users**). For information related to the incumbent Service Catalogues and SLAs, refer to the **ITSM2 Lot2** baseline.

5.4 Terms of Collaboration (ToC)

The Terms of Collaboration define the mutual obligations of the NAs and the Commission around the Common Domain. They can be considered as being both a multi-lateral SLA and OLA binding NAs and the Commission around the Common Domain for each of the customer/user communities within each business thread.

The Terms of Collaboration are made up of

- Common specifications of service catalogues, SLA, OLA;
- Common capacity/continuity/availability/security plans.

The **ITSM3 TES** contractor will assist the Commission in maintaining the Terms of Collaboration (as described in **WP.4.3.2 – Maintain, monitor and report on the Terms of Collaboration of TES**). For information related to the incumbent ToCs, please refer to the **ITSM2 Lot2** baseline.

5.5 Operational Level Agreements (OLA)

Operational Level Agreements (OLA) are set between the Commission and its third party providers, including **ITSM3 TES** contractor, and the NAs. They must define the minimum operational levels that the third party commits to deliver to the Commission. The **ITSM3 TES** contractor will assist the Commission in monitoring the OLA of **ITSM3 Operations** for the services it will use (WP.4.3.6 – Monitor and report on the service quality of the IT services delivered to the ITSM3 TES contractor (OLAs)).

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6 Service Requirements

6.1 Service windows

Four service windows are specified:

- **BASIC:** Monday to Friday including public holidays 7.00-20.00 Brussels time;
- **NIGHT:** Monday to Friday including public holidays 20.00-7:00 Brussels time (night from Friday to Saturday included);
- **WEEKEND:** Saturday and Sunday including public holidays 7.00-20.00 Brussels time;
- **FULL:** Saturday and Sunday including public holidays 20.00-7.00 Brussels time (night from Sunday to Monday included).

Service windows **do not** exclude December 25th and January 1st.

By default, all **ITSM3 TES** services are delivered on the **BASIC** service window. The three latter service windows are incremental options available to the Commission to increase the time coverage for some **ITSM3 TES** services (as described in WP.8.1 – Incident Management and WP.8.2 – Sanity-check of ITSM3 Operations deployment). In addition, the Commission may request the **ITSM3 TES** contractor to provide ad hoc services outside the **BASIC** time plan to meet specific requirements (as described in WP.8.3 – Ad-hoc services delivered during Extended Time Coverage).

6.2 Work Packages (WP)

ITSM3 TES services are divided into nine work packages, each Work Package being sub-divided up to two sub-levels:

- **WP.0 – Contract ‘Operation Level Agreement’ Management:** This WP covers all activities to be performed by the **ITSM3 TES** contractor to manage his ‘Operation Level Agreement’ with the Commission;
- **WP.1 – Handover / Takeover:** This WP covers all activities to be performed by the **ITSM3 TES** contractor to take over the activities of the incumbent **ITSM2 Lot2** Contractor and to hand over its activities to **DG TAXUD** or a third party on its behalf at the end of the FWC;
- **WP.2 – Continual Service Improvement and Transformation Projects:** This WP covers activities related to the continual service improvement of **ITSM3 TES** services (including Transformation Projects) and the contribution of **ITSM3 TES** to the improvement of **DG TAXUD** IT ecosystem;
- **WP.3 – Management of the deployment and operations of the TES and IT Services from a business perspective:** This Work Package covers Service Transition and Service Operation services for
 - All Trans-European Systems and IT Services in the scope of the contract;
 - All the IT services that **ITSM3 TES** shall configure and/or use and/or business support to provide services to NAs;
 - All the TESH tools;
-

Deliverable Id	Deliverable Name	SQI
DLV. 3.8.4.1.x	NAs periodic Statistical Report	SQI01r SQI01a

- **WP.4 – Assistance to DG TAXUD:** This Work Package covers Service Strategy and Service Design services for supporting DG TAXUD;
- **WP.5 – Security and Service Continuity Management;**
- **WP.6 – Development, Maintenance, and Operations of TESH tools:** This WP covers the lifecycle of the TESH tools;
- **WP.7 – Other deliverables and services in the scope of the contract:** This WP covers the new activities that could be added - on a temporary or permanent basis – to the scope of the **ITSM3 TES** services, while staying in the overall scope of the Framework Contract;

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- **WP.8 – Extended Time Coverage:** This WP allows the Commission to extend the **BASIC** service window time coverage for **ITSM3 TES** services with the **NIGHT, WEEKEND** or/and **FULL** ones.

6.3 Configuration Items

The **Annex 2 – ITSM3 TES Configuration Items** defines the Configuration Items that are currently managed by the **ITSM2 Lot2** contractor. This list might evolve until the start of the **ITSM3 TES FWC**. **DG TAXUD** reserves its right to add/remove CIs from this list at any time during the lifetime of the Framework Contract.

7 Detailed description of the Work Packages

Each Work Package identifies

- **Services**, which are continuous activities by nature, running throughout the duration of the service window, during the lifetime of the Specific Contract. The SQI related to services are either a targeted SQI mentioned in **Section 9.1 - Service oriented SQI** (for instance SQI24 for incident management) or the ‘generic’ SQI13 which addresses recurring incidents on continuous services (refer to **WP.0.7 – Internal Incident Management**);
- **Deliverables**, which are activities leading to the delivery of a document that is subject to a review process. The SQIs related to deliverables are defined in **Section 9.2 - Deliverable oriented SQI**.

7.1 WP.0 – Contract ‘Operation Level Agreement’ Management

7.1.1 WP.0.1 – PRODUCTION AND MAINTENANCE OF THE FRAMEWORK QUALITY PLAN (FQP)

The **ITSM3 TES** contractor has to produce, deliver, and maintain the Framework Quality Plan (FQP) for the Framework Contract (FWC), ensuring that all activities performed under this FWC comply with the **TEMPO** methodology, the Programme Quality Plans (PQP) applicable to the projects to be served, and the terms of the contract.

The FQP template is being defined in **TEMPO**. It describes:

- The profiling of **TEMPO** applicable to the FWC along with deviations and additions to the methodology;
- The activities, planning and deliverables for every work package;
- The procedures, methods and tools used to deliver the services;
- The standards and controls necessary to assure the quality of the services delivered;
- The organisational (team) structure applicable to the contract, including interaction model with other contractors and NAs;
- The security policy, security plan, and associated control activities (e.g. security audits).

The FQP is completed by:

- **Annexes** describing among other topics:
 - A glossary;
 - The templates of the contractual reports (as defined in **WP.0.A – Contractual Reporting**);
 - The table of deliverables;
 - The detailed description of the processes supporting the delivery of the services including identification of roles and responsibilities;
 - The communication plan (internal and external);
 - The knowledge management plan;
- The **Internal Working Procedures (IWP)** describing step by step the different operational procedures;
- 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 FWC. A contractual OLA is instantiated in every Specific contract;

DG TAXUD and **ITSM3 TES** have the possibility to amend the structure of the FQP and to agree on a different list of annexes to attach to the FQP package.

First version of the FQP

The FQP is a mandatory deliverable of the first Specific Contract of the FWC dedicated to the Takeover of **ITSM2 Lot2** activities. The first version of the FQP shall describe the set-up of the **ITSM3 TES** contractor at the time of starting the delivery of the ‘AS IS’ service handed over by the incumbent **ITSM2 Lot2** contractor. It must result from and be limited to the alignment of the **ITSM2 Lot2** FQP to the scope of **ITSM3 TES** contract.

The **ITSM3 TES** contractor shall produce a test plan to verify the alignment of the FQP with its actual set up, perform the verification (referred to as a FAT), and produce the FAT report in line with the FQP for a bundle

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acceptance by the Commission. The Commission reserves its right to verify the FQP and FAT report on-site during the review period.

The Acceptance of the first FQP is bundled with

- The acceptance of the Takeover FAT report (see **WP.1.1.3 – Takeover of the processes, TESM tools, and** documentation);
- The acceptance of the Initial security plan for the services delivered by the **ITSM3 TES** contractor, addressing Risk Assessment and Analysis, Security Policy, Security Controls, Security process (see WP.5.1.1 – Security Management of Contractor’s services);
- The acceptance of the Initial Business Continuity Plan (BCP) for the services delivered by the ITSM3 TES contractor, including risk analysis and Disaster Recovery Plan (DRP) (see WP.5.2.1 – Service Continuity Management and Disaster Recovery of Contractor’s services);
- The acceptance of the SAT report of the ICT infrastructure (see Section **11.2.5 - ICT infrastructure services**).

Continuous maintenance of the FQP

ITSM3 TES contractor shall keep the FQP, annexes, and internal working procedures continuously aligned with:

- The evolutions of the contractual OLA, OLAs, SLAs and ToCs, quality and security procedures, TEMPO, and PQPs;
- The evolution of operational procedures, which should be described in the internal working procedures;
- Any corrective actions identified by **WP.0.7 – Internal Incident Management** and managed by **WP.0.8 – Internal Change Management**;
- Any findings of the internal or external audits identified by **WP.0.5 – Internal Quality Assurance (QA) and Internal Quality Control (QC)** and **WP.0.9.2 – Co-operation with the Commission during Quality, Process and Security Audits**;
- The evolution of the project including changes introduced by **WP.2 – Continual Service Improvement and Transformation Projects** and **WP.7 – Other deliverables and services in the scope of the contract**.

The updated FQP shall be delivered for Review upon request of **DG TAXUD**, at least one time per Specific Contract. The Commission reserves its right to verify the FQP, its annexes and the IWP on-site at any time during the lifetime of the Framework Contract.

Evolution of the FQP

DG TAXUD may request an update of the FQP in case of major changes of the **DG TAXUD** ecosystem affecting the delivery of the services:

- Reorganisation of the EC and/or **DG TAXUD** and/or of the Governance of the TES;
- Modification of a legal basis having a major impact on the **ITSM3 TES** services;
- New requirements regarding project quality or security including new standards, guidelines, and tools to be used in the project.

The evolution of the FQP will be managed via a Request for Action (see **WP.0.3 – Production of proposals for Request for Actions (RfA)**).

Service Id	Service Name	SQI
SE.0.1.1	Continuous maintenance of the FQP, its annexes and IWPs	SQI10a SQI10b SQI13

Deliverable Id	Deliverable Name	SQI
DLV.0.1.2	1 st version of Framework Quality Plan (FQP), its annexes and IWPs along with a FQP test plan and its FAT report (Bundled with DLV.1.1.3.2.x)	SQI07
DLV.0.1.3	Maintenance version of the FQP, its annexes and IWPs	SQI01r SQI01a

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DLV.0.1.4	Evolutionary version of the FQP, its annexes and IWPs	SQI01r SQI01a
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7.1.2 WP.0.2 – PRODUCTION OF PROPOSALS FOR REQUEST FOR OFFERS (RFO)

Within the scope of the FWC, the **ITSM3 TES** contractor has to produce proposals on request for new Specific Contracts (SC) from the Commission.

Four months before the expiration of the Continuous Services of a SC, **ITSM3 TES** contractor has to provide **DG TAXUD** with its own forecasts of the quantities required for the next SC. These assumptions are being discussed with each Threads and **DG TAXUD** issues a Request for Offer (RfO) containing:

- The Technical Annex of the Specific Contract, clearly identifying the specifics compared to the Technical Annex of the Framework Contract (this document) and any addition/deviation to/from the PQP and/or the FQP. The Technical Annex of the Specific Contract will be the Contractual OLA;
- The estimated quantities concerning the parameters of the Continuous services;
- The estimated quantities of services units for On-Demand and Quoted Time and Means services;
- The estimated budget for Travel and Subsistence costs.

ITSM3 TES processes the RfO and prepares its proposal. **ITSM3 TES** returns this information to **DG TAXUD** in the form of an offer for SC. This proposal is reviewed by **DG TAXUD** and if needed the proposal is re-submitted by **ITSM3 TES**.

DG TAXUD issues the Specific Contract with the annexes (Technical Annex and Price table) for signature by the **ITSM3 TES** contractor.

During the lifetime of a Specific Contract, the price of the continuous services is fixed regardless of the actual consumptions.

Deliverable Id	Deliverable Name	SQI
DLV.0.2.1	Forecasts on Service Parameters	SQI03a
DLV.0.2.2	SC Offer	SQI03b

7.1.3 WP.0.3 – PRODUCTION OF PROPOSALS FOR REQUEST FOR ACTIONS (RfA)

Within the scope of a SC, the **ITSM3 TES** contractor has to produce proposals on request from the Commission for providing additional services and deliverables related to the scope of the Framework Contract.

DG TAXUD issues a Request for Estimate (RfE) with a Technical Annex describing the additional services and deliverables requested. **ITSM3 TES** may be asked to contribute to the drafting of the Technical Annex of the RfE.

ITSM3 TES processes the RfE and returns its proposal to **DG TAXUD** in the form of an offer for Request for Action (RfA). The offer shall contain:

- A Technical Annex describing the proposed approach, services and deliverables, planning, estimated effort and assumptions. **No financial information must be provided in the Technical Annex.** The quotes must be expressed in quantities of service units. Estimated quantities must be substantiated and clearly linked to the services and deliverables;
- The Financial Annex: the quotes of the Technical Annex are associated to unit prices, with reference to the price table of the FWC and the budget provision. All details of the quotation must be also sent in electronic format to facilitate the discussions and the ordering process.

The offer is reviewed by **DG TAXUD** and if needed the proposal has to be re-submitted by **ITSM3 TES**.

When the offer is correct, **DG TAXUD** issues the RfA. The RfA is executed within the agreed timeframe and according to the quality requirements. The RfA is finally closed with the formal acceptance of its deliverables from **DG TAXUD**. Only the signature of an RfA represents a commitment of **DG TAXUD**.

For each deliverable of an RfA, **DG TAXUD** can decide either to apply a specific GQI or to associate it to the GQI of the Specific Contract.

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For each milestone of a QTM-RfA (interim or final milestone), the **ITSM3 TES** contractor has to provide an RfA Interim/Closure report as part of the supporting documents to be annexed to the invoice. This Interim/Closure report shall state:

- Deliverables data:
 - Deliverable ID/name,
 - Contractual/Actual Sfr/SfA dates with supporting mails,
 - Deliverable delivery delays expressed in EC working days,
 - Impact, if any, due to a delay in the submission of a deliverable and supporting documents (agreement of the Chef de File if delay is (partially or totally) under the responsibility of DG TAXUD);
 - Quality Control reports issued by QA contractor in the IVE package;
 - Applicable SQI;
- In case the RfA includes the release of on-demand: total units ordered, consumed, and remaining;
- Only for the Closure report: specific GQI(s), if applicable, of the relevant RfA and potential Liquidated Damages.

DG TAXUD shall review all RfA Interim/Closure reports, request clarifications, or amendments to the **ITSM3 TES** contractor when necessary, and validate them by ARES mail. The **ITSM3 TES** contractor shall annex all relevant RfA Interim/Closure report(s) together with the ARES validation mails to the invoice.

Deliverable Id	Deliverable Name	SQI
DLV.0.3.1	RfA Offer	SQI05r SQI05a
DLV.0.3.1.x.y	Interim or Closure Report for RfA-QTM x, milestone y	SQI02

7.1.4 WP.0.4 – DEMAND MANAGEMENT

7.1.4.1 WP.0.4.1 – Demand Management across all threads

The **ITSM3 TES** contractor shall organise and coordinate the collection of short, medium, and long-term requests for **ITSM3 TES** services across the roles in **DG TAXUD**.

The **ITSM3 TES** contractor shall report in a consolidated way - per business thread - in a common deliverable called ‘Demand Schedule across all Threads’, which shall be updated on a weekly basis. This Demand Schedule shall clearly present:

- The requested quantities per business or support thread in **DG TAXUD** and a consolidated view;
- The needs for ordering additional quantities taking into account:
 - The urgency for the handling of the requests;
 - The time needed in **DG TAXUD** for the approval and signature of the On-Demand RfA according to the requested quantities.

A coordination meeting with **DG TAXUD** representatives shall take place on a weekly basis with the key objectives:

- To monitor the current and future demand;
- To align the activities with the TES planning and expectations;
- To discuss the need for ordering additional quantities.

The additional quantities required will be ordered by an On-Demand Request for Action (RfA). When all quantities are consumed or upon request of the **DG TAXUD** to close the RfA, the **ITSM3 TES** contractor shall provide a Closure report. This Closure report shall state the total units ordered, consumed, and remaining.

The accuracy of the "Demand Management across all threads" process is critical. It is **ITSM3 TES** responsibility to ensure that necessary quantities are always available for the correct delivery of its services and the lack of quantities shall not be an excuse not to deliver the services. **DG TAXUD will not issue ex-post orders of missing quantities should the demand management process of ITSM3 TES proved deficient.**

ITSM3 TES shall attach to the MPR a monthly forecast report to analyse the difference between the assumptions and the real consumptions and propose actions to improve the forecast process. These actions will

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be implemented through the CSIP process as described in **WP.2 – Continual Service Improvement and Transformation Projects**.

Service Id	Service Name	SQI
SE.0.4.1.1	Demand management across all threads	SQI12a

Deliverable Id	Deliverable Name	SQI
DLV.0.4.1.2	Demand Schedule across all threads (Annexed to the MPR)	SQI06r SQI06a
DLV.0.4.1.3	Monthly Forecast report across all threads (Annexed to the MPR)	SQI06r SQI06a
DLV.0.4.1.4.x	Closure Report for RfA-OD x	SQI02

7.1.4.2 WP.0.4.2 – Demand Management for IT Services

The **ITSM3 TES** contractor will use the IT services delivered by the **ITSM3 Operations** contractor or other suppliers of the Commission. **ITSM3 TES** shall coordinate with **ITSM3 Operations** contractor for specific activities, such as the deployment of services, in order to ensure synchronisation and effectiveness of related activities. **ITSM3 TES** shall ensure that the **ITSM3 TES** specific needs are correctly taken into account in the consolidated Demand Schedule of **ITSM3 Operations** contractor. The main objective is to give adequate time to **ITSM3 Operations** contractor (and **DG TAXUD**) to respond to **ITSM3 TES** contractor's needs.

The **ITSM3 TES** contractor shall report in a consolidated way in a common deliverable called '**Demand Schedule for IT Services**', which shall be updated on a weekly basis. This Demand Schedule shall clearly present the requested needs per IT Services taking into account:

- The urgency for the handling of the requests;
- The approval and delivery cycle necessary for certain services and IT resources to be activated.

A coordination meeting with **ITSM3 Operations** representatives shall take place on a weekly basis with the key objectives:

- To monitor the current and future demand;
- To align activities with TES planning and expectations;
- To discuss on the need for ordering additional quantities.

The additional quantities required will be ordered by **DG TAXUD** to **ITSM3 Operations** contractor (or other supplier of the Commission). When all quantities are consumed or upon request of the **DG TAXUD**, the **ITSM3 TES** contractor shall provide a Closure report. This Closure report shall state the total units requested, delivered, and remaining.

The accuracy of the 'Demand Management for IT service's process' is critical. It is **ITSM3 TES** responsibility to ensure necessary needs are expressed on time, agreed by **ITSM3 Operations** to be available on time for the correct delivery of its services. The absence of quantities and IT resources shall not be an excuse not to deliver services, should the demand management process of **ITSM3 TES** proved deficient.

ITSM3 TES shall attach to the MPR a monthly forecast report to analyse the difference between the assumptions and the real consumptions and propose actions to improve the forecast process. These actions will be implemented through the CSIP process as described in **WP.2 – Continual Service Improvement and Transformation Projects**.

Service Id	Service Name	SQI
SE.0.4.2.1	Demand management for DG TAXUD IT services needed by ITSM3 TES contractor	SQI12b

Deliverable Id	Deliverable Name	SQI
DLV.0.4.2.2	Demand Schedule for DG TAXUD IT services needed by ITSM3 TES contractor (Annexed to the MPR)	SQI06r SQI06a
DLV.0.4.2.3	Monthly Forecast report for DG TAXUD IT services needed by ITSM3	SQI06r

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	TES contractor (Annexed to the MPR)	SQI06a
DLV.0.4.2.4.x	Closure Report for RfA-OD x	SQI02

7.1.5 WP.0.5 – INTERNAL QUALITY ASSURANCE (QA) AND INTERNAL QUALITY CONTROL (QC)

7.1.5.1 WP.0.5.1 – Internal Quality Assurance (QA)

ITSM3 TES contractor shall:

- Undertake the quality assurance of the activities, ensuring that the Technical Annex, FQP and other applicable expectations are adhered to and consistently implemented across all activities;
- Take any corrective measures in case of deviation.

The ITSM3 TES contractor shall periodically perform quality inspections to check the compliance of the activities and deliverables with the quality objectives and with the contract standards and procedures. The ITSM3 TES contractor is requested to maintain a list of internal quality assurance meetings and to keep the minutes of those internal meetings available on-site in case of an audit by the Commission.

DG TAXUD will raise an incident (refer to **WP.0.7 – Internal Incident Management**) in case of issue related to an insufficient quality assurance.

Service Id	Service Name	SQI
SE.0.5.1.1	Internal Quality Assurance (QA)	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.0.5.1.2	Quality records, filed in contractor’s premises, on request from the Commission	SQI02

7.1.5.2 WP.0.5.2 – Internal Quality Control (QC)

ITSM3 TES shall ensure an internal quality review of all services and deliverables **prior to delivery** to the Commission, to ensure that this Technical Annex, FQP and other applicable expectations are adhered to and consistently implemented across all the ITSM3 TES contractor’s internal activities. The ITSM3 TES contractor is requested to keep all its internal quality control records available on request from the Commission.

DG TAXUD will raise an incident (refer to **WP.0.7 – Internal Incident Management**) in case of issue related to an insufficient quality control.

Service Id	Service Name	SQI
SE.0.5.2.1	Internal Quality Control (QC)	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.0.5.2.2	Quality Control checks, filed in contractor’s premises, on request from the Commission	SQI02

7.1.5.3 WP.0.5.3 – Self-assessment and Internal Audit

The ITSM3 TES contractor shall:

- Perform self-assessments and internal audits periodically, minimum twice per year, for all the service processes of the contract;
- Report outcome/findings to the Commission;
- Introduce the necessary improvements via WP.2.1.1 – Continual Service Improvement of ITSM3 TES Services and/or corrective actions via WP.0.8 – Internal Change Management;
- Update the FQP according to the corrective actions and improvements implemented (WP.0.1 – Production and maintenance of the Framework Quality Plan (FQP)).

The ITSM3 TES contractor must follow-up the implementation of the actions agreed with the Commission and/or those resulting from the quality audit process.

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Self-Assessments can be conducted by the **ITSM3 TES** contractor staff responsible for delivering the activities whereas **Internal Quality Audits** shall be performed by the **ITSM3 TES** contractor’s internal quality auditors to ensure reporting segregation with the internal organisation in charge of the contract delivery.

The area of investigation for these self-assessment and internal audit activities shall take into account among others the results of the internal risk management to provide assurance that the main risks are properly mitigated.

The **ITSM3 TES** contractor must keep all self-assessment and internal audit reports available on request of the Commission.

Deliverable Id	Deliverable Name	SQI
DLV.0.5.3.1	Self-Assessments reports	SQI10a SQI10b SQI11
DLV.0.5.3.2	Internal Audit reports	SQI10a SQI10b SQI11

7.1.6 WP.0.6 – INTERNAL RISK MANAGEMENT

The **ITSM3 TES** contractor has to identify, manage, and report the risks to the Commission. All the risks that may have an impact on **ITSM3 TES** contractor activities must be considered. This includes in particular the risks related to the contractual OLA and to **WP.5 – Security and Service Continuity Management**.

The **ITSM3 TES** contractor must keep its internal risk analysis records available on request from the Commission. An exhaustive risks register shall be annexed to the MPR.

DG TAXUD will raise an incident (refer to **WP.0.7 – Internal Incident Management**) in case of issue related to risk management.

Service Id	Service Name	SQI
SE.0.6.1	Internal Risk Management	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.0.6.2	Internal risk analysis records, in contractor’s premises, on request from the Commission.	SQI02
DLV.0.6.3	Internal Risk Register (Annexed to the MPR)	SQI06r SQI06a

7.1.7 WP.0.7 – INTERNAL INCIDENT MANAGEMENT

The **ITSM3 TES** contractor shall implement and run an incident management process applying to its services. The incident management process must comply with the processes defined in **TEMPO**. Incidents can be identified by the **ITSM3 TES** contractor itself, by **DG TAXUD** or by other stakeholders and transmitted via phone calls and/or e-mails to the **ITSM3 TES** contractor.

Any disrespect of a service described in a Work Package (including delay in the Submission for Review (SfR) or Submission for Acceptance (SfA) of any official document (DLV.w.x.y.z)) shall automatically lead to the creation of an incident should the service be covered or not by a specific SQI.

The complaint process is the escalation of the incident management process. A complaint may be raised in the following situations:

- High business impact caused by the incident and not properly handled by the **ITSM3 TES** contractor;
- Statement of dissatisfaction communicated by a National Authority (e.g. service often un-reachable, lack of empathy for the user, lack of follow-up/commitment, etc.);
- Statement of dissatisfaction communicated by a **DG TAXUD** manager (Head of Sector minimum) about the quality of the services delivered by the **ITSM3 TES** contractor;
- Three (3) occurrences of the same incident on the same Work Package without structural resolution;

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- No or not enough progress on the resolution of an incident (deadline for resolution postponed three (3) times or deadline superior to one (1) month after the initial incident has been opened).

ITSM3 TES has to acknowledge the reception of the complaint by the end of the next EC working day at the latest. In this acknowledgement of reception, **ITSM3 TES** states whether it accepts or rejects the complaint. In case **ITSM3 TES** rejects the complaint, a clarification is given why and **DG TAXUD** can agree that it is not a complaint or escalate the matter to the next escalation level. In case **ITSM3 TES** accepts the complaint, a meeting is planned with **DG TAXUD** within two (2) EC working days after sending the confirmation e-mail to **DG TAXUD**. **ITSM3 TES** prepares the following:

- Description of the problem as understood by **ITSM3 TES**;
- Resolution proposal with deadlines and acceptance criteria for the resolution actions.

A weekly progress report of the resolution actions is delivered to **DG TAXUD**. Once all resolution actions are completed and accepted by **DG TAXUD** (based on the agreed acceptance criteria), a closure e-mail is sent by **DG TAXUD** to **ITSM3 TES**. Upon reception of the closure e-mail, the complaint is officially closed.

Service Id	Service Name	SQI
SE.0.7.1	Internal Incident Management	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.0.7.2	Incident Log (Annexed to the MPR)	SQI06r SQI06a
DLV.0.7.3	Complaint Log (Annexed to the MPR)	SQI06r SQI06a

7.1.8 WP.0.8 – INTERNAL CHANGE MANAGEMENT

The **ITSM3 TES** contractor is expected to run a change management process concerning any changes to be applied to the **ITSM3 TES** services, in coordination with a change advisory board (CAB) from **DG TAXUD**. The change management process is to be performed according to the processes defined in **TEMPO**.

This Change Management process will manage changes identified either by **WP.0.6 – Internal Risk Management**, **WP.0.7 – Internal Incident Management**, **WP.2 – Continual Service Improvement and Transformation Projects**, or **WP.7 – Other deliverables and services in the scope of the contract**.

When there is a need for an extension of an existing service (for instance a new application to be added to the scope of the contract, a new periodic report to be provided...), the Commission shall provide a Change Request to the **ITSM3 TES** contractor, with a technical annex providing the following information:

- A general description of the extension of service to be provided;
- Stakeholders involved in the delivery (information or service provider, user, customer...);
- Service level requirements;
- Description of the current situation;
- Duration of the service.

The **ITSM3 TES** contractor will have to provide a Change Impact Analysis report of the change with the following information:

- The Due Diligence Report (the "as-is" analysis by the Contractor);
- The Service Plan (the "to-be" analysis by the Contractor);
- The detailed Implementation Plan (how the Contractor proposes to go from the "as-is" situation to the "to-be" situation - Phase-in, including its expected duration which shall not exceed three months);
- The financial impact of the change request, including the price for the Phase-in of the extension of the service and the calculated annual price adaptation of the Continuous Services for the provision of the extension of service. The annual service and the corresponding cost shall start only after the complete phase-in of the extended service.

The implementation of the change will be made in two steps:

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1. The phase-in will be performed via a **RfA** under **WP.7 – Other deliverables and services in the scope of the contract** by taking as an input the documents delivered in the request phase;
2. After the phase-in, if the Commission decides so, the service parameters for the Continuous Services will be amended. The **ITSM3 TES** contractor will have two (2) months to update the FQP, Annexes, and IWP according to **WP.0.1 – Production and maintenance of the Framework Quality Plan (FQP)**.

Service Id	Service Name	SQI
SE.0.8.1	Internal Change Management	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.0.8.2	Change Log (Annexed to the MPR)	SQI06r SQI06a
DLV.0.8.3	Change Impact Analysis report containing: <ul style="list-style-type: none"> • The Due Diligence report; • The Service Plan; • The detailed Implementation Plan; • The financial impact. 	SQI01r SQI01a

7.1.9 WP.0.9 – CO-ORDINATION WITH THE COMMISSION

7.1.9.1 WP.0.9.1 – Interaction, BMM, and Steering Committee

The **ITSM3 TES** contractor has to co-ordinate efforts through different follow-up meetings:

- **Steering Committee meetings** chaired by the **DG TAXUD Head of Unit** who is technically responsible for the contract execution, focusing on the strategic aspects of the contract and the risk management;
- **Bilateral Monthly Meetings (BMM)** chaired by the **DG TAXUD Supply Management role** and dedicated to the contractual and financial follow-up of the FWC;
- **Weekly meetings** between contact persons and their respective roles in **DG TAXUD**;
- **Ad-hoc coordination meetings**, called on request, at a mutually agreed date and time.

The **ITSM3 TES** contractor is responsible for

- Assigning a contact person for each role in **DG TAXUD**, in compliance with **Section 8.2 - Business threads and Support threads** of this Technical Annex;
- Planning in advance the recurrent meetings;
- Attending on time according to mutually agreed date and time and the relevant profiles in its organisation;
- Producing the agenda and minutes of the meetings.

In case of conflict between the minutes and the contractual documents, the latter take precedence.

All actions raised during these different meetings will be centralised in an **Action Log**, which will identify at least:

- The meeting where the action has been raised;
- The **DG TAXUD** role concerned by the action and the action owner;
- The description of the action;
- The current status (open, closed, cancelled, in progress, etc.);
- The open date;
- The initial target resolution date;
- The updated target resolution date (if the action is advanced or postponed);
- The actual resolution or closure date.

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The **ITSM3 TES** contractor must take the necessary management steps to ensure that the actions under its ownership are performed according to expectations.

Service Id	Service Name	SQI
SE.0.9.1.1	Attendance at Steering Committees, BMM and weekly meetings	SQI13
SE.0.9.1.2	Attendance at ad-hoc meetings	SQI13
SE.0.9.1.3	Implementation of actions agreed with the Commission	SQI11

Deliverable Id	Deliverable Name	SQI
DLV.0.9.1.4	Agenda of Steering Meeting (including supporting material)	SQI01r SQI01a
DLV.0.9.1.5	Minutes of Steering Committee	SQI01r SQI01a
DLV.0.9.1.6	Agenda of Bilateral Monthly Meeting	SQI02
DLV.0.9.1.7	Minutes of Bilateral Monthly Meeting (Annexed to the SfA of the MPR)	SQI06a
DLV.0.9.1.8	Minutes of weekly and ad-hoc meetings	SQI02
DLV.0.9.1.9	Action log (Annexed to the MPR)	SQI06r SQI06a

7.1.9.2 WP.0.9.2 – Co-operation with the Commission during Quality, Process and Security Audits

The Commission reserves the right to perform quality, process, and security audits in the **ITSM3 TES** contractor's premises for assessing the performance and the quality of the delivered services.

The Commission may contract a third party to perform these audits, and the **ITSM3 TES** contractor commits to fully co-operate with the Commission or the third party contracted by the Commission¹¹ during these audits. The Commission will notify the **ITSM3 TES** contractor at least two (2) EC working days in advance of the timing for the audit. The **ITSM3 TES** contractor has to collaborate and support the audit team during its entire mission. Any negative feedback from the auditors regarding the co-operation of the **ITSM3 TES** contractor during audit will lead to an official complaint from **DG TAXUD** as described in WP.0.7 – Internal Incident Management.

It is expected that the Commission will conduct on average one quality audit and one security audit per year in the contractor's premises but reserves its right to conduct more.

The maturity level of the processes and their compliance with:

- the Technical Annex (this document);
- the FQP and its annexes;
- the PQPs;
- TEMPO;
- Industry best practices (ITIL, COBIT);
- **ISO standards:**
 - ISO 20000-2:2013 and next releases (IT Service Management Part 2 - Code of Practice);
 - ISO 27001:2013 and next releases (IT Security Techniques – Information security management systems);
 - ISO 27002:2013 and next releases (IT Security Management - Code of Practice for information security management)

are amongst the key items subject to auditing by the Commission.

After the audit report is released, the **ITSM3 TES** contractor has to issue its position regarding the points raised in the audit report. These points will be discussed between the Commission and the **ITSM3 TES** contractor, and where necessary a set of actions shall be taken by the **ITSM3 TES** contractor. Follow-up of the actions will take place via the MPR, or, if necessary, by conducting verification audit at the **ITSM3 TES** contractor's premises.

¹¹ The QA contractor, most of the time.

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The audit reports are kept confidential and only shared between the Commission services (and the Court of Auditors if requested), the **ITSM3 TES** contractor and, if relevant, the third party elected by **DG TAXUD** to run the audit.

Service Id	Service Name	SQI
SE.0.9.2.1	Co-operate with the Commission (and any third party elected by it) during quality, process and security audits	SQI13
SE.0.9.2.2	Implementation of actions agreed by the ITSM3 TES contractor at the outcome of the audit.	SQI10a SQI10b SQI11

Deliverable Id	Deliverable Name	SQI
DLV.0.9.2.3	Positions of the ITSM3 TES contractor on the audit report	SQI01r SQI01a

7.1.10 WP.0.A – CONTRACTUAL REPORTING

7.1.10.1 WP.0.A.1 – Monthly Progress and Service Reports (MPR/MSR)

The **ITSM3 TES** contractor has to report in the Monthly Progress Report (MPR) and the Monthly Service Report (MSR) delivered to the Commission about:

- The contractual situation, including consumption status of ordered service quantities and status of RfA,
- 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 incident log and the complaint log;
- The change log;
- The internal risk register;
- The action log;
- The demand schedule per Business threads;
- The demand schedule for IT Services;
- The Document Tracking Matrix (DTM);
- The values of KPI and SQI;
- The future deadlines / challenges to be met.

The MPR contains confidential contractual and financial information and is mainly addressed to the Supply Management role in **DG TAXUD** whereas the MSR contains operational information and is addressed to other Business / Support Threads. This work package includes also the corrective and adaptive maintenance of the MPR/MSR: change of format, reorganisation, and presentation of a set of data according to new filters or new views. Only the reports based on new dataset should lead to a Request for Action under **WP.7 – Other deliverables and services in the scope of the contract**.

In case of conflict, the contractual documents (FWC, SC and RfA) will always take precedence on the BMM minutes (even when accepted by the Commission), which will always take precedence on MPR/MSR (even when accepted by the Commission).

Deliverable Id	Deliverable Name	SQI
DLV.0.A.1.1	Monthly Progress Report bundled with all Monthly Service Reports.	SQI06r SQI06a

7.1.10.2 WP.0.A.2 – Maintenance of the planning of the ITSM3 TES contractor’s activities

The **ITSM3 TES** contractor is responsible for maintaining its internal activity planning. All tasks listed under the detailed WBS of the FQP, the milestones, as well as the task duration are defined and maintained. Any deviation from the contractual work plan shall be highlighted.

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The **ITSM3 TES** contractor has to maintain the work plan up to date with the support of a project management tool compatible with the one used in the Commission (MS Project), and have it annexed to the MPR. The **ITSM3 TES** contractor must also keep the planning available for the Commission at any time.

Service Id	Service Name	SQI
SE.0.A.2.1	Keep the planning of the ITSM3 TES contractor activities up to date and available to the Commission for information.	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.0.A.2.2	Monthly Planning with updated activities, services and deliverables (Annexed to the MPR)	SQI06r SQI06a

7.1.11 WP.0.B – BASELINES

7.1.11.1 WP.0.B.1 – Quarterly batch re-delivery of all deliverables

The **ITSM3 TES** contractor has to produce, at the end of each quarter, a DVD-ROM with all deliverables from the past quarter. **DG TAXUD** and **ITSM3 TES** have the possibility to agree on a different media to provide the quarterly batch (upload on a share drive, hard-drive, USB key...).

Deliverable Id	Deliverable Name	SQI
DLV.0.B.1.1	Quarterly DVD-ROM with all deliverables from the past quarter in the context of each SC	SQI02

7.1.11.2 WP.0.B.2 – Yearly delivery of full baseline

Upon **DG TAXUD** request, but no more than once a year, the **ITSM3 TES** contractor shall produce a full baseline. This consists of a (set of) DVD-ROM(s) with the latest version of all deliverables since the beginning of the Framework Contract as well as all files that would be needed for a Handover (export of operational data hosted in the **ITSM3 TES** contractor premises, list of contacts, TSM tools package, etc.). **DG TAXUD** and **ITSM3 TES** have the possibility to agree on a different media to provide the yearly baseline batch (upload on a share drive, hard-drive, USB key...).

Deliverable Id	Deliverable Name	SQI
DLV.0.B.2.1	DVD-ROM with the full baseline of ITSM3 TES contractor since the start of the contract	SQI02

7.2 WP.1 – Handover / Takeover

7.2.1 WP.1.1 – TAKEOVER PER BUSINESS THREAD

7.2.1.1 WP.1.1.1 – Takeover method

The **ITSM3 TES** contractor will take over from the incumbent **ITSM2 Lot2** contractor and the Commission the IT Service Management for the trans-European Systems in the fields of Customs, Excise, and Taxation. The Takeover must be successfully concluded at the latest **six (6) months after the agreed start of the activity (as stated in the first Specific Contract)**¹². The absolute priority at Takeover is for the **ITSM3 TES** contractor to start providing all the activities from the incumbent **ITSM2 Lot2** contractor

- By the imposed dates as defined in the first Specific Contract;
- For each of the threads involved in the **ITSM2 Lot2** contract at takeover time;
- Without disruption or degradation of the quality of the services delivered;
- Regardless of their nature and volume at Takeover time.

¹² For information, the previous Handover / Takeover from **ITSM1** contractor to **ITSM2 Lot2** contractor lasted 6 months. 3 months is estimated as a minimum for the Commission.

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This takes precedence over any service transformation activities, which might raise additional risks in securing the Takeover.

The Takeover activity will be planned, performed, and concluded by the **ITSM3 TES** contractor for each of the business threads identified in Section **Business threads and Support threads**. The Takeover of the support threads must be factored in the planning of the Takeover of the business threads. The **ITSM3 TES** contractor has to foresee the necessary steps to achieve a seamless Takeover for the users of the services.

As the Takeover of the incumbent **ITSM2 Lot1** contractor by **ITSM3 Operations** will be running in parallel, the **ITSM3 TES** contractor must take into account in its own Takeover planning that it might have to liaise with both **ITSM2 Lot1** and **ITSM3 Operations** contractors.

For all services, the Commission will provide access to the updated documentation needed by the **ITSM3 TES** contractor to deliver its services. The roles of **DG TAXUD** will provide support in their respective area of responsibility to assist the **ITSM3 TES** contractor in its Takeover. **DG TAXUD** will provide training only once to the **ITSM3 TES** contractor. The **ITSM3 TES** contractor is responsible for ensuring the retention of the taken over knowledge in its team.

DG TAXUD provides, as part of the **TEMPO** quality management system, a detailed set of reference manuals and deliverable templates for the guidance of **ITSM3 TES** contractor in the Handover/Takeover activity.

A ‘shadowing’ period of the activities of the incumbent **ITSM2 Lot2** contractor during the last 2 months of the Takeover period must be foreseen. The **ITSM2 Lot2** contractor will provide a support service up to 3 months to the **ITSM3 TES** as from the successful Handover.

Should the ITSM3 TES contractor fail to fully take over the ITSM2 Lot2 contractor activities 6 months after the agreed start of the activities, the ITSM3 TES contractor will be liable for all related additional costs supported by DG TAXUD (for instance extension of the ITSM2 Lot2 Contract) up to the cost of the Takeover as evaluated in its offer.

7.2.1.2 WP.1.1.2 – Production of the detailed Takeover plan per business thread

For each business thread, the **ITSM3 TES** contractor has to produce and deliver the detailed Takeover plan in accordance with the situation in which the system(s) will be at the time. The plan will include:

- A detailed planning;
- The list of services to take over, associated with their Configuration Items;
- The list of IT services provided by the Commission to the **ITSM3 TES** contractor in order to meet its duty;
- The acceptance criteria and the FAT cycle of the Takeover;
- The actions to take towards the NAs and the other partners of the services;
- The risk analysis with mitigation and fall-back plan;
- The deployment plan of the processes required at service start-up.

Deliverable Id	Deliverable Name	SQI
DLV.1.1.2.1x	Takeover plan per business thread (including support threads)	SQI01r SQI01a
DLV.1.1.2.2.x	Takeover FAT test plan per business thread (including support threads)	SQI01r SQI01a

7.2.1.3 WP.1.1.3 – Takeover of the processes, TISM tools, and documentation

For each business thread, the **ITSM3 TES** contractor has to:

- Set up its initial organisation, processes, office infrastructure;
- Set up the interconnectivity required to access the IT services delivered by the Commission to the **ITSM3 TES** contractor, including the security and procedure required for the Security convention;
- Get proficient in the use of all IT services delivered by the Commission to the **ITSM3 TES** contractor for its duties and all the data/information they manage;

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- Secure the knowledge required to provide the services by providing the first release of the FQP (refer to **WP.0.1 – Production and maintenance of the Framework Quality Plan (FQP)**);
- Establish an interface with the roles in **DG TAXUD**, and ensure that adequate coordination and collaboration is put in place with the other project stakeholders (i.e. other contractors);
- Build up the necessary technical files/knowledge base to be used by the **ITSM3 TES** staff to deliver the services;
- Take on all document libraries and credentials;
- Coordinate the Takeover of business threads with the Takeover of the support threads in order to ensure timely delivery of the business thread taken over and efficient Takeover of the support thread;
- Proceed to the Takeover phase according to the agreed plan;
- Switching over the threads according to plan, taking over the full responsibility for the maintenance of the deliverables in the scope of the contract and for the performance of the services, seamlessly for the quality of service delivered to the user base and **DG TAXUD**.

The Takeover of each business thread will be managed in parallel and independently of each other. At the end of the Takeover, the **ITSM3 TES** contractor will endorse the full responsibility for the business threads taken over.

The fact that **ITSM3 TES** contractor starts delivering services on one thread does not mean an acceptance (even partial) of the Takeover: the Takeover period will end only once the Takeover of **ALL threads (business and support) is formally accepted by the Commission**.

This acceptance will entail a bundle acceptance of the following deliverables:

- The Takeover FAT report per thread;
- The first release of the FQP (refer to **WP.0.1 – Production and maintenance of the Framework Quality Plan (FQP)**);
- The SAT report for the internal infrastructure as described in Section **11.2.5 - ICT infrastructure services**.

The report must confirm that the **ITSM3 TES** contractor is fit to start providing the service with no regression of quality and no interruption.

DG TAXUD will provide for each business thread:

- The latest version of each document of the baseline;
- Support and training from **CUSTDEV3** contractor in charge of the Customs specifications and development;
- Support and training from **FITSDEV3** in charge of the Taxation and Excise specifications and development;
- The Handover plan of **ITSM2 Lot2** contractor;
- Training and support from the incumbent **ITSM2 Lot2** contractor;
- Access to applications for business monitoring/statistic/NA availability;
- Access to the reference applications;
- Access to the test tool for Conformance Tests;
- Access to the CIRCABC Interest Groups.

The Takeover of the support threads must be factored in the Takeover of the Business threads. **DG TAXUD** will provide for each of the following topics:

- Supply Management:
 - Training and support from the incumbent **ITSM2 Lot2** contractor;
- **ITSM3 Operations** services, connectivity, and CCN services:
 - Support and training from the Commission, **ITSM2 Lot1** or **ITSM3 Operations** contractor and **CCN2WAN** contractor;
- FQP, Service Desk, processes and supporting tools:
 - Support and training from **ITSM2 Lot1** or **ITSM3 Operations** contractor,
 - Access to the SMT Tool (Synergia) tools and other supporting tools as needed;
- CCN:
 - Access to the queue monitoring tool,
 - Access to the CCN Web portal to manage queue setting;

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- TEMPO and program quality plan:
 - Support and training from the QA contractor.

At the end of the Takeover, **DG TAXUD** will perform a satisfaction survey towards the external and internal stakeholders regarding the involvement, the attendance at meetings or trainings, and the co-operation of the **ITSM3 TES** contractor during Takeover.

Service Id	Service Name	SQI
SE.1.1.3.1.x	Takeover per business thread (including support threads)	SQI14

Deliverable Id	Deliverable Name	SQI
DLV.1.1.3.2.x	Takeover FAT report per business thread (including support threads)	SQI07
DLV.1.1.3.3.x	SAT report of the ICT Infrastructure	SQI07

7.2.2 WP.1.2 - HANDOVER PER BUSINESS THREAD

7.2.2.1 WP.1.2.1 – Production of the detailed Handover plan per business thread

The Handover period represents the period, at the end of the **ITSM3 TES** FWC (or earlier on request from the Commission), when the **ITSM3 TES** contractor must transfer the project information, and knowledge to **DG TAXUD** or to any specified third parties on its behalf. It is considered that this period should last **between three (3) and six (6) months**. The Handover activity will be performed by the **ITSM3 TES** contractor per Business thread. The Handover of the support threads must be factored in the planning of the Handover of the business threads.

The **ITSM3 TES** contractor has to prepare and deliver to the Commission for review and acceptance the detailed Handover plan according to which the Handover activity will be concluded. The plan has to include a detailed breakdown of the Handover activities and a detailed time-schedule, as well as the Handover FAT and SAT test plans. The FAT is performed in the **ITSM3 TES** premises and the SAT shall take place in the premises of **DG TAXUD** or in the premises of the third parties nominated by the Commission to take over from **ITSM3 TES**.

The Handover must be managed to allow the taking over party(ies) to take over the services without Quality of Service decrease.

Deliverable Id	Deliverable Name	SQI
DLV.1.2.1.1.x	Handover Plan per business thread (including support threads)	SQI01r SQI01a
DLV.1.2.1.2.x	Handover FAT test plan per business thread (including support threads)	SQI01r SQI01a
DLV.1.2.1.3.x	Handover SAT test plan per business thread (including support threads)	SQI01r SQI01a

7.2.2.2 WP.1.2.2 – Handover of the processes, TESH tools and documentation

During the Handover period, the **ITSM3 TES** contractor will activate the Handover Plan and hand over to the Commission, or any third parties on its behalf:

- The whole of the **ITSM3 TES** services;
- The whole of the live and historical data and information supporting the services provided (and in particular those managed by the TESH tools);
- The up-to-date version of the **ITSM3 TES** process model in full (including internal procedures),
- The whole of the TESH tools (if any),
- The whole of any other artefact produced by the **ITSM3 TES** contractor for delivering its services under the terms of the contract, free of any rights.

The **ITSM3 TES** shall provide appropriate training and coaching to allow the new supplier to take over whilst assuring continuity of the services.

The Handover process includes the following phases:

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- **Planning:** to set up the list of all activities, resources, deliverables and milestones required to perform successfully the Handover to **DG TAXUD** or to any specified third parties on its behalf;
- **Preparation:** to identify, collect and store all deliverables required to allow a smooth and complete transfer of knowledge from the **ITSM3 TES** contractor to **DG TAXUD** or to any specified third parties on its behalf; to prepare, when required, the training sessions for the project team of **DG TAXUD** or to any specified third parties on its behalf;
- **Implementation:** to perform effectively the transfer of the project knowledge (using planned training and ad-hoc technical meetings) and deliverables (documents, software, hardware) from the **ITSM3 TES** contractor to **DG TAXUD** or to any specified third parties on its behalf. The FAT is performed in the **ITSM3 TES** premises and the SAT shall take place in the premises of **DG TAXUD** or in the premises of the third parties nominated by the Commission to take over from **ITSM3 TES**;
- **Follow-up:** to provide support by the **ITSM3 TES** contractor to **DG TAXUD** or to any specified third parties on its behalf during the Handover process.

ITSM3 TES shall provide a FAT and a SAT report at the end of the activity.

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

At the end of the Handover, **DG TAXUD** will perform a satisfaction survey towards the external and internal stakeholders regarding the involvement, the attendance at meetings or trainings, and the co-operation of the **ITSM3 TES** contractor during Handover.

Service Id	Service Name	SQI
SE.1.2.2.1.x	Handover per business thread (including support threads)	SQI14

Deliverable Id	Deliverable Name	SQI
DLV.1.2.2.2.x	Handover FAT Report per business thread (including support threads)	SQI07
DLV.1.2.2.3.x	Handover SAT Report per business thread (including support threads)	SQI07

7.2.2.3 WP.1.2.3 – Provision of training and support to a third party

The **ITSM3 TES** contractor will provide, on request by the Commission, training, remote/on-site support to the Commission and/or any third parties on its behalf and will participate to any ad-hoc technical meetings required.

All the support activities related to the transfer of knowledge from the **ITSM3 TES** contractor to **DG TAXUD** or to any specified third parties on its behalf must be included in the price of the Handover. The **ITSM3 TES** contractor may not ask **DG TAXUD** or any specified third parties on its behalf to pay (within a bi-lateral contract) for the support during the Handover due to the fact, among other things, that intellectual property generated during the current FWC belongs to the Commission.

At the end of the Handover period, **DG TAXUD** will perform a satisfaction survey towards the participants.

Service Id	Service Name	SQI
SE.1.2.3.1	Provision of training and support to a third party	SQI14

7.2.2.4 WP.1.2.4 – ‘After Handover’ support per business thread

The **ITSM3 TES** contractor must provide a support service of three (3) months to the taking over party as from the successful Handover.

The support shall be in the form of questions and answers via email exchanges or telephone calls. **ITSM3 TES** shall answer to any question within a maximum period of 2 working days upon reception.

At the end of the ‘after Handover’ period, **ITSM3 TES** shall provide a final Handover report per Business Thread to report on the questions and answers during the period and identifying the potential risks.

DG TAXUD will perform a satisfaction survey towards the external and internal stakeholders regarding the involvement and the co-operation of the **ITSM3 TES** contractor.

Service Id	Service Name	SQI
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SE.1.2.4.1.x	‘After Handover’ support per business thread (including support threads)	SQI14
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Deliverable Id	Deliverable Name	SQI
DLV.1.2.4.2.x	Final Handover Report per business thread (including support threads)	SQI01r SQI01a

7.2.2.5 **WP.1.2.5 – Handover exercises**

During the lifetime of the FWC, **DG TAXUD** might request a maximum of two Handover exercises.

DG TAXUD will select a subset of services of a business thread to be virtually handed over to **DG TAXUD** or any third party on its behalf. The Handover process exercise will be run on this subset. Any issue discovered during this exercise must lead to the update of the Handover Plan and FAT/SAT Test Plans.

At the end of the ‘after Handover’ period, **DG TAXUD** will perform a satisfaction survey towards the external and internal stakeholders regarding the involvement and the co-operation of the **ITSM3 TES** contractor.

Service Id	Service Name	SQI
SE.1.2.5.1.x	Handover exercise on a subset of services of a business thread	SQI14

Deliverable Id	Deliverable Name	SQI
DLV.1.2.5.2.x	Handover exercise Plan (and update)	SQI01r SQI01a
DLV.1.2.5.3.x	Handover exercise FAT test plan (and update)	SQI01r SQI01a
DLV.1.2.5.4.x	Handover exercise SAT test plan (and update)	SQI01r SQI01a
DLV.1.2.5.5.x	Handover exercise FAT test report	SQI01r SQI01a
DLV.1.2.5.6.x	Handover exercise SAT test report	SQI01r SQI01a

7.3 **WP.2 – Continual Service Improvement and Transformation Projects**

7.3.1 **WP.2.1 – CONTINUAL SERVICE IMPROVEMENT**

7.3.1.1 **WP.2.1.1 – Continual Service Improvement of ITSM3 TES Services**

The **ITSM3 TES** contractor shall manage several dimensions of improvement of its services over the period of the FWC:

- Progressive implementation of the volume of business operations and of the business scope as foreseen in the **Terms of Reference [R1]**;
- Continual improvement of the quality of services delivered;
- Increase in maturity of the processes that it operates on behalf of the Commission, according to findings of the audits and the lessons learned from the service delivery.

The **ITSM3 TES** contractor must perform this continual improvement without compromising the quality of the delivered services at any time, in particular during the Takeover.

The Continual Service Improvement Programme (CSIP) will drive all activities of the **ITSM3 TES** contractor related to continual improvement of its services. The CSIP will at least define:

- The continual improvement objectives, vision, strategy and associated planning;
- The tactical planning;
- The operational rolling plan defining and describing the actions planned with a line of sight of at least 12 months, and the actions closed during the last 12 months (exclusive of the actions identified in self-assessment, internal audits, Commission’s audits, BMM and Steering Committees);

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- The impact of each action on the tactical/strategic/vision/objective levels;
- The milestones to be reached on the form of CSF (Critical Success Factor) and KPI (Key Performance Indicator) with relation to the SQI;
- An action progress tracking mechanism.

The key deliverables of the continual improvement process, in addition to the other requested deliverables and services, are improvements applied to:

- Processes;
- Reports,
- Supporting tools.

The improvements identified within the CSIP will be subject to change management (refer to **WP.0.8 – Internal Change Management**) in order to enforce a managed transformation of the **ITSM3 TES** services over the duration of the Framework Contract.

DG TAXUD can finance – partially or totally – the implementation of some of the CSIP proposed improvements if some benefits resulting from the improvements are transferred to **DG TAXUD** either or both:

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

Nevertheless, the Continual Service Improvement of **ITSM3 Services** shall not be limited to projects that are (co-)financed by **DG TAXUD**. On a yearly basis, the **ITSM3 TES** contractor shall demonstrate by tangible facts (for instance through a maturity level self-assessment) that it has increased the maturity of its services.

ITSM3 TES shall update the CSIP on a quarterly basis and present it in the Steering Committee as referred in **WP.0.9.1 – Interaction, BMM, and Steering Committee** on a quarterly basis.

Service Id	Deliverable Name	SQI
SE.2.1.1.1	Continual Service Improvement of ITSM3 TES Services	SQI15a SQI15b SQI15c

Deliverable Id	Deliverable Name	SQI
DLV.2.1.1.2	CSIP production and maintenance (Quarterly delivery)	SQI01r SQI01a
DLV.2.1.1.3	Monthly service report regarding CSIP tactical planning (Annexed to the MPR)	SQI06r SQI06a
DLV.2.1.1.4	Yearly Maturity Assessment	SQI01r SQI01a

7.3.1.2 **WP.2.1.2 – Contribution to the harmonisation and enhancements of DG TAXUD processes, procedures and tools**

The active contribution of **ITSM3 TES** contractor to the **DG TAXUD** IT ecosystem is one critical factor of success of **ITSM3 TES** FWC. The **ITSM3 TES** contractor shall propose improvements to the processes (including TEMPO), documentation, and tools managed by **DG TAXUD**. The proposals for improvement shall be attached to the quarterly CSIP update.

The key deliverables of the continual improvement process, in addition to the other requested deliverables and services, are improvements applied to:

- Processes;
- Reports;
- Supporting tools;

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This active contribution is a major point of the yearly customer satisfaction surveys run towards the internal stakeholders.

Service Id	Deliverable Name	SQI
SE.2.1.2.1	Contribution to the harmonisation of processes, procedures and tools	SQI15a SQI14

Deliverable Id	Deliverable Name	SQI
DLV.2.1.2.2	Addendum to the CSIP production and maintenance (Quarterly delivery) as referred in WP.2.1.1 – Continual Service Improvement of ITSM3 TES Services	SQI01r SQI01a

7.3.1.3 WP.2.1.3 – Contribution to the optimisation of Trans-European Systems

The **ITSM3 TES** contractor shall also propose improvements to the Trans-European Systems and Central applications. The proposals for improvement will be attached to the quarterly CSIP update.

The improvements might concern among other topics:

- The IT architecture of the TES;
- The business and the support process managing the TES;
- The supporting TESM tools.

The CSIP should drive the yearly update of

- The service catalogues, SLAs, OLAs and Terms of Collaboration;
- The capacity/availability/continuity/security plans

As described in **WP.4.3.1 – Maintain, monitor and report on the Service Catalogues and SLA between the Commission and its customers/users** and **WP.4.3.2 – Maintain, monitor and report on the Terms of Collaboration of TES**.

This active contribution will be a major point of the yearly customer satisfaction surveys run towards the internal stakeholders.

Service Id	Deliverable Name	SQI
SE.2.1.3.1	Contribution to the optimisation of TES	SQI15a SQI14

Deliverable Id	Deliverable Name	SQI
DLV.2.1.3.2	Addendum to the CSIP production and maintenance (Quarterly delivery) as referred in WP.2.1.1 – Continual Service Improvement of ITSM3 TES Services	SQI01r SQI01a

7.3.2 WP.2.2 – TRANSFORMATION PROJECTS

The **DG TAXUD** ecosystem relies on a seamless collaboration of internal and external stakeholders, most of them working outside **DG TAXUD** premises, in different EU countries. Sharing data, information, and knowledge between the different stakeholders is therefore a critical factor of success for delivering the **ITSM3 TES** services.

DG TAXUD intends to elaborate and implement a full Knowledge Management strategy from the collection of raw data until the elaboration of decision-making knowledge. **DG TAXUD** has identified three transformation projects contributing to the implementation of its knowledge management strategy:

7.3.2.1 WP.2.2.1 – Business Monitoring7.3.2.1.1 As-Is situation

As implemented now, the business monitoring is a complex, poorly automated and error-prone process relying on the exploitation of logs, CCN2 messages and the use of monitoring tools (e.g. Tivoli, VIES Monitoring Tool (VIM), CS/MISE) or statistical applications (TSS).

The events produced by the monitoring and statistical applications are filtered either by the application itself, or manually analysed by monitoring operators to produce non-critical or critical warnings. These warnings, under specific conditions, trigger specific actions (e.g. dispatching of notifications to stakeholders, restoration of application availability, registration of incidents or problems, etc). For the time being, the event filtering and the correlation to actions rely on manual actions, which are described in different documents (FQP of **ITSM2 Lot1**¹³, FQP of **ITSM2 Lot2** and internal working procedures¹⁴...).

The events collected by the monitoring are also the raw data source of the daily, weekly, and monthly business reports. As these raw data are not stored in a central repository, **DG TAXUD** does not have the possibility to produce advanced reports based on historical data that could be used for trending and forecasting.

7.3.2.1.2 To-Be situation

DG TAXUD has initiated the refactoring of some monitoring and statistic applications such as CS/MISE, TSS, or VIM. A vision document has been written with **FITSDEV3**, which may¹⁵ lead to implementation projects in the coming months (see [R5]). This refactoring might span over many years.

Building on top of these existing facilities, **DG TAXUD** targets the implementation of a business monitoring layer allowing TES and ITS to be monitored closely and automatically. This layer should collect and store the monitoring raw data, automatically manage filtering and correlation rules, and allow the integration/transmission of the data in the future reporting processing (**WP.2.2.2 – On-line reporting**) and knowledge management (**WP.2.2.3 – Knowledge Management System**) systems that **DG TAXUD** may create. The basic requirements of this layer are the following:

- Ability to ensure the business monitoring of all TES and ITS in the scope of **ITSM3 TES**;
- Ability to be extended to new TES and ITS;
- Limited foot-print on ITS monitored (i.e. the implementation of the proposed solution for a new ITS shall not lead to major changes of this application);
- Pragmatic solution tailored to the business particularities of each application (real time is a must-have for Vies-on-Web but is oversized for TEDB);
- Flexible solution to map events and provide real time information about the status and results of various operations, processes, and transactions in a clear and comprehensible way;
- Ability to elaborate trends analysis and identify patterns of behaviour (leading to service degradation or interruption) based on the past data collected (at least 3 years on-line);
- Ability to set alarms based on patterns of behaviour;
- Historical outlook of performance;
- Ability to present a real-time head-up display of the status of the TES, ITS and **ITSM3 TES** services. This display should be available for both NAs and **DG TAXUD** staff.

¹³ Available in **ITSM2 Lot1** Baseline.

¹⁴ Available in **ITSM2 Lot2** Baseline

¹⁵ Decision not yet taken at the time this call for tenders is written.

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7.3.2.1.3 ITSM3 TES requirements

The **ITSM3 TES** contribution to this Transformation Project is two-fold:

1. Participation to the Development lifecycle and deployment of the revamping of the monitoring tools according to **WP.3.1 – Participation to the Development Lifecycle** and **WP.3.3 – Deployment of IT Services and TESM tools**. The **ITSM3 TES** contractor will also have to continuously adapt its internal working procedures and internal tools to follow the evolutions of the underlying monitoring and statistical tools, **without additional costs**;
2. Design, implementation and operation of the business monitoring layer. Once the FWC is signed, **DG TAXUD** and the **ITSM3 TES** contractor will update the solution proposed at the tendering stage¹⁶ to take into consideration the new **DG TAXUD** context, which might lead to some modifications of the scope, planning, and features of the initial solution.

DG TAXUD might decide:

- Either to launch totally or partially the development of this business monitoring layer according to **WP.6 – Development, Maintenance, and Operations of TESM tools**,
- Or to entrust the developments to a third-party (xDEV). **ITSM3 TES** will have to follow this development according to Bullet 1 - Participation to the Development lifecycle and deployment of the revamping of the monitoring tools above,
- Or to do nothing.

7.3.2.2 WP.2.2.2 – On-line reporting

7.3.2.2.1 As-Is situation

The reporting related to **ITSM2 Lot2** services heavily relies:

- On exchange of mails and documents on a daily, weekly and monthly basis¹⁷;
- On upload of documents on CIRCABC.

The information produced is not easily retrievable and any additional analysis requires manual and time-consuming work based on extract of data, search in mailboxes and use of Microsoft© Excel or Access database¹⁸...

7.3.2.2.2 To-Be situation

The **ITSM3 TES** tenderer has to propose a technical and organisational solution fulfilling the minimum requirements below:

- Available for NAs, **DG TAXUD** staff and contractors, with specific role and associated visibility rules;
- Ability to subscribe/unsubscribe to any kind of report and receive either a notification of the availability of the report on-line or directly the report by mail (PDF format or Microsoft© EXCEL¹⁹ file);
- Ability for each user to slightly customise the report (content, periodicity);
- Ability to regenerate a report on any time-frame;
- Ability to develop new reports based on existing raw data;
- Ability to manage new data sets / new data sources without major developments and without impact on the data source in terms of performance or developments.

¹⁶ As proposed in the answer to **Section 5.3.2 (a) of Annex 1 – Questionnaire**.

¹⁷ The **ITSM2 Lot2** contractor is producing circa 200 documents per month. Details are available in the DTM (Document Tracking Matrix) and in the STM (Service Tracking Matrix) of the **ITSM2 Lo2** Baseline.

¹⁸ Or equivalent tool.

¹⁹ Or equivalent tool.

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7.3.2.2.3 ITSM3 TES requirements

The **ITSM3 TES** contractor must:

- Make its own assessment of the situation based on the information provided in the baseline, for instance in the form of a SWOT analysis;
- Prepare a **Business Case** and a **High Level Design** of the proposed solution based on **DG TAXUD** templates²⁰ taking into account at least the mandatory requirements expressed by **DG TAXUD** above;
- Identify the prerequisites from **DG TAXUD** in terms of:
 - IT infrastructure (Hardware, Software, including COTS),
 - Man-power (profiles / number of man.days and approximate planning),
 - Financial contribution per year requested (with a maximum of 1 M€ in total)
- Make an impact analysis of the proposed solutions on tactical (process, tools and **ITSM3 TES** team) and strategic levels;
- Propose a change management strategy clearly identifying milestones to be reached on the form of CSF (Critical Success Factor) and KPI (Key Performance Indicator) with relation to the SQI;
- Evaluate the expected benefits for **DG TAXUD** resulting from the improvements of the level of services – at the same cost - witnessed by measurable indicators registered and reported within the Service Catalogue.

The tenderer has to propose one solution with two options of hosting:

- Hosting in the **DG TAXUD** Datacentre;
- Hosting in the **EC Public Cloud**.

For the hosting in the **DG TAXUD** Datacentre, the Tenderer must provide an **Infrastructure Requirement Document**²¹.

For the hosting in the **EC Public Cloud**, the Tenderer must provide a blueprint of the deployment based on **TOSCA**²². The tenderer shall use one of the possible solutions:

Azure	http://azure.microsoft.com/en-us/documentation/videos/azure-templates-in-the-new-portal/
Amazon	http://docs.aws.amazon.com/AWSCloudFormation/latest/APIReference/Welcome.html?r=7078
OpenStack Heat	https://wiki.openstack.org/wiki/Heat
VmWare	http://blogs.vmware.com/vcloud/2015/06/tosca-blueprints-vcloud-air.html

The services requested by **DG DIGIT** (and available for DG TAXUD usage) are described in the **Annex 1 - Service Requirements** of the **Lot 2: Public Infrastructure as a Service (IaaS)** of the Call for Tender **CLOUD-1** available here:

<https://etendering.ted.europa.eu/cft/cft-display.html?cftId=684>

The providers are mentioned in the award decisions:

<http://ted.europa.eu/udl?uri=TED:NOTICE:446259-2015:TEXT:EN:HTML>
<http://ted.europa.eu/udl?uri=TED:NOTICE:37603-2016:TEXT:EN:HTML>

²⁰ Templates available in the Baseline

²¹ Template available in the Baseline

²² https://en.wikipedia.org/wiki/OASIS_TOSCA

Once the FWC is signed, **DG TAXUD** and **ITSM3 TES** contractor will update the solution proposed at the tendering stage²³ to take into consideration the new **DG TAXUD** context, which might lead to some modifications of the scope, planning, and features of the proposed solution.

The Transformation Project will be launched and monitored according to **WP.6 – Development, Maintenance, and Operations of TESM tools**.

The agreed improvement of service levels shall be applied as soon as the technical solution is on-production, the latest 3 years after the signature of the end of the Takeover period (**WP.1.1.3 – Takeover of the processes, TESM tools, and documentation**).

DG TAXUD will contribute to this Transformation Project with:

- **An in-kind contribution:** provision of the IT infrastructure (HW and COTS), reviews of functional / technical specifications and participation to tests phases;
- **A financial contribution** to the development of the solution up to 1 M€²⁴ over the five first years of the Framework Contract.

7.3.2.3 WP.2.2.3 – Knowledge Management System

7.3.2.3.1 As-Is situation

For the time being, there is neither a formal knowledge management process, nor a central tool or platform. Data and information are split between mails, deliverables on CIRCABC, share folders, **DG TAXUD** collaborative spaces (Wiki or Microsoft Sharepoint© websites) and segregated per contractor.

7.3.2.3.2 To-Be situation

DG TAXUD intends to implement a structured system of knowledge management (process and platform) that may be easily integrated with other instruments used by **DG TAXUD**, such as the **TEMPO** Quality Management system and made available for NAs, **DG TAXUD** staff and contractors, with specific roles and associated visibility rules. This system will not be limited to the scope of **ITSM3 TES**.

7.3.2.3.3 ITSM3 TES requirements

The **ITSM3 TES** contribution to this Transformation Project will be two-folds:

1. Participation to the Development lifecycle and deployment of the Knowledge Management system according to **WP.3.1 – Participation to the Development Lifecycle** and **WP.3.3 – Deployment of IT Services and TESM tools**. The **ITSM3 TES** contractor will also have to continuously adapt its internal working procedures and internal tools to follow the evolutions of the underlying monitoring and statistical tools, **without additional costs**;
2. Design, implementation and operation of the knowledge management system. Once the FWC is signed, **DG TAXUD** and the **ITSM3 TES** contractor will update the solution proposed at the tendering stage²⁵ to take into consideration the new **DG TAXUD** context, which might lead to some modifications of the scope, planning, and features of the initial solution.

DG TAXUD might decide:

- Either to launch totally or partially the development of this business monitoring layer according to **WP.6 – Development, Maintenance, and Operations of TESM tools**,

²³ As proposed in the answer to **Section 5.3.2 (b) of Annex 1 – Questionnaire**.

²⁴ This contribution is already defined in the **Annex 3 – Price Table**.

²⁵ As proposed in the answer to **Section 5.3.2 (c) of Annex 1 – Questionnaire**.

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- Or to delegate the developments to a third-party (xDEV) or use an existing Knowledge Management system (e.g. **ITSM3 Operations**). **ITSM3 TES** will have to follow this development according to Bullet point Nr.1 - Participation to the Development lifecycle and deployment of the revamping of the monitoring tools above;
- Or to do nothing.

7.4 WP.3 – Management of the deployment and operations of the TES and IT Services from a business perspective

The **ITSM3 TES** contractor has to report for all of the activities below in the Monthly Progress Report and include the relevant statistics in the Monthly Service Report, per business thread.

7.4.1 WP.3.1 – PARTICIPATION TO THE DEVELOPMENT LIFECYCLE

7.4.1.1 WP.3.1.1 – Co-ordination between development and service management

The **ITSM3 TES** contractor must co-ordinate its activities with the TES and IT services development stakeholders, in particular **FITSDEV** and **CUSTDEV** contractors, during their entire lifecycle, in order to ensure that:

- The operational requirements (especially those related to the implementation of the business monitoring) and constraints of the services delivered by **ITSM3 TES** contractor are taken into account from the beginning of the inception phase of a project;
- The **ITSM3 TES** contractor takes all appropriate preparatory steps in time to start its service according to expectations (especially activities under **WP.3.2.3 – Conformance Testing**);
- There is no misunderstanding and/or undue expectation between the **ITSM3 TES** contractor and other service providers.

This process ensures that all parties involved in the development, on the one hand, and all other functions in the scope of the **ITSM3 TES** contract, on the other hand, are contributing in parallel towards the same planning and quality and are ready on time. The **ITSM3 TES** contractor shall perform the necessary planning, co-ordination, follow up, risk management, and eventually escalation to the Commission. The **ITSM3 TES** contractor must take all the required initiatives towards the involved parties in order to meet the quality expectation from the service, which includes its launching date. The involved parties can be internal to the **ITSM3 TES** contractor, the Commission, the other Commission's contractors, the NAs and any third party designated by the Commission (e.g. Russian Federal Customs Service).

The **ITSM3 TES** contractor must take advantage of this process to build up its knowledge of the TES and associated IT services in order to deliver its operation related services, including functional and technical support. The **ITSM3 TES** contractor must complete the necessary knowledge acquisition before the deployment phase, in order to be fully ready to deploy and operate the TES as of the start of Conformance Test and Operations. The TES development third parties will provide formal training at no cost to the **ITSM3 TES** contractor before the deployment.

Service Id	Service Name	SQI
SE.3.1.1.1	Co-ordination between development and service management	SQI16a SQI16b

7.4.1.2 WP.3.1.2 – Quality Control of artefacts from TES and IT Services development

The **ITSM3 TES** contractor will review the technical compliance/fitness for purpose/efficiency/effectiveness of the artefacts produced by the TES and IT services development contractors. The aim is to ensure that the development parties produce systems and IT services that meet the expectations of the users and of the Commission and that can be deployed and supported by the **ITSM3 TES** contractor.

This encompasses the following activities:

- Alert the Commission in case of severe defects in the technical conformance of the artefact under review, or at any time during the operational use of the artefact;

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- List and log all comments related to an artefact under review with recommendation to the author to address the comment made and send them in time to the Commission or to any third party nominated by it;
- Attend review meetings/conference calls with all reviewers and authors, for clarification of the issues and author positions,
- Raise incidents on any defects found during the operational use of the artefact.

The Commission, or a third party on its behalf²⁶, initiates a review schedule and invites the **ITSM3 TES** contractor to contribute on a ‘per artefact’ basis. The Commission may invite third parties to contribute to the review. The Commission currently manages the review cycle with a dedicated ‘comments database’ tool and CIRCABC Interest Groups. The Commission may introduce improvements to the review process tooling support in the course of the **ITSM3 TES** contract²⁷.

The Commission reserves its right to decide what the author of the artefact has to implement in reply to each comment made. The **ITSM3 TES** contractor has no right to limit its overall responsibility in the project because the Commission would have implemented only a subset of the comments and recommendations that the contractor has issued. Refer to **WP.0.6 – Internal Risk Management** and / or **WP.4.2.4 – Risk Management on TES** should the **ITSM3 TES** contractor identify any risks due to such event.

For a detailed description of the review cycle, please refer to Section **11.2.1 - Acceptance of deliverables**.

Service Id	Service Name	SQI
SE.3.1.2.1	Attendance at review meetings to clarify review comments issued	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.3.1.2.2	Technical review reports of artefacts submitted for review by the Commission or other contractors, containing the list of review comments	SQI17

7.4.2 WP.3.2 – DEPLOYMENT OF THE TES

The ‘deployment’ process is critical to meet the quality expectation, which includes the starting date of the TES subject to the deployment. The **ITSM3 TES** contractor must provide the deployment service for the Trans-European Systems. The aim is to achieve the full deployment of a Trans-European System according to an agreed planning schedule.

The deployment is signed off when the Trans-European System is fully deployed²⁸. A deployment of a Trans-European System can take anything from a few weeks to 2 to 3 years according to the complexity, the number, and capabilities of the NAs and other parties involved.

Under this WP, the **ITSM3 TES** contractor will plan, co-ordinate, follow up, support, monitor the Conformance Testing and roll out of the national applications, their entry into production and the after-care period.

7.4.2.1 WP.3.2.1 – Coordination of the NAs, the Commission and other contractors on TES

The **ITSM3 TES** contractor must ensure the overall planning and co-ordination of the deployment amongst the NAs, the Commission and other Commission's contractors.

The planning and co-ordination of the roll out will be essential (in particular for new TES to be put into operation by the NAs) in order to mitigate the risk of major disruption of services at the start of operation.

²⁶ Usually the QA contractor.

²⁷ The **ITSM3 TES** will have to adapt to this new tool / process without additional costs.

²⁸ The reality is that for a TES deployment, typically one or more NAs are either late or have issues to be corrected.

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The deployment planning of the Trans-European Systems must be elaborated and maintained in close collaboration with the NAs. The **ITSM3 TES** contractor must take the necessary initiatives to encourage the NAs to submit national plans in line with the policy objectives and to adhere to the deployment plan. Furthermore, the contractor must ensure that the NAs are progressing with their deployment (Conformance Tests reports, start of operations checklists, etc.).

The planning and co-ordination activities under the deployment process must be conducted in close co-ordination with **WP.4.2.1 - TES Monthly Consolidated Plan Maintenance** and **WP.4.2.2 - TES Progress and Status reporting**.

The **ITSM3 TES** contractor must follow-up/monitor the progress from all parties involved and in particular the NAs and take actions in case of difficulties. The adherence to the agreed planning schedule will be a major indicator of the performance of the **ITSM3 TES** contractor.

Service Id	Service Name	SQI
SE.3.2.1.1	Coordination of the NAs, the Commission and other contractors	SQI18

7.4.2.2 WP.3.2.2 – Functional and Technical Support of the NAs

Throughout the deployment and in particular during the rollout and the after-care periods, the **ITSM3 TES** contractor must support the NAs in meeting the quality expectations that all stakeholders are placing on them in terms of deadlines and service quality.

From a business and functional perspective (but not exclusive), **ITSM3 TES** contractor assists the NAs in getting a throughout understanding of the business process and of the usage of Commission IT Services part of the TES.

From a technical perspective (but not exclusive), the **ITSM3 TES** contractor assists the NAs in getting their CCN gateways and mail servers properly configured by the **ITSM3 Operations** contractor to the requirements of the Trans-European System under deployment. The **ITSM3 TES** contractor is responsible for finalising and performing the quality check for the CCN configuration forms (in the ACT automated tool) in time and to follow their processing by the **ITSM3 Operations** contractor or another Commission's contractor. In case the TES requires resources/services from other contractors, in particular the **ITSM3 Operations** contractor, the **ITSM3 TES** contractor must liaise with them to facilitate their set-up.

The **ITSM3 TES** contractor will provide on-site support and training to the NAs at the request of the Commission under respectively **WP.3.7.6 – Technical support for TES** and **WP.4.5.4 – Trainings / Workshops**.

Service Id	Service Name	SQI
SE.3.2.2.1	Functional and Technical Support of the NAs	SQI13 SQI14

7.4.2.3 WP.3.2.3 – Conformance Testing

Beyond planning, coordination, and support, the key activity for the **ITSM3 TES** contractor to deploy TES is the management of the Conformance Testing of the national applications. The **ITSM3 TES** contractor must coordinate, monitor, support, and report on the NAs' Conformance Tests. The aim of the Conformance Test is to obtain a technical assurance that a NA is ready to enter the Trans-European System without risk of disturbing the parties already in operation on the system.

The **ITSM3 TES** contractor produces a 'Conformance Test Organisation Document' (CTOD) for each deployment, for the review/approval of the Commission and the NAs. A CTOD document covers all phases of the deployment with NAs, including:

- Set-up of connectivity (CCN queues/mail boxes/web services, ...);
- National tests with test services and/or tools provided by the Commission;
- Conformance Tests;
- International Tests;
- End-to-end tests;
- Initial data load/update by the NAs;
- Start of Operations and After Care.

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It may also extend to cover the follow-up of the NA activities in regards to the external national domain (interface with trade).

From the **ITSM3 TES** contractor perspective, the Conformance Test is a service operation dedicated to TES under test (reduced to monitoring, support, coordination). **This means that the ITSM3 TES contractor must be fully ready to deliver before the Conformance Test starts.**

The Commission, or a third party on its behalf, may attend the tests for QA/QC purposes.

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

- **Local Conformance Test (mode 1):** the NA tests its compliance against itself, without the implication of the **ITSM3 TES** contractor. However, the contractor might be expected to support the NA in order to facilitate the execution of tests, e.g. in terms of usage of central tools or communication aspects;
- **Conformance Test (mode 2):** the NA tests its compliance against the Commission's Conformance Test environment, under the management of the **ITSM3 TES** contractor;
- **International Conformance Test (mode 3):** the NA tests its conformance against other voluntary NAs, with the assistance of the **ITSM3 TES** contractor (plan, coordinate, monitor, support, report) if required. The **DG TAXUD** business sector defines in close collaboration with the NAs whether this third test is optional or mandatory;
- **International end-to-end test (mode 3 plus):** the Economic Operators from one NA test with the Economic Operators from another NA thus achieving an end-to-end test. The **ITSM3 TES** contractor provides assistance (plan, coordinate, monitor, support, report) if required; this mode is optional.

The overall plan, co-ordination, follow-up, and support for the four steps are part of the deployment process to be performed by the **ITSM3 TES** contractor.

Conformance Test mode 2

The **ITSM3 TES** contractor verifies the technical compliance of the national applications against the applicable technical system specifications, using a Conformance Test protocol (CTP) delivered by the Application Development party responsible for specifying the system. The Conformance Test mode 2 is made of two successive tests:

- A pre-Conformance Test: During the preCT, the NA runs the full set of tests as specified in the Conformance Test specification, with the support of the **ITSM3 TES** contractor;
- The Conformance Test itself: during the CT, the NA reruns the same full set of tests under the control of the **ITSM3 TES** contractor and the QA contractor.

Based on the report of the Conformance Test from the **ITSM3 TES** contractor and the report of the QA contractor, the Commission will:

- Allow the NA to enter into operation; or
- Allow the NA to enter into operation with restriction; or
- Not allow the NA to enter in operation with the tested application.

The Conformance Test activities of the **ITSM3 TES** contractor include:

- Plan in collaboration with **ITSM3 Operations** contractor the timely availability of the Conformance Test environment;
- Verify the availability and fitness of the Conformance Test environment, configure it as required, in particular configuration of test data to each specific NA;
- Plan the test campaigns and test slots in agreement with the NAs;
- Determine the scope of testing in agreement with the Commission and the development contractor;
- Determine the scope of testing for individual NAs where appropriate;
- Support the NAs to prepare the Conformance Test, including getting their links established with CCN (in liaison with **ITSM3 Operations** contractor and other Commission's contractors) and with the Conformance Test environment;
- On-site mission at the start of each Conformance Test at the request of the NA, subject to approval of the Commission (to be accounted for under **WP.3.7.6 – Technical support for TES**);
- Facilitate, coordinate, monitor CT execution by the NA using the test application and bilateral contacts;

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- Analyse test results and log failed/dubious ones, provide assistance to the NAs in diagnosing the reported errors;
- Analyse possible impact of NA errors and/or non-implemented functionality ("deviations") on production, assess the associated risks, and propose mitigation actions (**WP.4.2.4 – Risk Management on TES**). The analysis will also include, for those CT campaigns linked to an evolution of a TES, knowledge on past CT results and production history;
- Daily co-ordination during each Conformance Test campaign by conference calls between the **ITSM3 TES** contractor, the NA under test and the Commission, with minutes and status report;
- Support the CT environment (create/modify the test scripts, test data);
- Report at the end of each CT and at the conclusion of each CT campaign (when testing with all NAs is completed). The report will notably list all national deviations for follow-up during "after care" and further synthesise any "lessons learnt" from the past CT campaign for future improvement;
- Cater for fast problem resolution for the test applications: manage the fast change and release of the test applications, test data, and test scripts. This is of particular importance at the beginning of a Conformance Test campaign when the test applications have to mature rapidly without slowing down the pace of the Conformance Tests and without affecting the Quality of Service delivered to the NAs.

Based on experience, each Conformance Tests mode 2 requires that each NA to go through from 30 to 400 test cases per Conformance Test and last in elapsed time per NA, due to the number of test cases and NAs involved:

- Category 1 - Checking the connectivity to a Web application: less than a day;
- Category 2 - Checking the compliance of file format: a few days to a few weeks;
- Category 3 - Checking the compliance of an application to a light request/response protocol and message structure: a few weeks to a few months;
- Category 4 - Checking the compliance of an application to a complex conversational protocol and message structure: one to several months.

Based on experience, categories 3 and 4, the duration drops dramatically to a few days/weeks after 5 to 10 NAs go through the Conformance Tests, as the Conformance Test environment (application/script/test data) and associated technical support reach full maturity.

Conformance Test mode 3 / 3+

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

Ad-hoc Conformance Tests

Outside the office Conformance Tests campaign managed by the **ITSM3 TES** contractor, a NA might run an individual CT campaign to check the conformance of its developments against the common specifications. The **ITSM3 TES** contractor shall support the NA when needed, with the same level of services required on official CT campaigns.

Reporting

The **ITSM3 TES** contractor will report on its Conformance Testing activities through MPR and MSR. At the end of a Conformance Testing, **ITSM3 TES** shall launch a Customer Survey towards the National Authorities.

Progress shall be maintained in a live progress dashboard and dedicated risk register. These shall be kept updated at least on a daily basis and made available online. All events shall be analysed and the dashboard and risk register shall be kept up to date with relevant information by the end of the next working day at the latest. Information related to the resources of NAs (contract, budget), late planning or delays in execution and obviously the test results constitute key indicators pertaining to risk.

The **ITSM3 TES** contractor must keep the Commission informed on a daily basis of the results of Conformance Testing of the previous day for each CT campaign. The **ITSM3 TES** contractor will build and maintain per TES **a live dashboard** regarding the test results, progress according to planning, and any other information obtained in relation to the implementation, progress (or lack thereof), or information obtained from NAs. It will use a dashboard and risk register to this end. This alignment status enables to know, which NA is compliant with the scope of testing and with what approved change requests. This is very valuable information for incident diagnosis as it often happens that incidents caused due to national applications aligned to different versions of the TES and/or of the change requests.

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In view of the need for frequent updates, no formal review cycle can be organised. Nevertheless, the **ITSM3 TES** contractor shall take into account any comments that could be raised by the Commission on the reports provided without additional costs.

Service Id	Service Name	SQI
SE.3.2.3.1	Conformance Testing monitoring and support	SQI13 SQI14 SQI19
SE.3.2.3.2	Ad-hoc Conformance Testing support	SQI13 SQI14

Deliverable Id	Deliverable Name	SQI
DLV.3.2.3.3.y	Conformance Test, covering all CT modes <ul style="list-style-type: none"> • Pre-Conformance Test report per NA preCT (y=1) • Conformance Test report per NA CT (y=2) • Conformance Test campaign report (y=3) • Weekly CT progress Dashboard with dedicated Risk Register (y=4) 	SQI01r SQI01a for 1,2,3 SQI02 for 4
DLV.3.2.3.4	Conformance Test organisation (CTOD) document, submitted to a review cycle by the NAs	SQI01r SQI01a
DLV.3.2.3.5	Template for a Start of Operations check list	SQI02
DLV.3.2.3.6	Start of Operations check list	SQI02
DLV.3.2.3.7	Frequently Asked Questions (pertaining to CT), kept up to date and available on line for the stakeholders involved in the Conformance Test campaign.	SQI02
DLV.3.2.3.8	Result of the NA survey	SQI01r SQI01a

7.4.2.4 WP.3.2.4 – Additional services related to CTA Support

DG TAXUD is maintaining a wide range of different Conformance Testing (CT) tools across its business threads (Customs, Taxation, and Excise). A single Conformance Testing Application (CTA) will progressively replace as from 2017 the existing CT tools²⁹.

The CTA will be managed by **ITSM3 TES** as a new TESM tool according to **WP.6.4 – Operations**. The **ITSM3 TES** shall provide additional services on top of **WP.3.2.3 – Conformance Testing**:

- **Planning:**
 - Maintain the National Project Plan (NPP) template in CTA;
 - Collect and maintain NPP from NAs in CTA;
 - Create NPP consolidated view in CTA;
- **Preparation:**
 - Maintain the Test Reference Package (TRP) Specifications. The Test Reference Package is a term used to refer to business input uploaded to CTA for the purposes of CT execution It includes Conformance Test Protocol, reference data, test message templates and their specifications, country specific instantiation data, test cases, rules and conditions. The TRP incorporates and extends the concept of the Conformance Test protocol;
 - Provide TRP specifications and training to an Application Development party responsible for specifying the system under test;
 - Acceptance test of TRPs as developed by an Application Development party responsible for specifying the system under test;

²⁹ See [R5]

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- Maintain and update TRPs in CTA e.g. by collecting data from NA (country specific instantiation data);
- Maintain and update CTA configuration;
- Publication of TRPs;
- Operating a convertor developed by an Application Development party to translate test data and scenarios according to CTA TRP specifications (e.g. after an incident which required update of the test data);
- Assist in the integration process of a TES into the CTA platform (migration) by assessing the existing test data and the convertor;
- **Execution:**
 - Support in error management of the TRP post-publication;
 - Management of "rapid" incident / problem / change / release cycles related to the validity and correctness of TRP and CTA
 - Provide feedback to the Application Development party to implement mitigating actions. In this context it is underlined that all incidents must be tracked to resolution, using appropriate tools e.g. Service Management Tool (SMT);
 - Risk analysis and management (identify, prioritise, escalate, and propose mitigation actions).

Moreover, activities of **the ITSM3 TES** contractor include:

- Support the IT collaboration efforts of NA in the context of Conformance Testing. An indicative example is the collection and the integration in CTA of business-like test data from NA to drive realistic tests;
- Training on the use of CTA for different user roles;
- Training for integrating a TES into the CTA environment covering the migration artefacts (e.g. on TRP specifications) and the CT environment.

Service Id	Service Name	SQI
SE.3.2.4.1	CTA Support	SQI13

7.4.2.5 WP.3.2.5 – After-care

The national deviations identified during the Conformance Testing are documented in the Conformance Test Report. On top of these, there are national deviations (non-implemented or incorrectly implemented functionality) that are identified during operations and are registered in SMT as Known Errors.

ITSM3 TES shall consolidate in one unique document per business thread / TES the national deviations identified during the CT campaign and during the operations. This document shall be delivered on a monthly basis with the MSR.

Deliverable Id	Deliverable Name	SQI
DLV.3.2.5.1	National deviation per Business Thread / TES (Annexed to the MSR)	SQI06r SQI06a

7.4.3 WP.3.3 – DEPLOYMENT OF IT SERVICES AND TESM TOOLS

This Work Package covers deployment of new IT Services, new releases of the application and service packs or patches/hot fixes. Of particular importance will be the deployment of new releases of testing IT services, while a Conformance Test campaign will be in progress, which in most cases shall take place under a ‘rapid’ change and release management in order to mitigate the risk of delay in the on-going Conformance Test campaign(s). Experience indicates that one release of test IT services per week and 2 to 3 releases of test data per week may be required at the peak of a Conformance Test campaign.

This WP covers all the IT services that the **ITSM3 TES** contractor shall configure and/or use and/or support from a business perspective to provide services to NAs and the Commission. **ITSM3 TES** contractor will act as functional-user/support-team/configuration-responsible of the IT services. This includes:

- The CCN monitoring tool;
- The CCN Web portal;

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- SMT Tool (Synergia);
- The monitoring/statistics/availability IT services;
- The test applications (including the CTA);
- The central IT services delivered as part of TES.

The application management of these IT services will be done by the **ITSM3 Operations** contractor or other Commission's contractors and are not in the scope of **ITSM3 TES**.

The **ITSM3 TES** contractor will deploy IT services of the Commission from a business/user perspective, in which the planning, coordination, configuration, data feeding, functional test, and qualification are the key activities.

7.4.3.1 WP.3.3.1 – Coordination of the NAs, the Commission and other contractors on IT Services

The planning and co-ordination of the deployment of an IT service and its 'after care' period will be essential (in particular for new applications destined to NAs) in order to mitigate the risk of major disruption of services at the start of operation.

The **ITSM3 TES** contractor is responsible for planning, managing, and performing the business deployment, including co-ordination with third parties involved, mainly the **ITSM3 Operations** contractor, Application developers and the Commission:

- Co-ordinate the configuration update of Commission IT services by the NAs in case it is a prerequisite to start the system roll out and operation (e.g. update of the customs and excise office lists, of the VIES and NCTS test applications);
- Configure and set data before the IT Service is open to the user community. The **ITSM3 TES** contractor must set up and configure the operation (including monitoring and statistics).

The **ITSM3 TES** contractor shall produce an IT service deployment plan and manage its implementation. All scheduled interventions under the control of the **ITSM3 TES** contractor and giving rise to scheduled service unavailability must take place outside working hours.

During the deployment phase, the **ITSM3 TES** contractor shall

- Liaise with the **ITSM3 Operations** contractor to facilitate the deployment;
- Acquire the functional and technical knowledge to support further the IT services. The Application Development third party will provide formal training at no cost to the **ITSM3 TES** contractor before the deployment. The **ITSM3 TES** contractor must in parallel gain 'hands on' knowledge while co-operating with the **ITSM3 Operations** contractor and the Application Development third party during the deployment;
- The **ITSM3 TES** contractor must follow-up/monitor the progress from all parties involved and take actions in case of difficulties.

Service Id	Service Name	SQI
SE.3.3.1.1	Coordination of the NAs, the Commission and other contractors	SQI20

Deliverable Id	Deliverable Name	SQI
DLV.3.3.1.2	IT service deployment plan	SQI01r SQI01a

7.4.3.2 WP.3.3.2 – Factory Acceptance Testing (FAT)

The prerequisite for the Commission before proceeding with a deployment is a successful Factory Acceptance Testing (FAT) by the development party of any software component modified. This phase is under the responsibility of the xDEV contractor.

Nevertheless, on an ad-hoc basis, the Commission can request the **ITSM3 TES** contractor to:

- Attend part of the FAT in order to foster knowledge acquisition by the **ITSM3 TES** contractor;
- Verify the quality of the following elements and their fitness to start the Factory Acceptance Testing:

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- The test-related artefacts (i.e. test plan, functional test specification, test addendum, test data...) provided by the developing party and by the **ITSM3 Operations** contractor. The **ITSM3 TES** contractor will pay particular attention to ensure the coverage of all functional and non-functional requirements of the software components by the test-related artefacts;
- The associated documentation (in particular user guide, administration);
- Define an addendum to the test specifications, aiming at refining and complementing the test specifications received from the Application Development party as appropriate.

Service Id	Service Name	SQI
SE.3.3.2.1	Ad-hoc Attendance at FAT	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.3.3.2.2	FAT - Addendum to the test plan and test specifications	SQI01r SQI01a

7.4.3.3 WP.3.3.3 – PreSAT - Preliminary Service Acceptance Testing

This phase is under the responsibility of the **ITSM3 Operations** contractor. Nevertheless, on an ad-hoc basis, the Commission may invite the **ITSM3 TES** contractor to attend part of the PreSAT in order to foster knowledge acquisition by the **ITSM3 TES** contractor.

Service Id	Service Name	SQI
SE.3.3.3.1	Ad-hoc Attendance at Pre-SAT	SQI13

7.4.3.4 WP.3.3.4 – SAT - Service Acceptance Testing

This phase is under the responsibility of **ITSM3 Operations** contractor. Nevertheless, on an ad-hoc basis, the Commission can request the **ITSM3 TES** contractor to:

- Attend the SAT in order to foster knowledge acquisition by the **ITSM3 TES** contractor;
- Verify the quality of the following elements and their fitness to start the Service Acceptance Testing:
 - The test-related artefacts (i.e. test plan, functional test specification, test addendum, test data...) provided by the developing party and by the **ITSM3 Operations** contractor. The **ITSM3 TES** contractor will pay particular attention to ensure the coverage of all functional and non-functional requirements of the software components by the test-related artefacts;
 - The associated documentation (in particular user guide, administration);
- Define an addendum to the test specifications, aiming at refining and complementing the test specifications received from the Application Development party as appropriate.

Service Id	Service Name	SQI
SE.3.3.4.1	Ad-hoc Attendance at SAT	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.3.3.4.2	SAT - Addendum to the test plan and test specifications	SQI01r SQI01a

7.4.3.5 WP.3.3.5 – FT - Functional Testing

The **ITSM3 TES** contractor will execute the functional testing of each new or amended IT Service (resulting from updated or new software components release/patch/hot-fix) once placed in the functional testing

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environment of the Commission³⁰ by the **ITSM3 Operations** contractor. Functional tests are being conducted remotely. The Commission, or a third party on its behalf³¹, may attend the functional tests for QA/QC purposes.

The **ITSM3 TES** contractor has to verify the quality of the following elements and their fitness to start the functional testing:

- The test-related documentation (i.e. test plan, functional test specification, test addendum, test data) provided by the developing party and by the **ITSM3 Operations** contractor;
- The associated documentation (in particular user guide, administration).

The **ITSM3 TES** contractor will define an addendum to the test specifications, aiming at refining and complementing the functional test specifications received from the Application Development party as appropriate.

The **ITSM3 TES** contractor performs the test according to test specifications provided by the Application Development contractor and the addendum to the test plan that they produced themselves. The **ITSM3 TES** contractor logs any identified IT services defects found during the tests and will communicate them to the Commission. The **ITSM3 TES** contractor executes the functional test ensuring traceability to the QA contractor, using the agreed test plan/specifications (and any related addendum) and testing team. During the testing, the **ITSM3 TES** contractor informs the Commission about the status of the testing via daily progress summary reports. During the tests, the **ITSM3 TES** contractor will grant access to its office and test facility, and offer office accommodation, to the Commission, the development party, the QA contractor and any third party designated by the Commission.

Based on the test report from the **ITSM3 TES** contractor, the report from the QA contractor and the minutes of the meeting ending the functional test, the Commission decides that the IT services under testing are:

- Accepted; or
- Accepted with reservations (which will be implemented in future releases of the application and therefore be registered in the CMDB as problems); or
- Rejected.

Only versions or releases accepted by the Commission are authorised by the release management for deployment on the production environment and/or eligible to be published on the web for downloading by the NAs.

There are two types of functional tests of IT services:

- **Comprehensive functional tests:** Comprehensive testing of the new features of a set of IT services under deployment, with regression, based on test specifications. The full testing is used for IT services addressing a high number of new requirements and/or for which the Commission perceives significant risks of regression and/or of performance. Experience suggests that a comprehensive test lasts on average from a few days to several weeks.
- **Functional qualification:** Testing of an intermediate release, service pack, patch, or hot fix of a set of IT services, with short delay. Qualification is restricted to IT services addressing a limited number of well-circumvented problems and for which the Commission perceives low risks of regression and/or performance but a high risk of delayed release.

Based on experience, a qualification takes from a few hours to some days according to the number of problems addressed.

Service Id	Service Name	SQI
SE.3.3.5.1	Functional Testing	SQI13 SQI21

³⁰ CONF (Conformance) or SAT or any other environment.

³¹ Usually the QA contractor.

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Deliverable Id	Deliverable Name	SQI
DLV.3.3.5.2.x	Functional testing <ul style="list-style-type: none"> • Addendum to the test plan and test specifications (x=0) • Comprehensive functional test report (x=1) • Functional qualification report (x=2) • Daily status report (x=3) 	SQI01r SQI01a for 0,1,2 SQI02 for 3

7.4.4 WP.3.4 – CONFIGURATION MANAGEMENT

The artefacts used, supported, and produced by the **ITSM3 TES** contractor to support the provision of the services must be registered as CIs and are the sole property of the Commission, free of any intellectual property rights from third parties, including the **ITSM3 TES** contractor.

The configuration management will embrace all CIs falling under the scope of **ITSM3 TES**:

- **Trans-European Systems** falling in the scope of the business threads, materialised by all artefacts specifying the Trans-European Systems;
- **IT services offered by the NA within each Trans-European Systems** (as seen as using the CCN resources: queues, web services, mailboxes, synchronous functions): crucial for TES event / incident / problem management, availability / continuity / security management, deployment of TES;
- **Commission IT services offered to NAs as components of Trans-European Systems** and/or to other stakeholders such as citizens, all artefacts specifying them;
- **eForms** provided by the Commission to NA and associated artefacts;
- **TESM tools** developed and operated by the **ITSM3 TES** contractor, associated infrastructure, and specification.

The **ITSM3 TES** contractor is responsible for the following activities for CIs falling under its scope:

- Identify CIs changes (new CI, update of the status);
- Update accordingly the CMDB;
- CIs Reporting.

NOTA: at the beginning of the FWC, **ITSM3 TES** will be granted a read-only access to the CMDB. However, this situation might evolve in the future and **ITSM3 TES** shall take the responsibility of updating the CMDB for CIs falling under its scope. In the interim situation the update by **ITSM3 TES** is being replaced by the following tasks:

- Communicate the CI changes to **ITSM3 Operations** for integration in the CMDB;
- Control correct CIs implementation of changes once applied by **ITSM3 Operations**.

Neither the interim period, nor the transition to the target process should generate additional costs.

The **ITSM3 TES** contractor will use the SMT Tool (Synergia) CMDB of **ITSM3 Operations** to manage the CIs falling under the scope of the contract. The **ITSM3 TES** contractor must ensure the SMT Tool (Synergia)/CMDB is up-to-date in order to ensure that the deployment and operation takes place according to expectation. The level of CI granularity must be chosen to allow the best compromise between effective and efficient service support, event management and availability management.

The **ITSM3 TES** contractor will not manage any of the CIs falling under the scope of **ITSM3 Operations** but may have to refer to them as the need arises; the **ITSM3 TES** contractor will not manage the IT applications and infrastructure of the Commission that is used by the **ITSM3 Operations** contractor to deliver the IT services.

The Configuration Management is a key to ensure the integrity of the **ITSM3 TES** services, whose quality must be always assured and safeguarded.

Service Id	Deliverable Name	SQI
SE.3.4.1	Populate SMT/CMDB, maintain its data up to date and improve the CMDB for all CI's in the scope of the contract.	SQI13 SQI22a SQI22b SQI23

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		SQI25f SQI26b
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7.4.5 WP.3.5 – CHANGE AND RELEASE MANAGEMENT

The Change and Release Management process is applicable for all CIs falling under the scope of the contract while focusing on the CIs under the responsibility of the Commission, notably:

- IT Services provided by the Commission;
- eForms provided by the Commission to the NAs;
- The TES specifications and change/release to the IT services provided by NAs during deployment of TES;
- TESM tools.

The **ITSM3 TES** contractor must as well monitor changes and releases in CIs in the CMDB outside of the scope of **ITSM3 TES** in order to detect potential impact on the CIs in the scope of **ITSM3 TES**. The **ITSM3 TES** contractor needs also to remain aware of the release schedule for the CIs' of the Commission which are managed by other parties and which contribute to the service provisions with the understanding that the **ITSM3 TES** contractor is not responsible for their release management.

The **ITSM3 TES** contractor will be required to prepare and minute the Change Advisory Board (CAB) of each business thread. CAB membership will be adapted according to the nature of the CIs at stake. It will be drawn from the Commission, the **ITSM3 Operations** contractor, third parties nominated by the Commission, the NAs and the **QA** contractor. Only the Commission can approve the changes to be implemented while the CAB and any other party provide only advisory support.

The **ITSM3 TES** contractor must manage the changes and releases in the CMDB of **ITSM3 Operations** and must be able to produce reports. In particular, the **ITSM3 TES** contractor has the responsibility to:

- Maintain a list with all the Incidents pending for an Request for Change (RfC) creation on a regular basis by extracting the respective records from the SMT and crosschecking information provided by **CUSTDEV** and **FITSDEV**;
- Maintain a list of RfCs per CI;
- Manage the CAB meeting (make an initial assessment on the pending RfCs and propose the scope for the next CAB meeting, send invitation, update the RfC list according to the decision taken in the CAB meeting);
- Publish the RfC Lists and the Minutes of CAB meeting on CIRCABC to launch the Review Cycle;
- Publish the RfC Lists on ITSM Portal Publishing Platform (in order for all involved parties to have a view on the progress of the RfCs);
- On demand from **DG TAXUD** when a release is to be scheduled, produce the Release Scope Document (RSD), which lists all RFCs that are assessed to be included in a new release of a CI and submits it to **DG TAXUD** for (formal) publication on CIRCABC,
- Ensure the CMDB is correctly updated (in particular link between service calls to change and release management).

The RfC on the functional and technical specifications of the Trans-European Systems, which affect all NAs and the Commission (e.g. change management process in NCTS) are of critical importance as they have wide planning, resource and service continuity implications. The **ITSM3 TES** contractor must maintain the release schedule up to date and available to the Commission and NAs.

The **ITSM3 TES** contractor will support the "rapid" change and release, in particular in the context of TES Conformance Test.

The **ITSM3 TES** contractor has to issue alerts to the Commission in cases of extended change implementation delays or in cases where major risks are identified during the course of the change analysis or implementation phases.

Service Id	Deliverable Name	SQI
SE.3.5.1	Change Management, including creation/update/follow-up of the RfCs in the SMT/CMDB, management of the CAB, and production of Release	SQI13 SQI23

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	scope document and RfC lists in line with information in SMT/CMDB and availability of the schedule of changes	
SE.3.5.2	Release Management, including creation/update of release records in the SMT/CMDB, availability of the release schedule.	SQI13 SQI23

Deliverable Id	Deliverable Name	SQI
DLV.3.5.3.x	Manage the CAB meeting: <ul style="list-style-type: none"> • Briefing (x=1) • Agenda (x=2) • Minutes (x=3) Or run the CAB by written procedure	SQI02
DLV.3.5.4	List of Request for Changes per CI	SQI01r SQI01a
DLV.3.5.5	Release Scope Document	SQI01r SQI01a

7.4.6 WP.3.6 – BUSINESS OPERATIONS OF THE TES AND IT SERVICES

7.4.6.1 WP.3.6.1 – Event Management

The **ITSM3 TES** contractor shall monitor the technical behaviour of the NA and the Commissions IT services connected to the Trans-European Systems, using all the monitoring IT services at its disposal:

- SMT Tool (Synergia);
- Monitoring/statistic/availability IT services;
- CCN monitoring tools;
- Information and services provided by **ITSM3 Operations** contractor and other contractors;
- Information provided by the NAs or TESM tools (subject to agreement by **DG TAXUD**);
- And its technical, functional and business knowledge.

ITSM3 TES contractor shall:

- Follow-up the trends and patterns of the use of IT services of all TES;
- Raise an incident in case of user activity deviation;
- Trigger the availability process for any business trend which indicates an unavailability;
- Address the incident with the relevant stakeholders (**ITSM3 Operations**, **xDEV** contractors) and follow it until its closure.

The Transformation Project ‘Business Monitoring’ (**WP.2.2.1 – Business Monitoring**) shall improve the ability of **ITSM3 TES** contractor to

- Provide real-time information about the status and results of various operations, processes, and transactions;
- Manage alerts based on patterns of behaviour;
- Present a real-time head-up display (e.g. monitoring dashboard/console) of the status of the TES and **ITSM3 TES** services. This display should be available for both NAs and **DG TAXUD** staff

Service Id	Service Name	SQI
SE.3.6.1.1	Event monitoring	SQI13

7.4.6.2 WP.3.6.2 – Update Operational Production data

The **ITSM3 TES** contractor shall update operational production data owned by the Commission (e.g. reference data’s code list values), upon request from the Commission via a service call. The data update can be a creation, a modification and/or a deletion. The update can be performed using various means, including the user interface

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of a central application (e.g. CS/RD) or an XML file upload. The **ITSM3 TES** contractor will apply its internal QA in the update process to ensure it is conform to the request.

The update shall be done according to the planning agreed with the Commission and without impact on the service. **ITSM3 TES** shall always foresee a rollback.

Service Id	Service Name	SQI
SE.3.6.2.1	Update Operational Production data	SQI13

7.4.6.3 WP.3.6.3 – Business monitoring, statistics and reporting

The **ITSM3 TES** contractor shall compile daily/weekly/monthly/quarterly business reports with business usage statistics and analysis of abnormal business trends/patterns.

On a daily basis, for each Trans-European Systems, the **ITSM3 TES** contractor must inform the Commission of the operation of the previous day.

Any critical incident will be specifically analysed by the Problem Management process (**WP.3.7.3 – Problem Management**) and a complaint will be raised in case it is proved that an incident was not correctly identified and raised by the event management process before detection by a NA.

In view of the need for frequent updates, no formal review cycle can be organised. Nevertheless any remark formalized by **DG TAXUD** concerning the format, the data or the analysis shall be fixed by **ITSM3 TES** in maximum five (5) working days.

The Commission may require the **ITSM3 TES** contractor to perform ad-hoc business analysis and reporting based on data available. The Transformation Project ‘On-line reporting’ (**WP.2.2.2 – On-line reporting**) should improve the efficiency of **ITSM3 TES** to generate on-demand reporting for any period.

This work package includes also the corrective and adaptive maintenance of the business reports: change of format, reorganisation, and presentation of a set of data according to new filters or new views. Only the reports based on new dataset may lead to a Request for Action under **WP.7 – Other deliverables and services in the scope of the contract**.

Service Id	Service Name	SQI
SE.3.6.3.1	Business monitoring and Statistics	SQI13
SE.3.6.3.2	Daily and weekly report on monitoring business operations and statistics	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.3.6.3.3	Monthly Service Report - Reporting on business monitoring and statistics	SQI06r SQI06a
DLV.3.6.3.4	Quarterly Service Report - Reporting on business monitoring and statistics	SQI06r SQI06a
DLV.3.6.3.5	Ad hoc business analysis and reporting	SQI01r SQI01a

7.4.7 WP.3.7 – SERVICE SUPPORT OF THE TES

7.4.7.1 WP.3.7.1 – 2nd level Service Desk

The 2nd level Service Desk (SD) serves as an escalation SPOC for the **ITSM3 Operations** 1st level Service Desk to handle incidents, problems, requests for services and submission of change requests for CIs falling in the scope of **ITSM3 TES** contractor.

It must support communication in English, French, and German and must be available on the BASIC service window. It must be able to communicate via telephone, e-mail, and fax. It must use the SMT Tool (Synergia) services provided by **ITSM3 Operations** contractor.

The 2nd level SD is responsible for orchestrating/managing the incidents, problems, and changes assigned to **ITSM3 TES** contractor and the provision of information to users via the 1st level SD. The second level SD will also have access to information on calls, requests for information, requests for service, incidents, problems

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managed by the 1st level SD that are resolved by the 1st level SD, so as to integrate this information in its monitoring activities.

The second level SD has to announce scheduled and unscheduled service un-availabilities and anticipated downtime to users via the first level SD. It will manage distribution lists and contacts lists to reach the NAs:

- Identification of the contact points in the NAs;
- Periodic checks of the list of contact points;
- Management of the incidents (email addresses or phone numbers that no longer exist).

As the **ITSM3 TES** Service Desk is in permanent contact with the NA, any complaint received from a NA concerning the performance of **ITSM3 TES** Service Desk will be managed as a complaint as described in **WP.0.7 – Internal Incident Management**. The performance of the SD will also be assessed through the Periodic survey of the NA as described in **WP.4.3.3 – Periodic survey of each of the NAs**.

Service Id	Service Name	SQI
SE.3.7.1.1	Second level SD and associated support team available during the basic time coverage	SQI13 SQI14
SE.3.7.1.2	Management of the contact list for external users (NAs, traders) and Distribution list per Business Threads / TES / IT Services	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.3.7.1.3	Contact list for the NAs and Traders	SQI02
DLV.3.7.1.4	Distribution list per Business Threads / TES / IT Services	SQI02

7.4.7.2 WP.3.7.2 – 2nd level Incident management

The **ITSM3 TES** contractor shall

- Manage the complete life cycle (from reception up to reply to 1st level SD) of each 2nd level incident related to the CIs in the scope of the **ITSM3 TES** contract;
- Resolve incidents falling under its direct responsibility or escalate to, and coordinate effort with, the **ITSM3 Operations** contractor's Technical Support and in last resort with the third parties responsible for resolving them (nth level of support) according to resolution times specified in the contract OLA, the OLAs, SLAs, and ToCs.

As the incidents to be managed may relate to a wide range of Trans-European Systems CIs, some of them falling under the responsibility of parties outside the **ITSM3 TES** contractor (NAs, Commission, other contractors), the incident management process will be responsible for escalating the incident resolution to the appropriate parties and to document the reasoning which leads to the escalation to an external party.

However, the **ITSM3 TES** contractor must not escalate to external parties the resolution of incidents falling in its scope and must in particular take advantage of its Technical Support (**WP.3.7.6 – Technical support for TES**) to minimise external escalations.

The **ITSM3 TES** contractor must take initiatives to co-ordinate the actions of all intervening parties, in order to minimise the critical path of the resolution of the incident (and avoid any slack time on it) and promote the compliance with the SLA and OLA. This is of particular importance when the incident relates to NA IT services unavailability, as it may require close co-ordination with the NAs.

In case of an incident escalation towards a third party, unless otherwise specified in an applicable OLA, the **ITSM3 TES** contractor has to issue appropriate periodic reminders until the incident is resolved.

Service Id	Service Name	SQI
SE.3.7.2.1	2nd level incident management, including ensuring integrity of the SMT/CMDB from an incident perspective	SQI24 SQI25a SQI25b SQI25c SQI25d SQI25e

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		SQI25f SQI13
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7.4.7.3 WP.3.7.3 – Problem Management

The **ITSM3 TES** contractor shall manage the problems related to the CIs falling within the scope of the contract, according to **TEMPO** specifications. It shall use the SMT services delivered by the **ITSM3 Operations** contractor to this end. Problem management may require escalation to other Commission's contractors in particular the ones in charge of specification and development (**xDEV**). **ITSM3 TES** contractor is responsible for collecting the evidence on which the problem must be addressed.

Problem Management shall diagnose the root cause of recurring and critical incidents and determine the resolution of those incidents. It is also responsible for ensuring that the resolution is implemented through the appropriate control procedures, especially Change and Release Management.

Any critical incident should lead to an ex-post (post-incident review) analysis to determine the root cause to help **DG TAXUD** report to the NAs.

ITSM3 TES shall also maintain a dashboard per TES presenting in a synthetic view (dashboard) the status of incidents, known errors and RfC per Member State³². It shall maintain per TES a **status of each IT service provided by the NAs** and the Commission regarding their alignment to versions of Technical Systems Specifications (TSS) and to approved change requests of these TSS. It will use a dashboard and risk register to this end. This alignment status enables to know, at a given point in time (in the future or past), which NA is compliant with what version of the TSS and with what approved change requests. This is very valuable information for incident diagnosis as it often happens that incidents are due to national applications aligned to different versions of the TSS and/or of the change requests.

Problem Management will also maintain information on the appropriate workarounds and resolutions, so that **ITSM3 TES** will be able to reduce the number and impact of incidents over time.

Request for Diagnosis will also fall under problem management.

Service Id	Service Name	SQI
SE.3.7.3.1	Problem management, including ensuring integrity of the SMT/CMDB from a problem perspective	SQI24 SQI25c SQI25d SQI26a SQI26b SQI13

Deliverable Id	Deliverable Name	SQI
DLV.3.7.3.2	Ex-post analysis of critical incidents	SQI01r SQI01a
DLV.3.7.3.3	Weekly Dashboard per TES	SQI02

7.4.7.4 WP.3.7.4 – Service Request Management

The **ITSM3 TES** contractor has to manage all service requests falling under its responsibility, in compliance with the contract OLA. A non-exhaustive list of Service Requests (SRs) is the following:

- Deliver on requests for information/documentation;
- Requests for conference call and virtual meetings;
- Request for diagnosis (to be handled as a problem);
- Request for access;
- Requests for a training/workshop;

³² Such a dashboard is currently implemented for MOSS but will be progressively extended to other TES.

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- Requests for a technical/coordination meeting, meetings with working groups;
- Requests for remote and on-site technical support to an NA;
- Requests for a co-ordination mission;
- Requests for ad hoc support (e.g. data extraction);
- Business related requests for information to be escalated to the appropriate business service within **DG TAXUD**.

The fulfilment of the requests for information and documentation is included in the Service Request Management. The fulfilment of other service requests falls under their respective WPs, while their management rests with Service Request management process.

The **ITSM3 TES** contractor has to maintain status and progress on service requests in the SMT Tool (Synergia).

Service Id	Service Name	SQI
SE.3.7.4.1	Service Request Management from inception to closure	SQI24 SQI13

7.4.7.5 WP.3.7.5 – Access rights Management

The **ITSM3 TES** contractor is responsible for granting access rights to the IT services delivered by the Commission, which fall in the scope of the **ITSM3 TES** contract. The **ITSM3 TES** contractor shall comply with the procedures in place, which require pre-approval from the Commission. This includes test applications, web fora (e.g. CIRCA BC groups), monitoring/statistic/availability, reference applications and access to CCN resources.

This WP will work in close coordination with the **WP.5.1 – Security Management** in order to ensure its compliance with the security policy.

For some of the services, including access to CCN resources, the **ITSM3 TES** contractor shall complete the necessary forms and escalate the request to the **ITSM3 Operations** contractor using SMT Tool (Synergia).

Service Id	Service Name	SQI
SE.3.7.5.1	Access Right management to the IT services	SQI13

7.4.7.6 WP.3.7.6 – Technical support for TES

The **ITSM3 TES** contractor will offer the technical support related to the TES systems and IT Services falling under its scope.

Technical support is all about continuous acquisition of knowledge about the business, functional and technical, lifecycle aspects of the CIs at stake in order to feed it back to the user of **ITSM3 TES** services, should they be internal or external.

As from the takeover of the activities, the ITSM3 TES contractor must be autonomous in supporting all TES and IT Services that it has to ‘operate’ and restrict to the absolute minimum any further escalation to third parties. The technical support must be able to address both technical and business related issues as some of the Commission IT services will be deployed in, and delivered by, the NAs, while others IT services will be delivered by the Commission.

This underlines the importance for the **ITSM3 TES** contractor to ensure the quality of its knowledge acquisition in **WP.3.1 – Participation to the Development Lifecycle, WP.3.2 – Deployment of the TES and WP.3.3 – Deployment of IT Services and TESM tools** and to capitalise this knowledge acquisition through **WP.2.2.3 – Knowledge Management System**.

Remote technical support

ITSM3 TES must provide remote technical support in reply to requests from the users of the **ITSM3 Operations** 1st level Service Desk. The remote technical support is to be provided from within the business thread function directly, as it is knowledge intensive. It has to maintain and publish a list of frequently asked questions related to operation for each TES and ITS in operation available up to date on line.

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On-site technical support

The **ITSM3 TES** contractor has to provide on-site technical support to the NAs or any third party designated by the Commission. The on-site technical support will cover, but not be limited to

- Setup test and operation environment;
- Provide assistance to the NAs in getting their local applications connected with IT services available in the Trans-European Systems;
- Deliver ad-hoc training;
- Deliver technical advice;
- Diagnose and address technical issues.

For each on-site technical support mission, the **ITSM3 TES** contractor shall:

- Provide the agenda;
- Prepare the mission material;
- Perform the mission;
- Provide the mission report.

Ad hoc support

Any technical support to a user of **ITSM3 TES** falling in the scope of **ITSM3 TES** but not included in the previous provision must be addressed after the approval of the Commission and may lead to a Request for Action under **WP.7 – Other deliverables and services in the scope of the contract**.

Service Id	Service Name	SQI
SE.3.7.6.1	Remote support	SQI13
SE.3.7.6.2	On-site technical support including: <ul style="list-style-type: none"> • Deliver the agenda (DLV.4.5.3.3) • Preparation of the on-site support material (DLV.4.5.3.2) • Mission report (DLV.4.5.3.5) 	SQI13 SQI14
SE.3.7.6.3	Ad-hoc support	SQI13 SQI14 As per RfA
SE.3.7.6.4	Frequently asked questions related to operation for each TES and ITS in operation available up to date on line.	SQI13

7.4.8 WP.3.8 – AD-HOC SERVICES

7.4.8.1 WP.3.8.1 – Conference calls / Virtual meetings

The **ITSM3 TES** contractor is responsible for organising the event (including agenda as needed), facilitating it, and producing minutes within 1 working day after the end of the event. A conference call may involve the Commission, the **ITSM3 TES** contractor, suppliers of the Commission, NAs and/or any third party designated by the Commission (e.g. candidate country, third country such as Russia).

Service Id	Service Name	SQI
SE.3.8.1.1	Organise, facilitate and minute conference calls/virtual meetings/video conference, including the provision of the supporting Web conferencing services	SQI13

7.4.8.2 WP.3.8.2 – Web mastering the portals for each TES system community

The Commission facilitates the communication, information sharing and exchange, access to other services/environments (i.e. e-collaboration) and distribution/download of artefacts among the involved parties (Commission, contractors, NAs and in some case third parties) through web portals.

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An artefact may be, but is not limited to: documents, applications, a demonstration, a report, conference call minutes, Conformance Test planning/logs/minutes, ad-hoc meeting minutes, FAQ, configuration baseline for systems in NAs, service baseline, planned upgrades, change and release information, business/monitoring statistics, un-availabilities of NAs, technical notes in the context of a remote support to NAs, access to other services.

In the context of this WP, the **ITSM3 TES** contractor has to:

- Coordinate the collection of artefacts subject to publishing;
- Process the layout, if necessary, prior to upload for dissemination;
- Upload the artefact in the appropriate web environment so that authorised users can access it. The **ITSM3 TES** contractor will publish artefacts only on request from the Commission, unless otherwise agreed;
- Manage user access to the web environments.

The web environments to be managed by the **ITSM3 TES** contractor are logically segmented by TES system community within each business thread. Most of the web environments are hosted by the Commission as CIRCABC Interest Groups but may also take other forms. The Transformation Project ‘Knowledge Management’ (**WP.2.2.3 – Knowledge Management System**) should implement the target repository for these deliverables.

The Web Mastering process must be organised per business thread to ensure quality of service.

Service Id	Service Name	SQI
SE.3.8.2.1	Web mastering the web environments for the supported business threads	SQI13

7.4.8.3 WP.3.8.3 – Specimen Management System support

This WP is related to the assessment and collection of data sent by NAs and extended to the post verification to be carried out to ensure good quality of services delivered.

- **General support/Maintenance of the SMS application:**
 - Follow-up of the mailbox dedicated to **DG TAXUD** SMS activities³³;
 - Management of the notification email address list of the two domains under **DG TAXUD** remit, i.e. EXPORT and TRANSIT (sub-domains included namely Pre-authenticated Transit documents, Transit Certificates and waivers of guarantee, Individual guarantee by means of vouchers, Transit Stamps or seals);
 - Ensure the quality of the existing data and identify possible actions to be performed;
 - Analyse the SMS business domains under **DG TAXUD** competence further develop and refine the problems/requirements list for input to the System Change Request (log);
 - Make recommendations on the process used to deal with the Data Input Requests (DIR) sent by NAs;
 - Assist and provide support to **DG TAXUD** for SMS related matters;
 - Ensure follow-up to calls escalated by the Service Desk on SMS matters;
 - Update the ‘SMS Overview of the system’ presentation and provide, upon request, trainings to **DG TAXUD**;
 - Report to **DG TAXUD** the activities provided in the Monthly Service Report;
 - Alert **DG TAXUD** of any potential risk linked to the SMS system;
 - Update and release new versions of the SMS Process Management document;
 - Participation at meetings, upon request, for the SMS application;
 - Drafting of the meeting minutes on SMS;
 - Draft technical communications to NAs based on specific requests of **DG TAXUD**;
 - Update of the ‘Reference data’ section of the system based on specific requests;

³³ At the moment, the follow-up of this mailbox impose a physical presence in **DG TAXUD** premises at least once per week. After signature of the FWC, the **ITSM3 TES** may propose any other technical solution as long it is compliant with the Security Requirements.

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- Create and/or update the organisation section of the system based on specific requests;
- **Process the Data Input Requests (DIR)**
 - Record the DIRs forwarded by **DG TAXUD** in the SMS DIR record log;
 - Record the DIRs received by NAs through the SMS functional mailbox in the SMS DIR record log;
 - Assess and check the data provided by NAs;
 - Identify the action(s) to be performed;
 - Capture the data in the system;
 - Update the record log;
 - List and track the DIRs;
 - Start and manage correspondence with NAs on behalf of **DG TAXUD** to retrieve missing information;
 - Process to a post-verification of data captured;
 - Archive data.

Service Id	Service Name	SQI
SE.3.8.3.1	General support/maintenance of the SMS application	SQI13
SE.3.8.3.2	Process the Data Input Requests (DIR)	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.3.8.3.3	SMS Monthly Service Report	SQI01r SQI01a

7.4.8.4 WP.3.8.4 – Processing of statistical information coming from the Member States

The processing of statistical information coming from the NAs is periodically needed.³⁴ The NAs have to upload data into a **DG TAXUD** system.

ITSM3 TES must:

- Initiate the procedure with the NAs for the collection of the required statistical information and, if necessary, guide the NA users to upload their data into the **DG TAXUD** application either by using a Web interface, or by using a system-to-system interface ;
- Identify errors in the usage of the interfaces preventing the uploading of the business statistics and follow up on the resolution with **ITSM3 Operations** and the involved NA;
- If necessary, convert raw data to an agreed template, using either tools provided by the Commission;
- Report on an ad hoc and upon request basis on the status of the process;
- Publish the results of the process to the NAs to an agreed medium (Transmission by mail, CIRCA BC, central reporting tool as defined WP.2.2.2 – On-line reporting...).

Service Id	Service Name	SQI
SE.3.8.4.1.x	Processing of statistical information coming from the Member States	SQI13

Deliverable Id	Deliverable Name	SQI
DLV. 3.8.4.1.x	NAs periodic Statistical Report	SQI01r

³⁴ At the time this Technical Annex is written, only two processes are identified:

- Monthly integration of CUBUS data, which is described in the **ITSM2 Lot2 BL** (WP.10 - DLV.10.6-1)
- Quarterly integration of VIES data, which is described in the **ITSM2 Lot2 BL** (IWP " Business Monitoring / Business Statistics - Taxation")

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	SQI01a

7.5 WP.4 – Assistance to DG TAXUD

The **ITSM3 TES** contractor has to report for all of the activities below in the Monthly Progress Report and include the relevant statistics in the Monthly Service Report, per business thread.

7.5.1 WP.4.1 – SUPPORT TO IT GOVERNANCE, IT COLLABORATION AND ARCHITECTURE OF THE TES AND IT SERVICES

7.5.1.1 WP.4.1.1 – IT governance support

ITSM3 TES shall produce and keep updated a portfolio of the Trans-European Systems and related IT services from NAs and the Commission in the scope of the contract. The portfolio must be available on-line to the Commission and third parties nominated by the Commission and must be consistent with the CMDB in the SMT Tool (Synergia) of **ITSM3 Operations** contractor.

Service Id	Service Name	SQI
SE.4.1.1.1	TES and associated IT services portfolio management, up to date portfolio available on-line	SQI27

7.5.1.2 WP.4.1.2 – IT Collaboration

The **ITSM3 TES** shall:

- Maintain a consolidated project planning for all the on-going and future IT Collaboration Project Groups;
- Merge the distributed action lists from the different project groups;
- Communicate and interact over phone or video-conference with Member States regarding the IT Collaboration project, mainly to update the actions and planning;
- Host every two weeks the coordination calls with the MSs for each Project Group;
- Participate to the workshops organised in the scope of the Working Groups (**WP.4.5.4 – Trainings / Workshops**).
- Support the MS development environment for IT collaboration projects.

Service Id	Service Name	SQI
SE.4.1.2.1	Support IT Collaboration activities: <ul style="list-style-type: none"> • Consolidated project planning; • Consolidated action lists; • Communication and interaction with Member States regarding planning and actions; • Periodic coordination calls 	SQI13

7.5.1.3 WP.4.1.3 – Capacity Management of the TES

The capacity management process must address:

- Business Capacity management (e.g. number of trades, of consignments...);
- IT Service Capacity management (number of messages, of hits, of calls, of services...);
- The capacity plans are of particular importance to forecast the sizing of the applications, infrastructure, CCN, and other resources under the responsibility of the Commission and the NAs.

The **ITSM3 TES** contractor has to:

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- Maintain the existing Capacity Plans for each TES (including the Common IT services which are part of), and revise them at least annually;
- Define and maintain a load forecast model;
- Maintain this model up with a line of sight of 5 years, by collecting/gathering/compiling information from:
 - The Commission's team, in particular **ITSM3 Operations** and **DIGIT**;
 - The National Authorities.
- Monitor and report the business and IT service volumetric in the TES and in the use of the IT services delivered by **ITSM3 TES** contractor;
- Monitor the capacity of the IT services of the Commission and of the NAs, using all the information available at reach of the **ITSM3 TES** contractor;
- Verify, if applicable, that the capacity levels and thresholds are compliant with the Terms of Collaboration;
- Advise the Commission on risk of capacity bottleneck in the NAs.

The **ITSM3 TES** contractor shall ensure:

- All increase of capacity detected at least 12 months in advance in order to allow Commission and other stakeholders to act,
- No capacity bottleneck and safety margin in resource usage,
- Right sizing of the infrastructure.

Service Id	Service Name	SQI
SE.4.1.3.1	Capacity Management of the TES	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.4.1.3.2	Monthly Service Report – Capacity statistics	SQI06r SQI06a
DLV.4.1.3.3	Evolutionary maintenance of Capacity plan for the trans-European systems including review cycle with the NAs	SQI01r SQI01a

7.5.1.4 WP.4.1.4 – Availability Management of the TES

The **ITSM3 TES** contractor must:

- Monitor the availability of all IT services provided by NAs and the Commission contributing to Trans-European Systems in the scope of the contract;
- Ensure that all unscheduled unavailability are notified without any delay to all affected stakeholders with, when adequate, recommendations of contingency arrangements to be taken
- Take remedial action whenever its responsibility is engaged. When the NAs' or the Commission responsibility is engaged, the Service Desk must open an incident for the owner of the service via the SMT Tool (Synergia) of **ITSM3 Operations** contractor;
- Communicate the end of the unavailability to all concerned stakeholders, together with recommendations for recovery arrangements to be made. In case of extended unavailability or disaster, the Service Desk is responsible for issuing a crisis alert;
- report the unavailability and assess the compliance of the measured availability with the applicable contractual OLA, SLAs, OLAs, and ToCs;
- Inform the Commission about all cases of non-compliance;
- Monitor the scheduled unavailability planning for both the Commission IT services and the Trans-European services, ensuring that they are planned outside the basic time coverage of the Service Desk and to minimise the impact on the users and NAs. The scheduled unavailability must be communicated to all concerned stakeholders with a tailored notice allowing them to take the necessary contingency arrangements;
- Produce and maintain availability plans for Trans-European Systems, in line with the Terms of Collaboration when available. The Commission will submit these plans for the review and the

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acceptance of the NAs. **The ITSM3 TES** contractor will need to consult the NAs during the production phase of the plan;

- Insist that the NAs schedule their planned unavailability outside the basic time coverage of the Service Desk and at a time minimising the impact on the other NAs, and subject to prior acceptance by the NAs, in compliance with the Terms of collaboration in the common domain.

The **ITSM3 TES** contractor shall ensure:

- No deviation from availability/reliability/maintainability/serviceability target including MTTR as set in the incumbent SLA/OLA and later in FQP, SLA, contractual OLA and ToCs;
- No recurrent availability breach;
- No business disruption from scheduled unavailability;
- Minimal business disruption in case of unscheduled unavailability;
- Low unavailability risk.

The **ITSM3 TES** contractor will use the IT services provided by the Commission for each business thread to monitor the availability of the IT services involved as well as the CCN monitoring tools and the SMT Tool (Synergia). The **ITSM3 TES** contractor shall also take advantage of any other information sources from the NAs and other contractors to fulfil its obligation.

Service Id	Service Name	SQI
SE.4.1.4.1	Availability Management of the TES	SQI13 SQI29a SQI29b SQI29c SQI29d SQI29e

Deliverable Id	Deliverable Name	SQI
DLV.4.1.4.2	Monthly Service Report - Availability	SQI06r SQI06a
DLV.4.1.4.3	Evolutive version of the Availability Plan for the trans-European IT services, including review cycle with the NAs	SQI01r SQI01a

7.5.2 WP.4.2 – PROJECT AND SERVICE MANAGEMENT SUPPORT

7.5.2.1 WP.4.2.1 – TES Monthly Consolidated Plan Maintenance

The **ITSM3 TES** contractor must maintain the Monthly Consolidated Plan (MCP) with a forecast of 1 to 2 years for tactical actions and more years as relevant for strategic actions. The **ITSM3 TES** contractor is responsible for

- Collecting and gathering regularly all the planning information coming from:
 - The NAs, using National Project Plan templates, which are maintained by the **ITSM3 TES** contractor. The collection of the National Project Plans is particularly important during the deployment of Trans-European Systems and especially during the Conformance Tests;
 - Meetings with **DG TAXUD**, which are to be foreseen at least once a week;
 - The meetings with the NA and other contractors;
- Consolidating and analysing all data, including from a risk and opportunity perspective (SWOT analysis);
- Identifying ways to shorten the project planning, to resolve scheduling conflicts, to decrease risks;
- Delivering the MCP for information once a week and for review on a monthly basis. The MCP must include the following planning information:
 - A textual support;
 - The Strategic Time Plan (alias Master Plan);
 - The Tactical planning (alias Rolling Plan);
 - The consolidated NA plans.

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It is very important that the **ITSM3 TES** contractor takes the initiative in collecting and integrating the planning information across all the contacts it may have with the NA, the Commission and suppliers.

The MCP must be segmented per business and service threads, highlighting dependencies across the threads.

The **ITSM3 TES** contractor will publish the MCP and operational planning per thread once accepted by the Commission.

The **ITSM3 TES** contractor shall ensure that there is:

- No integrity and availability deviation according to expectations in the MCP,
- No planning information missing from the NAs and third parties,
- No slack time in keeping the MCP up to date accountable to the **ITSM3 TES** contractor.

Service Id	Service Name	SQI
SE.4.2.1.1	MCP Maintenance per business thread	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.4.2.1.2	Monthly Consolidated Plan (and all its views as defined in WP.4.2.1) per business thread	SQI06r SQI06a SQI30

7.5.2.2 WP.4.2.2 – ITOP Weekly operational planning

The **ITSM3 TES** contractor must contribute to the update of the weekly operational planning - Installation and Testing Operational Plan (ITOP) managed by **ITSM3 Operations**. The **ITSM3 TES** contractor is responsible for collecting and inserting the following information in the plan:

- Delivery dates of new releases from the xDEV contractors;
- Information of the test cycle that will be followed (pSAT, SAT, Functional Test / Qualification);
- Planning information regarding the Functional Testing activities.

The **ITSM3 TES** contractor shall ensure (for the scope of data it has to maintain) that there is:

- No integrity and availability deviation according to expectations in the MCP,
- No planning information missing from the NAs and third parties,
- No slack time in keeping the ITOP up to date accountable to the **ITSM3 Operations** contractor.

ITSM3 TES is also committed to raise alerts if some information out of its scope of responsibilities seems incorrect.

Service Id	Service Name	SQI
SE.4.2.2.1	ITOP Update per business thread	SQI13

7.5.2.3 WP.4.2.3 – TES Progress and Status reporting

The **ITSM3 TES** contractor shall produce Progress and Status reports for

- The NA on a monthly basis;
- The Commission on a quarterly and yearly basis;
- The SMM;
- The meetings with the NA;
- Or any other events at the request of the Commission.

In most cases, each report will address a specific business thread, or a customer/user community within a business thread, plus the common elements with other business threads, which are applicable to the targeted audience of the report.

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The reports will interpret the status at the end of the reporting period, highlight and analyse the important events and trends, and detail the relevant statistics/information supporting these conclusions. The contractor will strike the right balance between synthesis and detail in view of the targeted audience.

Service Id	Service Name	SQI
SE.4.2.3.1	Produce on-demand TES Progress and Status Reports	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.4.2.3.2	TES Progress and Status Reports	SQI01r SQI01a

7.5.2.4 WP.4.2.4 – Risk Management on TES

ITSM3 TES has to identify and report risks to DG TAXUD. All risks that might have an impact on TES, to which ITSM3 TES contributes or not, must be considered. This includes risks related to the contractual OLA and to WP.5 – Security and Service Continuity Management.

Other risks that could be identified throughout the procedure are risks related to

- **WP.3.1 – Participation to the Development Lifecycle, WP.3.2 – Deployment of the TES and WP.3.3 – Deployment of IT Services and TESM tools;**
- **WP.3.6 – Business Operations of the TES and IT Services;**
- **WP.4.1.3 – Capacity Management of the TES;**
- **WP.4.1.4 – Availability Management of the TES.**

Deliverable Id	Deliverable Name	SQI
DLV.4.2.4.1	TES Risk Register (Annexed to the MPR)	SQI06r SQI06a

7.5.3 WP.4.3 – SERVICE LEVEL MANAGEMENT (SLM)

The SLM has to systematically monitor and report the quality of

- The IT support services delivered by the ITSM3 TES contractor to the Commission and its users and monitor compliance with the contractual OLA and applicable SLA;
- The IT support services supplied by the other suppliers of the Commission (other contractors, the Commission itself, third parties, NAs) to the ITSM3 TES contractor, and monitor compliance with applicable OLAs if available;
- The IT services exchanged amongst the NAs and the Commission and monitor compliance with the applicable Terms of Collaborations (or equivalent) when available.

In case of non-compliance of the quality of services under the contractor’s responsibility, the ITSM3 TES contractor has to notify the Commission. The ITSM3 TES contractor must initiate the necessary corrective and preventive actions in order to restore the quality back to the agreed and acceptable levels.

The SLM will also be responsible for maintaining the existing:

- Service catalogues of ITSM3 TES;
- Contractual OLA between the Commission and the ITSM3 TES contractor;
- SLAs between the Commission and its customers/users for the services delivered by ITSM3 TES contractor.

SLM must ensure uniformity between the SLAs of the Commission and IT service obligations arising from the Terms of Collaboration in the Common domain (see WP.4.3.2 – Maintain, monitor and report on the Terms of Collaboration of TES).

The ITSM3 TES contractor shall ensure that there is:

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- No integrity defect in the statistics provided;
- No unavailability of statistics;
- Quality of Service reported for the contractual OLA and the SLA according to or above expectations.

Service Id	Service Name	SQI
SE.4.3.1	Service Level Management	SQI13

7.5.3.1 WP.4.3.1 – Maintain, monitor and report on the Service Catalogues and SLA between the Commission and its customers/users

The **ITSM3 TES** contractor will be responsible for maintaining the Service Catalogues and SLAs and monitor them as described above.

The **ITSM3 TES** contractor will maintain the existing Service Catalogues and SLAs per customer/user community within each business thread, starting from the incumbent SLAs, converging and harmonising their SQI. When relevant, the SLAs and ToCs must be consistent with each other.

The Commission reserves its right to submit the SLAs for review and acceptance by the NAs. The **ITSM3 TES** contractor will use the SMT Tool (Synergia) of **ITSM3 Operations** contractor as well as the SLM reporting of **ITSM3 Operations** contractor to monitor the compliance level of the Service it delivers with the SLA of the Commission.

Deliverable Id	Deliverable Name	SQI
DLV.4.3.1.1	Service Report, including exceptions about the services from the Commission per customer/user community within each business thread and support threads against SLAs (Annexed to the MSR)	SQI06r SQI06a
DLV.4.3.1.2	Evolutionary maintenance of Service Catalogues and SLAs	SQI01r SQI01a

7.5.3.2 WP.4.3.2 – Maintain, monitor and report on the Terms of Collaboration of TES

The **ITSM3 TES** contractor shall maintain the existing Terms of Collaboration defining the obligation of all the NAs and the Commission across the common domain regarding the trans-European services, including their management.

These Terms of Collaboration include the:

- IT service portfolio of the TES around the common domain;
- SLA/OLA amongst NAs and the Commission around the common domain;
- Common capacity, availability, continuity, security plans.

The Terms of Collaboration rely on the plans delivered by the Capacity/Continuity/Availability/Security processes regarding the trans-European systems and integrate them to address these four process dimensions in addition to the one of Service Level Management.

A key element in the ToC is the definition of the roles and responsibilities for each actor and IT services exchanged/shared across the TES.

The **ITSM3 TES** contractor will monitor and report on the services exchanged amongst the NAs and the Commission across the Common Domain. The **ITSM3 TES** contractor will open an incident in case of non-compliance of the monitored services.

The **ITSM3 TES** contractor will use the monitoring/statistic/availability IT services provided by **ITSM3 Operations** contractor, as well as the CCN monitoring tools to monitor and report on the compliance of the TES quality of Service with the ToC.

The **ITSM3 TES** contractor will report their compliance with the applicable Terms of Collaboration (or equivalent) subject to their availability.

Under this WP, the **ITSM3 TES** contractor will:

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- Manage and maintain the TES IT service portfolio, SLAs, OLAs between each party in the Common Domain. Those deliverables must be produced in close collaboration with the Commission and the NAs via workshops or bilateral contacts. These deliverables will be subject to a review and acceptance cycle with the NAs in addition to the review and acceptance cycle with the Commission;
- Ensure a coherence integration of the above with the common capacity, availability, continuity and security plans;
- Monitor and report on the compliance with ToC.

The scope of this WP includes TES extending to third parties such as third countries.

Deliverable Id	Deliverable Name	SQI
DLV.4.3.2.1	Service Report, including exceptions about the services exchanged amongst NAs and Commission across the Common Domain, per business thread and support thread, against Terms of Collaboration (Annexed to the MSR)	SQI06r SQI06a
DLV.4.3.2.2	Evolutionary version of Terms of Collaboration	SQI01r SQI01a

7.5.3.3 WP.4.3.3 – Periodic survey of each of the NAs

The ITSM3 TES contractor has to:

- Contact per voice each NA representative for each of the Trans-European Systems at least twice a year to collect feedback, enquire about future NAs plans and perceived risks, get lessons learned, ensure mutual understanding of current situation and clarify outstanding issues if any, convey key tactical/operational messages. The ITSM3 TES contractor must produce a summary report for each contact made and send it to the Commission;
- Follow up any issue arising from these contacts;
- Report to the Commission via the MPR/MSR;
- Conduct yearly user satisfaction surveys per customer/user community. The survey material must be approved by the Commission before the survey is launched. The ITSM3 TES contractor will report to the Commission on the result and propose follow-up actions to be undertaken in response to findings.

The objectives of these periodic surveys are to:

- Avoid unknown issues with the NAs;
- Avoid known issue left unattended;
- Avoid regression in the satisfaction and confidence from the NAs;
- Collect business and technical intelligence from the NA;
- Anticipate expectations from the NAs;
- Build up confidence.

The ITSM3 TES contractor will reflect the outcome of the survey as corrective actions to its activities or as input to the CSIP WP.2.1.1 – **Continual Service Improvement of ITSM3 TES Services**.

Service Id	Service Name	SQI
SE.4.3.3.1	Periodic survey of each of the NAs	SQI13 SQI14 SQI31

Deliverable Id	Deliverable Name	SQI
DLV.4.3.3.2	Bi-yearly periodic briefing report on 'voice surveys'	SQI02
DLV.4.3.3.3	Yearly NA satisfaction survey material and planning	SQI01r SQI01a
DLV.4.3.3.4	Yearly NA satisfaction survey report	SQI01r SQI01a

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7.5.3.4 WP.4.3.4 – Periodic survey of DG TAXUD roles

The **ITSM3 TES** contractor has to:

- Meet each **DG TAXUD** role at least every quarter to collect feedback, enquire about future **DG TAXUD** plans and perceived risks, get lessons learned, ensure mutual understanding of current situation and clarify outstanding issues if any, convey key tactical/operational messages. The **ITSM3 TES** contractor must produce a summary report for each contact made and send it to the Commission;
- Follow-up any issue arising from these contacts;
- Report to the Commission via the MPR/MSR;
- Conduct yearly user satisfaction surveys per **DG TAXUD** role. The survey material must be approved by the Commission before the survey is launched. The **ITSM3 TES** contractor will report to the Commission on the result and propose follow-up actions to be undertaken in response to findings.

The **ITSM3 TES** contractor will feed back the outcome of the survey as corrective actions to its activities or as input to the CSIP.

Service Id	Service Name	SQI
SE.4.3.4.1	Periodic survey of each of DG TAXUD roles	SQI13 SQI14

Deliverable Id	Deliverable Name	SQI
DLV.4.3.4.2	Quarterly periodic briefing report on ‘voice surveys’	SQI02
DLV.4.3.4.3	Yearly DG TAXUD roles satisfaction survey material and planning	SQI01r SQI01a
DLV.4.3.4.4	Yearly DG TAXUD roles satisfaction survey report	SQI01r SQI01a

7.5.3.5 WP.4.3.5 – Monitor and report on contractual OLA

The **ITSM3 TES** contractor will be responsible for maintaining, monitoring and reporting on its contractual OLA as described above. The **ITSM3 TES** contractor will use the SMT Tool (Synergia) of **ITSM3 Operations** as well as its own infrastructure to monitor the compliance level of its service against the contractual OLA.

Service Id	Service Name	SQI
SE.4.3.5.1	Monitor and report on contractual OLA	SQI13 SQI32

Deliverable Id	Deliverable Name	SQI
DLV.4.3.5.2	Service Report, including exceptions about the services provided by the ITSM3 TES contractor, per business thread and support thread as applicable against contractual OLA (Annexed to the MSR)	SQI06r SQI06a

7.5.3.6 WP.4.3.6 – Monitor and report on the service quality of the IT services delivered to the ITSM3 TES contractor (OLAs)

The suppliers have to be understood here as the parties other than the **ITSM3 TES** contractor and the NAs, which supply a service to the Commission to assist the Commission in meeting its SLAs. The parties encompass mainly **ITSM3 Operations**, **DIGIT**, and other third party suppliers of the Commission.

The **ITSM3 TES** contractor will issue incidents in case of non-compliance of the supplied services. The **ITSM3 TES** contractor will verify and report the quality of the services delivered by the suppliers. Exceptions or deviations from OLA have to be reported to the Commission by the **ITSM3 TES** contractor.

The **ITSM3 TES** contractor will use the SMT Tool (Synergia) of **ITSM3 Operations** contractor as well as the SLM reporting of **ITSM3 Operations** contractor to monitor the compliance of the supplied IT services with the OLA.

Service Id	Service Name	SQI
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SE. 4.3.6.1	Monitor and report on the service quality of the IT services delivered to the ITSM3 TES contractor (OLAs)	SQI13
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Deliverable Id	Deliverable Name	SQI
DLV.4.3.6.2	Service Report, including exceptions about the services provided by third parties, per business thread and support thread, as appropriate, against OLAs (Annexed to the MSR)	SQI06r SQI06a

7.5.4 WP.4.4 – NAS PROGRESS REPORTS

Member States shall submit on a periodic basis a progress report to the Commission³⁵.

ITSM3 TES shall support the Business Thread responsible for producing the consolidated periodic report by:

- Consolidating Member States' periodic progress reports by producing a customised table for each system/activity and conducting a comprehensive cost/efforts analysis based on the data provided by all Member States;
- Analysing the data provided by the Member States, drawing necessary conclusions and identifying possible actions to be performed for next year's reporting template;
- Analysing the data provided by the Commission and ensuring that the necessary comparisons and conclusions are carried out;
- Producing the necessary graphs depicting development on a yearly basis, presenting relevant comparisons and drawing further conclusions;
- Assuring continuity with previous progress reports by performing relevant statistical calculations and further analysis, if needed;
- Providing a focus on specific activities of the period;
- Producing the periodic progress report using previous periodic reports, **DG TAXUD** IT units' activity reports, and any other data provided by the Commission.

ITSM3 TES shall attend the preparatory meetings with the NA held in Brussels to prepare progress report.

Deliverable Id	Deliverable Name	SQI
DLV.4.4.x	NAs periodic Progress Report	SQI01r SQI01a

7.5.5 WP.4.5 – WORKSHOPS, MEETINGS AND TRAININGS

In view of the high number of NAs and contractors involved in TES, it is important to secure an efficient technical coordination amongst all parties in order to avoid delay, lack of synchronisation, duplication of resources. The co-ordination will rely on the following liaison mechanisms:

7.5.5.1 WP.4.5.1 – NAs Working Groups Meetings and their related sub-groups

These meetings are being attended by 10 to 150 delegates coming from:

- Procedural and IT representatives or national experts from NAs;
- Trader representatives;
- Third parties invited by the Commission;
- The Commission.

³⁵ At the time this Technical Annex is written, only the eCustoms report is identified: As per Article 12 of the e-Customs Decision No 70/2008/EC of 15 January 2008, Member States shall regularly report to the Commission on their progress with each task allocated to them under the MASP (Multi-Annual Strategic Plan). Member States shall submit an annual progress report to the Commission, no later than on 31st March of each year, covering the period from 1st January to 31st December of the previous year.

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The Commission chairs most of the meetings. The meetings span over 1 to 2 days and take place in most cases in the Commission's premises in Brussels and occasionally in the NAs.

The Commission may request the following activities from the **ITSM3 TES** contractor:

- Preparation of material consisting in presentations and/or documents;
- Performance during the meeting: Presentation, answers to questions from participants;
- Attendance: Passive attendance, for knowledge collection and support to the Commission;
- Support to the organisation:
 - Prepare the agenda and briefing for the meeting;
 - Produce the Summary Record (including list of actions and agreements) as well as the minutes of the meeting.

Service Id	Service Name	SQI
SE.4.5.1.1	NA Working group meeting – Performance	SQI13 SQI14
SE.4.5.1.2	NA Working group meeting – Attendance	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.4.5.1.3	NA Working group meeting - Draft agenda	SQI02
DLV.4.5.1.4	NA Working group meeting - Briefing	SQI02
DLV.4.5.1.5	NA Working group meeting - Summary Record including list of actions and agreements	SQI02
DLV.4.5.1.6	NA Working group meeting - Minutes	SQI01r SQI01a
DLV.4.5.1.7	NA Working group meeting – Preparation of material	SQI01r SQI01a

7.5.5.2 WP.4.5.2 – Service Monthly Meetings (SMM)

The Commission calls Service Monthly Meetings for each business thread (12 meetings/year/business thread) to ensure periodic synchronisation amongst all the involved contractors and the Commission. The Commission may in addition call similar meetings involving all Business threads to address TES issues common to all Business Threads. The meetings are held in the Commission's premises in Brussels. These meetings last for ½ day.

The **ITSM3 TES** contractor shall provide support to the organisation, attend, and minute the meetings.

Service Id	Service Name	SQI
SE.4.5.2.1	SMM - Attendance	SQI13 SQI14

Deliverable Id	Deliverable Name	SQI
DLV.4.5.2.2	SMM - Agenda	SQI02
DLV.4.5.2.3	SMM - Briefing	SQI02
DLV.4.5.2.4	SMM – Minutes	SQI02

7.5.5.3 WP.4.5.3 – Co-ordination Missions

The Commission will invite the **ITSM3 TES** contractor to participate in official co-ordination missions to the NAs and to any third party as required. The **ITSM3 TES** contractor will provide expertise in the area of planning and service co-ordination, Terms of Collaboration. The **ITSM3 TES** contractor will present the status of the collaboration with the visited organisation, address the technical questions raised, collect information, and ensure the follow-up of any actions, which fall under the remit of the **ITSM3 TES** contractor.

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The **ITSM3 TES** contractor shall support the organisation of the co-ordination mission, attend, and perform during the mission. The **ITSM3 TES** contractor will produce a mission report that the Commission will submit for the review and approval of the visited party.

Service Id	Service Name	SQI
SE.4.5.3.1	Coordination Mission – Performance	SQI13 SQI14

Deliverable Id	Deliverable Name	SQI
DLV.4.5.3.2	Co-ordination Mission – Preparation material	SQI01r SQI01a
DLV.4.5.3.3	Co-ordination Mission – Agenda	SQI02
DLV.4.5.3.4	Coordination Mission – Briefing	SQI02
DLV.4.5.3.5	Coordination Mission – Report and evaluation	SQI01r SQI01a

7.5.5.4 WP.4.5.4 – Trainings / Workshops

The **ITSM3 TES** contractor will provide training/workshops on request from the Commission. The Commission may request the training/workshops to be held in English, French, or German.

These Trainings / workshops might be done on-site or via Webinars.

The training and workshops will be attended by 10 to 40 delegates from the NAs, suppliers from the Commission or from any third party designated by the Commission.

On-site training / workshop

A training/workshop session could have a duration of 1 to 3 working days. The training/workshops will take place at a location specified by the Commission, which can be in the **ITSM3 TES** contractor's premises. The Commission may request some or all of the following activities from the **ITSM3 TES** contractor:

- Preparation of training/workshop material;
- Performance:
 - Active contribution to training/workshops (preparation and performance) in Brussels or in an NA on request from the Commission;
 - or Passive attendance at training/workshops;
- Hosting Facilities and infrastructure: the **ITSM3 TES** contractor has to cover infrastructure and associated operational needs (like material move, set up) for hosting training/workshops/demonstrations, and providing the facilities required. This includes, amongst others, meeting rooms (capacity up to two delegates per NA plus 20% extra for Commission and its contractors), training rooms, PC's (minimum one per two participants), and beamers.
- Reporting:
 - Prepare the agenda, briefing for the training/workshop and confirm items presented or discussed in the workshop with the Commission;
 - Produce the report of the training/workshop;
 - Produce copies of training/workshop material and distribute them to all participants;
 - Distribute and collect evaluation forms to/from the participants, annex the consolidated results of the evaluation to the training/workshop report.

DG TAXUD may request without additional costs:

- A dry run for validating the preparation material;
- A video recording of a session and its publication on a share / collaborative space (Wiki, CIRCA BC, Knowledge Management System...).

Webinars

The Commission may request some or all of the following activities from the **ITSM3 TES** contractor:

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- Preparation of Webinar material;
- Reporting:
 - Prepare the agenda, briefing for the webinar and confirm items presented or discussed in the webinar with the Commission;
 - Produce the report of the webinar;
 - Produce copies of webinar material and send them by mail to the participants;
 - Collect evaluation from the participants through the Webinar and annex the consolidated results of the evaluation to the Webinar report.

The **ITSM3 TES** contractor has to provide the technical platform to manage webinars. A preselected list of participants will receive an invitation to the Webinar and they shall be able to follow it at any time.

DG TAXUD may request without additional costs:

- A dry run for validating the preparation material;
- A video recording of a session and its publication on a share / collaborative space (Wiki, CIRCA BC, Knowledge Management System...)

Service Id	Service Name	SQI
SE.4.5.4.1	On-site Training /workshop – Performance	SQI13 SQI14
SE.4.5.4.2	On-site Training/workshop – Attendance	SQI13
SE.4.5.4.3	On-site Training/workshop – Hosting Facilities and infrastructure: Medium sized meeting room at contractor’s premises (one delegate per NA plus 20% extra for Commission and its contractors)	SQI13
SE.4.5.4.4	On-site Training/workshop – Hosting Facilities and infrastructure: Big sized meeting room at contractor’s premises (two delegates per NA plus 20% extra for Commission and its contractors)	SQI13
SE.4.5.4.5	Webinar – Performance & Platform	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.4.5.4.6	On-site Training/workshop - Preparation material	SQI01r SQI01a
DLV.4.5.4.7	On-site Training/workshop – Agenda	SQI02
DLV.4.5.4.8	On-site Training/workshop – Briefing	SQI02
DLV.4.5.4.9	On-site Training/workshop – Evaluation and report (including video recording of the training session if requested)	SQI01r SQI01a
DLV.4.5.4.10	Webinar - Preparation material	SQI01r SQI01a
DLV.4.5.4.11	Webinar – Agenda	SQI02
DLV.4.5.4.12	Webinar – Briefing	SQI02
DLV.4.5.4.13	Webinar– Evaluation and report (including video recording of the training session if requested)	SQI01r SQI01a

7.5.5.5 WP.4.5.5 – Technical Meetings with the Commission and/or other third parties involved in ITSM3

These meetings are initiated by the Commission, unless agreed otherwise. The scope of these meetings covers technical and co-ordination issues:

- Information exchange and knowledge transfer;
- Problem issue and resolution;
- Technical co-ordination of activities.

The meetings are attended by delegates from the **ITSM3 TES** contractor, the suppliers from the Commission and when required from some NAs. The meetings last for ½ to 1 day and are held in the premises of one of the participating parties.

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The Commission may request the following activities from the **ITSM3 TES** contractor:

- Attendance;
- Hosting;
- Drafting Minutes.

The **ITSM3 TES** contractor has to:

- Check the scope and the agenda and ask for clarifications if needed;
- Choose the relevant person(s) to attend the meeting³⁶;
- Confirm the attendance;
- Read beforehand any document attached;
- If minutes have to be taken by **ITSM3 TES**, agree before the start of the meeting on the format to be used;
- Attend the meeting;
- Be (pro)active during the meeting providing comments, remarks, alerts... based on knowledge/experience;
- Inform internally **ITSM3 TES** team of the outcomes of this meeting (internal dispatch of the decisions/actions taken and information gathered);
- Register and follow-up internal actions.

The meeting can take place either by physical attendance or by Web conference.

This WP does not include the meetings between the contact person of a thread and the role in the Commission, which are accounted within **WP.0.9.1 – Interaction, BMM, and Steering Committee**.

Service Id	Service Name	SQI
SE.4.5.5.1	Technical Meetings with the Commission or other third parties – Conference call	SQI13 SQI14
SE.4.5.5.2	Technical Meetings with the Commission or other third parties – Physical Attendance	SQI13 SQI14

Deliverable Id	Deliverable Name	SQI
DLV.4.5.5.3	Technical Meetings with the Commission or other third parties - Minutes	SQI02

7.6 WP.5 – Security and Service Continuity Management

7.6.1 WP.5.1 – SECURITY MANAGEMENT

The high-level IT security risks faced by the IT services delivered by the **ITSM3 TES** contractor on behalf of the Commission are:

- A valid claim against **DG TAXUD**/Commission of defaulting on its ambition/commitment/obligation issued by any publicly respectable party such as traders associations, the press, the European Parliament, the Court of Auditors, a citizen, the Internal Audit Service of the Commission, the senior management of NAs. This could result in a loss of credibility in the Commission ability to deliver according to political expectation;
- Loss of revenue for the trader community and claims for financial compensation from their side because of Community system problems;
- Loss of revenue to the national public budgets from Customs, Excise and Tax collection;
- Loss of reputation of the NAs;

³⁶ It is the **ITSM3 TES** contractor's responsibility to send the necessary and skilled people to actively participate in the meeting. Nevertheless, under justified circumstances, **DG TAXUD** may require the participation of specific **ITSM3 TES** staff without additional costs.

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- Budget and delay overruns incurred by the NAs because of Commission IT problems;
- Distortion of the internal market and of trade competition;
- Control breach at the external border with potentially huge implications for all policies relying on customs control (security, environment, public health, migration, etc.);
- Court cases for non-compliance with Community and national legislation.

IT security management must be geared towards addressing these high-level IT security risks. It includes security event management across the scope.

7.6.1.1 WP.5.1.1 – Security Management of Contractor’s services

The **ITSM3 TES** contractor shall:

- Nominate a security manager that will coordinate security management activities and directly liaise with TAXUD LISO for all security related activities;
- Define an internal security organisation appropriate to the contractual activities;
- Ensure that each staff member assigned by the **ITSM3 TES** contractor signs a declaration of confidentiality and a compliance statement to the security rules in compliance with:
 - Article III.2.2 of the General terms and conditions for IT contracts, annexed to the FWC;
 - Article 4 of the Commission decision on protection of information systems C(2006)3602 annexed to the FWC ;
 - Article 23 of Regulation (EC) N° 45/2001 of the European Parliament and of the Council of 18 December 2000³⁷ on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data. As those decisions may be replaced/updated during the lifetime of the contract, the contractor might have to adapt to the changes of those declarations;
- Comply with the security policies/security elements imposed on the **ITSM3 TES** contractor by the Commission (DIGIT Data Centre, HR/Directorate Security, internal security policy of **DG TAXUD**);
- Ensure compliance of **ITSM3 TES** services and processes with the recommendations from the Commission internal audits or external audits;
- Identify, deploy, operate, evaluate and maintain the adequate security controls to be implemented, using a risk management approach (**WP.0.6 – Internal Risk Management**);
- Manage the continuous improvement of the security services in interaction with the CSIP (**WP.2.1 – Continual Service Improvement**);
- Sign a security convention if access to the Commission or TAXUD network and computer environment is needed;
- Monitor security during the service windows (as defined in Section **6.1 above**), including all controlled access to CIs: Commission IT services, hosted infrastructure, hosted firewall, the Trans-European Systems. The security controls will consist of a combination of prevention, reduction, detection, correction, recovery, monitoring and reporting. A minimal set of security controls is listed below and might be complemented as needed by other security controls of ISO 27002:2013, ISO 27001:2013 or internal security policies;
- Manage security incidents;
- Enforce separation between the IT environments: development, test, training and demo, production, reference, if any; enforce the rules on data protection (access rules, encryption, sanitisation, etc.) if data exchanges between those environments is needed;
- Ensure the continuity of any security certificates for the services provided by the **ITSM3 TES** contractor, and monitor their date of expiration;
- Ensure compliance of the **ITSM3 TES** contractor’s activities with the documented processes;
- Ensure that all deliverables of the contract are free of IPR from third parties and from the **ITSM3 TES** contractor himself, in particular the process/procedure/artefacts produced by the **ITSM3 TES** contractor;
- Get security accreditation/clearance for key staff of the company on request of the Commission;

³⁷ <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ:L:2001:008:TOC>

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- Protect its infrastructure by applying at least the following measures:
 - Protect from Internet threats, including using up to date anti-malware (at the minimum an anti-virus, anti-spam, and anti-spyware) and keeping those systems up to date.
 - Restrict and control the access to the physical CI located in the premises of the **ITSM3 TES** contractor on a ‘need to know/access’ basis and in line with a least privilege principle;
 - Restrict and control the access to any mobile CI (USB keys, laptops, PDAs) on a ‘need to know/access’ basis and in line with the least privilege principle and the use of encryption to protect against theft or loss of CI;
 - Configure firewalls, intrusion detection and access control to the IT services and infrastructure;
 - Manage the maintenance of the registered users of the IT services;
 - Enforce respect of the password rules as defined in TAXUD security policies;
 - Manage the access list to all resources of the **ITSM3 TES** contractor in the context of the contract;
 - Regularly review security logs as mandated by EC security rules; usage of automated tools is recommended
 - Restrict, monitor and control the access to the connection towards the CCN network should it be via the Commission CCN GW or via the CCN IP network, by protecting the CCN connected LAN segment by a firewall from the other segments of the operational infrastructure.

The **ITSM3 TES** contractor has to report his security-related activities and recommendations to the Commission through the Monthly Service Report (MSR). All security activities will be documented in a security plan.

First version of the Security plan

The first version of the contractor's security plan must be delivered at the end of the Takeover period and bundled with the Takeover FAT report, as described in **WP.1.1.3 – Takeover of the processes, TESM tools and documentation**.

The Acceptance of the first Security Plan is bundled with

- The acceptance of the Takeover FAT report (see **WP.1.1.3 – Takeover of the processes, TESM tools, and documentation**);
- The acceptance of the SAT report of the ICT infrastructure (see Section **11.2.5 - ICT infrastructure services**).

Continuous maintenance of the Contractor Security Plan

The **ITSM3 TES** contractor shall keep its security planned aligned with:

- The evolutions of its services and infrastructure;
- The evolutions of the security policy of **DG TAXUD**.

The updated Security Plan shall be delivered for Review upon request of **DG TAXUD**, at least one time per Specific Contract. The Commission reserves its right to verify the Security on-site at any time during the lifetime of the Framework Contract.

Evolution of the Contractor Security Plan

DG TAXUD will request an update of the Contractor Security Plan only in case of major changes of the **DG TAXUD** security policy:

- Reorganisation of the EC and/or **DG TAXUD**;
- Modification of the legal basis;
- New security requirements regarding project quality including new standards, guidelines, and tools to be used in the project.

The evolution of the Contractor Security Plan will be managed via a Request for Action (see **WP.0.3 – Production of proposals for Request for Actions (RfA)**).

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SE.5.1.1.1	Security management of Contractor's services	SQI25a SQI29c

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Deliverable Id	Deliverable Name	SQI
DLV.5.1.1.2	Monthly service report regarding Security of Contractor's Services (Annexed to the MSR)	SQI06r SQI06a
DLV.5.1.1.3	Initial security plan for the services delivered by the ITSM3 TES contractor, addressing Risk Assessment and Analysis, Security Policy, Security Controls, Security process (Bundled with DLV.1.1.3.2.x)	SQI07
DLV.5.1.1.4	Maintenance version of the security plan for the services delivered by the ITSM3 TES contractor, addressing Risk Assessment and Analysis, Security Policy, Security Controls, Security process	SQI01r SQI01a
DLV.5.1.1.5	Evolutionary version of the security plan for the services delivered by the ITSM3 TES contractor, addressing Risk Assessment and Analysis, Security Policy, Security Controls, Security process	SQI01r SQI01a

7.6.1.2 WP.5.1.2 – Security Management of Trans-European Systems

The **ITSM3 TES** contractor must:

- Support the development of the TES security policies and supporting security plans which address the:
 - NAs as stakeholders in the various Trans-European Systems;
 - **DG TAXUD** as stakeholder in the Trans-European Systems and as provider of TES IT services;
 - Third parties contributing to the provision of TES IT services;
 - Users of the IT services in the NAs and the Commission;
 - Citizens accessing TES IT services made available through Europa.

Such policies and plans contain the adequate security controls to be implemented by all stakeholders and other third parties. This activity includes the compliance measurement with the TES security policies.

- Ensure the compliance with other security policies/security elements imposed by the Commission (HR/Directorate Security, internal security policy of **DG TAXUD**), the Council or any other authority; This includes among others compliance of the TES Systems with:
 - Regulation (EC) 45/2001³⁸ (personal data protection),
 - Council Decision 2001/264/EC³⁹,
 - Commission Decision C(2006)3602 annexed to the framework contract,
 - Commission Decision 2001/844/EC, ECSC, Euratom⁴⁰, and their subsequent amendments. As those decisions may be replaced/updated during the lifetime of the contract, the contractor might have to adapt to the changes of those declarations;
- Ensure compliance of TES Systems with the recommendations from the Commission internal audits or external audits;
- Perform risk management (unified with that specified in **WP.5.2 – Service Continuity Management and Disaster Recovery**). This includes the classification (CIA) of all the information assets (and associated supporting CI) under the responsibility of the Commission related to the TES Systems;
- Contribute to the security content of the SLAs, OLAs and ToCs under the responsibility of the SLM process;
- Identify, deploy, operate, evaluate and maintain the adequate security controls to be implemented, using a risk management approach (**WP.0.6 – Internal Risk Management**);

³⁸ <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ:L:2001:008:TOC>

³⁹ <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ:L:2001:101:TOC>

⁴⁰ <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:32001D0844>

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- Manage the continuous improvement of the security services in interaction with the CSIP (**WP.2.1 – Continual Service Improvement**);
- Monitor security during the service windows (as defined in **Section 6.1 above**), including all controlled access to CIs: Commission IT services, hosted infrastructure, hosted firewall, the Trans-European Systems;
- Provide security trainings and awareness sessions to third parties at the request of the Commission (to be accounted for under ‘Training, workshop’);
- Perform fact finding missions in the NAs and third parties to note their security controls in place or to monitor compliance of NAs and third parties with their security obligations as set out in the respective Security Policies, security plans, OLAs and ToCs; (to be accounted under Co-ordination Missions);
- Monitor the usage of the Trans-European Systems as well as the availability of the NA systems, collect operations intelligence from the NA teams to identify abnormal behaviour, analyse it and when necessary trigger a security incident and manage its resolution.

The **ITSM3 TES** contractor has to report his security-related activities and recommendations to the Commission through the Monthly Progress Report. All security activities are documented in a security plan, which has to be maintained at least on a yearly basis.

Service Id	Service Name	SQI
SE.5.1.2.1	Security management of TES	SQI25a SQI29c SQI13

Deliverable Id	Deliverable Name	SQI
DLV.5.1.2.2	Monthly service report regarding Security of TES (Annexed to the MSR)	SQI06r SQI06a
DLV.5.1.2.3	Evolutive version of the Security Plan for the Trans-European Systems, including review cycle with the NAs	SQI01r SQI01a

7.6.2 WP.5.2 – SERVICE CONTINUITY MANAGEMENT AND DISASTER RECOVERY

The scope of the WP is twofold:

- Continuity of contractor services;
- Continuity of the Trans-European Systems.

The Service Continuity Management of TES will be based on an impact analysis developed with the Commission and NAs. The **ITSM3 TES** contractor shall develop business continuity plans (BCP) and disaster recovery plans (DRP) for the TES taking into account, when available, the BCP/DRP of IT services delivered by the Commission.

The **ITSM3 TES** contractor must execute or coordinate the execution of the DRP(s) in case of crisis in one or several constituents of the TES, and in particular, the Commission IT services and/or in the NAs IT services to the Common Domain.

The Commission is responsible for triggering the crisis, unless otherwise specified in the IT service Continuity Plan.

7.6.2.1 WP.5.2.1 – Service Continuity Management and Disaster Recovery of Contractor’s services

The **ITSM3 TES** contractor must produce, maintain, implement, and regularly test (at least yearly) the IT Service Continuity Plan of its services. The plan must achieve the most appropriate balance between prevention and recovery measures with regard to the risk perceived. It will contain a Disaster Recovery Plan.

First version of the Continuity plan for the service delivered by the ITSM3 TES contractor

The first version of the contractor's continuity plan must be delivered at the end of the Takeover period and bundled with the Takeover FAT report, as described in **WP.1.1.3 – Takeover of the processes, TESM tools and documentation**.

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The Acceptance of the first continuity Plan is bundled with

- The acceptance of the Takeover FAT report (see **WP.1.1.3 – Takeover of the processes, TESM tools, and** documentation);
- The acceptance of the SAT report of the ICT infrastructure (see Section **11.2.5 - ICT infrastructure services**).

Continuous maintenance of the Continuity plan for the service delivered by the ITSM3 TES contractor

ITSM3 TES contractor shall keep its continuity plan aligned with:

- The evolutions of its services and infrastructure;
- The evolutions of the service continuity policy of **DG TAXUD**.

The updated Continuity Plan shall be delivered for Review upon request of **DG TAXUD**, at least one time per Specific Contract. The Commission reserves its right to verify the Continuity Plan on-site at any time during the lifetime of the Framework Contract.

Evolution of the Continuity plan for the service delivered by the ITSM3 TES contractor

DG TAXUD will request an update of the Contractor's Continuity Plan only in case of major changes of the **DG TAXUD** service continuity policy:

- Reorganisation of the EC and/or **DG TAXUD**;
- Modification of the legal basis;
- New security requirements regarding project quality including new standards, guidelines, and tools to be used in the project.

The evolution of the Contractor Security Plan will be managed via a Request for Action (see **WP.0.3 – Production of proposals for Request for Actions (RfA)**).

Service Id	Service Name	SQI
SE.5.2.1.1	Implementation, deployment and management of the ITSM3 TES contractor IT service continuity plan	SQI29e SQI13
SE.5.2.1.2	Testing of the IT service continuity plan for the ITSM3 TES contractor IT services: <ul style="list-style-type: none"> • Prepare; • Manage and co-ordinate 	SQI29e SQI13

Deliverable Id	Deliverable Name	SQI
DLV.5.2.1.3	Monthly service report regarding Continuity of Contractor's services (Annexed to the MSR)	SQI06r SQI06a
DLV.5.2.1.4	Initial Business Continuity Plan (BCP) for the services delivered by the ITSM3 TES contractor, including risk analysis and Disaster Recovery Plan (DRP) (Bundled with DLV.1.1.3.2.x)	SQI07
DLV.5.2.1.5	Maintenance of the Business Continuity Plan (BCP) for the service delivered by the ITSM3 TES contractor, including risk analysis and Disaster Recovery Plan (DRP)	SQI01r SQI01a
DLV.5.2.1.6	Evolutionary maintenance of the Business Continuity Plan (BCP) for the services delivered by the ITSM3 TES contractor, including risk analysis and Disaster Recovery Plan (DRP)	SQI01r SQI01a
DLV.5.2.1.7.x	Testing of the IT service continuity plan for the ITSM3 TES contractor IT services: <ul style="list-style-type: none"> • Plan, test plan (x=1); • Test report (x=2) 	SQI01r SQI01a

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7.6.2.2 **WP.5.2.2 – Service Continuity Management and Disaster Recovery of Trans-European Systems**

The **ITSM3 TES** contractor will produce and maintain Trans-European Systems Continuity plans covering the whole of the Service Continuity Management process and further co-ordinate its implementation and regular testing amongst the NAs and the Commission, including its suppliers. The plans must achieve the most appropriate balance between prevention and recovery measures concerning the risks perceived. They will contain Disaster Recovery Plans. It must be in line with the Terms of Collaboration when available.

The Commission will submit these plans for review and approval of the NAs.

The Commission expects that:

- The need for such instruments will grow in the years to come as the awareness of all stakeholders regarding the criticality of the trans-European services will mature with time;
- Trans-European service continuity plans will reduce the risk of unwanted disruption of these services and chaotic crisis management.

Service Id	Service Name	SQI
SE.5.2.2.1	Deployment and management of the IT service continuity plan for the Trans-European IT Systems	SQI29e SQI13
SE.5.2.2.2	Testing of the IT service continuity plan for the Trans-European IT Systems: <ul style="list-style-type: none"> • Prepare; • Manage and co-ordinate. 	SQI29e SQI13

Deliverable Id	Deliverable Name	SQI
DLV.5.2.2.3	Monthly service report regarding Continuity of TES (Annexed to the MSR)	SQI06r SQI06a
DLV.5.2.2.4	Evolutive maintenance of the IT Service Continuity plan for the Trans-European Systems including review cycle with the NAs	SQI01r SQI01a
DLV.5.2.2.5.x	Testing of the IT service continuity plan for the Trans-European IT Systems: <ul style="list-style-type: none"> • Plan, test plan (x=1); • Test report (x=2). 	SQI01r SQI01a

7.7 **WP.6 – Development, Maintenance, and Operations of TESM tools**

By default, the Commission provides the **ITSM3 TES** contractor with the necessary IT services to deliver its services. Nevertheless, the **ITSM3 TES** contractor may be requested by the Commission to specify, develop, maintain (corrective and evolutive maintenance), and support a set of bespoke TESM tools (applications and/or configured software products) to achieve ad hoc improvements of effectiveness and efficiency of the **ITSM3 TES** services:

- Improvement of existing tools and/or substitution by ad hoc tools (for instance the CTA as described in **WP.3.2.4 – Additional services related to CTA Support**);
- Addition of new tools put by the Commission at the disposal of the **ITSM3 TES** contractor at no cost;
- Implementation of the Transformation Projects identified in **WP.2.2 – Transformation Projects**;
- Configuration of the business monitoring for any new application or TES that would be added to the scope of **ITSM3 TES (WP.3.6.1 – Event Management)**;
- Development of new reports (**WP.3.6.3 – Business monitoring, statistics and reporting**).

The TESM tools will run on an **ITSM3 TES** dedicated virtual infrastructure hosted by the Commission and/or the **ITSM3 Operations** contractor, at no cost for the **ITSM3 TES** contractor.

The **ITIL** Application Development processes and the **TEMPO** development life cycles provide best practices to which the **ITSM3 TES** contractor must adhere for the tool development and maintenance. The **ITSM3 TES**

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contractor must document any deviation against ITIL and TEMPO as well as the resolution in case of conflict between ITIL and TEMPO.

7.7.1 WP.6.1 – SPECIFICATIONS

This WP covers specifications for new TESSM tools or their evolutive maintenance.

This WP undertakes the production and evolutive maintenance of

- Feasibility studies;
- Business Cases;
- Vision documents;
- Business process models as appropriate in the scope of the TESSM tools. This WP is not to be used to define and specify the TESSM process model which needs to be addressed by the ITSM3 TES contractor under the FQP;
- Functional/non-functional/usability requirements (SRD);
- Functional Specifications (FS);
- Technical Specifications (TS);
- Acceptance Test Specifications (ATS), including the setup and maintenance of meaning full test data.

Deliverable Id	Deliverable Name	SQI
DLV.6.1.1	Monthly service report regarding the Specifications activities for the TESSM tools (Annexed to the MPR)	SQI06r SQI06a
DLV.6.1.2.x	Specification deliverables, as per TEMPO: <ul style="list-style-type: none"> • Feasibility Studies; • Business cases; • Vision documents • Business processes models; • System Requirement Definition (functional, non-functional/usability) (SRD); • Functional Specifications (FS); • Technical Specifications (TS); • Acceptance Test Specification (ATS). Costs include the period of guarantee as specified in the contract	SQI01r SQI01a

7.7.2 WP.6.2 – DESIGN, BUILD AND DEPLOYMENT

This WP covers the build of the new TESSM tools or their evolutive maintenance.

This WP undertakes the following activities:

- Constructing all operational system processes;
- Performing the testing on these individually;
- Developing conversion tools if needed;
- Developing all necessary support means;
- Bringing the system to a state of readiness whereby the development team has confidence that the system meets all stated requirements and designs, and the process of implementation can start;
- Performing the Factory Acceptance Testing of the new or modified software.

At this point, the delivery will be subject to either a preSAT/SAT cycle or a qualification done by **DG TAXUD** or any third party on its behalf according to the risks at stake:

- Substantial changes – evolutive or corrective – will go through a preSAT/SAT cycle;
- Other changes through qualification.

Upon successful completion, **ITSM3 Operations** deploy the delivery in the operational environment.

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The Application Development process must collaborate with the Deployment process of the **ITSM3 Operations**. This is particularly important during the preSAT phase in order to ensure knowledge transfer towards the Application Management of **ITSM3 Operations**.

Deliverable Id	Deliverable Name	SQI
DLV.6.2.1	Monthly service report regarding the Development, Build and deployment activities for the TESH tools (Annexed to the MPR)	SQI06r SQI06a
DLV.6.2.2.x	Deliverables related to Design, Build and Deployment support, as per TEMPO: <ul style="list-style-type: none"> • Design documentation, including the System Requirement Overview; • Detailed design, including the interface specification with other applications, • Test plan, test cases, test data, test configuration specification, • Infrastructure requirement; • Documented source code and associated documentation and quality metrics; • Support documentation and training material addressing infrastructure requirements, installation procedures, user and service provision manual; • The FAT report and FAT version, submitted for preSAT; • Training deployment, operation and technical support on the application to be deployed; • Problem fixes during preSAT, • Application and documentation submitted for SAT. 	SQI01r SQI01a

7.7.3 WP.6.3 – CORRECTIVE MAINTENANCE

The corrective maintenance starts as from the end of guarantee period for the WP.6.1 and WP.6.2 deliverables.

Corrective maintenance is triggered by the Service Support processes. It is of paramount importance that specifications, documentation, and applications remain aligned in all circumstances. Testing will be managed by **DG TAXUD** or any third party appointed on its behalf.

Service Id	Service Name	SQI
SE.6.3.1	Corrective maintenance of all artefacts delivered under WP.6.1 and WP.6.2, under the control of the incident/problem/change/release management processes	SQI33

Deliverable Id	Deliverable Name	SQI
DLV.6.3.2	Monthly service report regarding the corrective maintenance activities for the TESH tools (Annexed to the MPR)	SQI06r SQI06a

7.7.4 WP.6.4 – OPERATIONS OF TESH TOOLS

ITSM3 TES shall ensure the application management of the technical solution implemented by **WP.2.2.2 – On-line reporting**. The supplier shall operate these tools in view of assuring operational security and excellence, which includes

- usability of the solution,
- data integrity,
- availability of systems and reports to its own staff, **DG TAXUD** and external stakeholders in a way that is fit for purpose;
- Security of the solutions in terms of unauthorised access and attacks from outside.

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During the lifetime of the FWC, new TESM tools might be put under the responsibility of the **ITSM3 TES** contractor.

Service Id	Service Name	SQI
SE.6.4.1	Operations of TESM tools	SQI29a SQI29b SQI29c SQI29d SQI29e SQI13

Deliverable Id	Deliverable Name	SQI
DLV.6.4.2	Monthly service report regarding the operation activities for the TESM tools (Annexed to the MPR)	SQI06r SQI06a

7.8 WP.7 – Other deliverables and services in the scope of the contract

On request of the Commission, the **ITSM3 TES** contractor must be able to provide services and deliverables falling within the scope of the FWC, but not described in the previous WPs. Such services and deliverables shall support the Commission in accommodating changes in the business environment and/or further help the Commission in continually improving the delivery of the TES.

Service Id	Service Name	SQI
SE.7.x.y	Other services in the scope of the contract	To be defined per RfA

Deliverable Id	Deliverable Name	SQI
DLV.7.x.y	Other deliverables in the scope of the contract	To be defined per RfA

7.9 WP.8 – Extended Time Coverage

Upon request from the Commission, the **ITSM3 TES** contractor has to be capable of extending the time coverage for the provision of the **ITSM3 TES** services. Working outside the **BASIC** Service Windows must be specifically requested by **DG TAXUD**. **The ITSM3 TES cannot claim to use the extended time coverage to justify the need to finish a service or a deliverable that has started during the BASIC service windows, in particular incidents affecting the services.**

7.9.1 WP.8.1 – INCIDENT MANAGEMENT DURING EXTENDED TIME COVERAGE

This work package corresponds to the extension of the following services:

- SE.3.7.1.1 - Second level SD and associated support team available during the basic time coverage
- SE.3.7.2.1 - 2nd level incident management, including ensuring integrity of the SMT/CMDB from an incident perspective

from the **BASIC** service window to the **NIGHT**, **WEEK-END** of **FULL** ones. The same **SQI** are to be used.

Service Id	Service Name	SQI
SE.8.1.1.x	Incident Management during NIGHT service Windows	SQI24 SQI25a SQI25b SQI25c

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		SQI25d SQI25e SQI25f SQI13
SE.8.1.2.x	Incident Management during WEEK-END service Windows	SQI24 SQI25a SQI25b SQI25c SQI25d SQI25e SQI25f SQI13
SE.8.1.3.x	Incident Management during FULL service Windows	SQI24 SQI25a SQI25b SQI25c SQI25d SQI25e SQI25f SQI13

Deliverable Id	Deliverable Name	SQI
DLV.8.1.4.x	End of action report	SQI02

7.9.2 WP.8.2 – SANITY-CHECK OF ITSM3 OPERATIONS DEPLOYMENT DURING EXTENDED TIME COVERAGE

The **ITSM3 TES** contractor might be requested to perform sanity tests of CCN or IT services deployments made by **ITSM3 Operations**.

Service Id	Service Name	SQI
SE.8.2.1.x	Sanity-check of ITSM3 Operations deployment during NIGHT Service Windows	SQI13
SE.8.2.2.x	Sanity-check of ITSM3 Operations deployment during WEEK-END Service Windows	SQI13
SE.8.2.3.x	Sanity-check of ITSM3 Operations deployment during FULL Service Windows	SQI13

Deliverable Id	Deliverable Name	SQI
DLV.8.2.4.x	End of action report	SQI02

7.9.3 WP.8.3 – AD-HOC SERVICES DELIVERED DURING EXTENDED TIME COVERAGE

The Commission may request temporary upgrade to face exceptional circumstances. This kind of request will be managed with **WP.7 – Other deliverables and services in the scope of the contract** with price per profiles adapted according to the service window.

8 Staffing and Infrastructure Requirements

8.1 Staffing

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

The **ITSM3 TES** contractor must ensure that its staff is fully aware of the **ITSM3 TES** contractor's quality system, of the quality system of the project, of the SLAs, of the OLAs, of the ToCs, 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 **ITSM3 TES** contractor shall ensure internal communication between threads and capitalise information through its knowledge management policy and the knowledge management system.

In terms of inter-relationship between the **ITSM3 TES** contractor, the NAs and third-party contractors involved in the service, the **ITSM3 TES** contractor reports to the Commission only. Nevertheless, the Commission will authorise and encourage the **ITSM3 TES** contractor to establish and maintain direct operational relationships with the NAs and other involved third-party contractors 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 **ITSM3 TES** contractor and these third parties. It is important for the **ITSM3 TES** contractor to appreciate that delays incurred by any of the involved parties, including the **ITSM3 TES** contractor itself, affect the quality of the service delivery by the Commission.

The **ITSM3 TES** contractor shall **staff in line** with the team organisation that the **ITSM3 TES** contractor will propose in his **tender**.

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

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

By bidding for this call for tenders, the contractor commits to ensure full transparency to **DG TAXUD** regarding its staffing. The number of staff, names, location, qualifications, etc. shall be communicated to **DG TAXUD** on a regular basis and/or at specific request. **DG TAXUD** will fully respect the provisions of article II.9 of the draft FWC regarding data protection.

Each staff member assigned by the **ITSM3 TES** contractor must sign a declaration of confidentiality and a compliance statement to the security rules in compliance with

- Article III.2.2. of the General terms and conditions for IT contracts, annexed to the Framework Contract;
- Article 4 of the Commission decision on protection of information systems C(2006)3602 annexed to the framework contract;
- and Article 23 of Regulation (EC) N° 45/2001 of the European Parliament and of the Council of 18 December 2000⁴¹ on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data.

⁴¹ <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=OJ:L:2001:008:TOC>

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8.2 Business threads and Support threads

ITSM3 TES will interact with DG TAXUD through:

- **Six Business Threads** having the NA as main (but not exclusive) service users and the Commission as customer via their respective assigned roles:
 - Customs Business;
 - Customs Central Operations and Customs TES;
 - Direct Taxation;
 - Indirect Taxation;
 - Excise;
 - Recovery of Claims;
- **Three Support Threads** having the Commission as main (but not exclusive) service users and customers. The support threads are shared services in support of all business threads. The Business Threads are also users/consumers of the Support Threads services:
 - IT Operations;
 - Security Management;
 - Supply Management.

Each thread will be managing a set of work packages within a business scope, as defined in the table at the end of this section. The threads are mapped across the organisation chart of DG TAXUD. The ITSM3 TES contractor must assign a single person of contact for each thread and ensure the continuity of this function over time. This contact person must be entrusted with the necessary authority and management power to commit the ITSM3 TES contractor on operational issues during meetings with the corresponding organisation in charge in DG TAXUD. These contact persons must meet their DG TAXUD counterpart at least every week in order to ensure perfect synchronisation between demand and delivery. The ITSM3 TES contractor must meet the operational demand from all roles in DG TAXUD according to the terms of this technical annex. Differences in processes used by different roles cannot be an impeding factor on delivery and ITSM3 TES must ensure the coordination between the different threads in its own organisation.

The table below identifies the DG TAXUD organisation in charge of each thread at the time of the call for tenders. This allocation might change over the lifetime of the Framework Contract and the contractor shall adapt its organisation accordingly without any additional costs.

Threads in DG TAXUD		
Threads	Organisation in charge	Roles
Business Threads		
Customs Business	Unit A3	Responsible for the BPM and some of the system functional specifications, mainly seeking support for coordination with NAs
Customs Central Operations and Customs TES	Unit A5 / CIS sector (Customs IT Systems)	Manage the Customs IT services delivered by central applications (such as TARIC, EOS, COPIS...), seeking support in coordination with the NAs. Might use partial services (for instance Business Monitoring for some applications of its portfolio)
		Manage the Customs TES, looking for the full range of services offered by ITSM3 TES contractor to support the TES under its responsibility
Direct Taxation TES	Unit C5 / DTEA (Direct Taxation and Taxation IT Enterprise architecture)	Manage the <u>Direct</u> Taxation Trans-European Systems, using the full range of services offered by ITSM3 TES contractor to support the TES under its responsibility
Indirect Taxation TES	Unit C5 / ITO (Indirect Taxation and IT Operations)	Manage the <u>Indirect</u> Taxation Trans-European Systems, using the full range of services offered by ITSM3 TES contractor to support the TES under its

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		responsibility
Excise TES		Manage the Excise Trans-European Systems, using the full range of services offered by ITSM3 TES contractor to support the TES under its responsibility
Recovery of Claims		Manage the Recovery of Claims Trans-European Systems, using the full range of services offered by ITSM3 TES contractor to support the TES under its responsibility
Support Threads		
IT Operations	Unit A5 / ISD sector (Infrastructure and IT service Delivery)	Manage IT and CCN service delivery by ITSM3 Operations contractor and ITSM3 Integration contractor, interaction with ITSM3 TES mainly on testing, deployment and support of TES.
Security Management	Unit C5 / LISO (Local Information Security Officer)	Manage security and service continuity aspects
Supply Management	Unit C5 / PS sector (Resources and Governance)	Manage supply management issues within the Framework Contract, including processes and overall coordination of the interaction between the ITSM3 TES contractor and the Commission

Table 3: Business and Service Threads in DG TAXUD

The Business Thread ‘Recovery of Claims’ will not be activated as long as no specific TES or IT Services will be implemented (see Annex 2 – ITSM3 TES Configuration Items).

The interaction matrix of reference is described in the following table. The existence of an interaction between a thread and a work Package is indicated with an ‘X’.

DG TAXUD can request to amend this interaction model during the duration of the Framework Contract: to add or consolidate the roles, change the allocation of a WP to a specific interaction and the contractor shall adapt its organisation accordingly without any additional costs.

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ITSM3 TES Services	Business threads					Support Threads		
	Customs Business	Customs Central Operations and Customs TES	Direct and Indirect Taxation TES	Excise TES	Recovery of Claims	IT Operations	Security Management	Supply Management
WP.0 – Contract ‘Operation Level Agreement’ Management								X
WP.0.1 – Production and maintenance of the Framework Quality Plan (FQP)								X
WP.0.2 – Production of proposals for Request for Offers (RfO)								X
WP.0.3 – Production of proposals for Request for Actions (RfA)								X
WP.0.4 – Demand Management								X
WP.0.4.1 – Demand Management across all threads	X	X	X	X	X			X
WP.0.4.2 – Demand Management for IT Services						X	X	X
WP.0.5 – Internal Quality Assurance (QA) and Internal Quality Control (QC)								X
WP.0.5.1 – Internal Quality Assurance (QA)								X
WP.0.5.2 – Internal Quality Control (QC)								X
WP.0.5.3 – Self-assessment and Internal Audit								X
WP.0.6 – Internal Risk Management	X	X	X	X	X	X	X	X
WP.0.7 – Internal Incident Management	X	X	X	X	X	X	X	X
WP.0.8 – Internal Change Management	X	X	X	X	X	X	X	X
WP.0.9 – Co-ordination with the Commission								X
WP.0.9.1 – Interaction, BMM, and Steering Committee	X	X	X	X	X	X	X	X
WP.0.9.2 – Co-operation with the Commission during Quality, Process and Security Audits								X
WP.0.A – Contractual Reporting								X
WP.0.A.1 – Monthly Progress and Service Reports (MPR/MSR)	X	X	X	X	X	X	X	X
WP.0.A.2 – Maintenance of the planning of the ITSM3 TES contractor’s activities	X	X	X	X	X	X	X	X
WP.0.B – Baselines								X
WP.0.B.1 – Quarterly batch re-delivery of all deliverables								X

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WP.0.B.2 – Yearly delivery of full baseline									X
WP.1 – Handover / Takeover									X
WP.1.1 – Takeover per business thread									X
WP.1.1.1 – Takeover method									X
WP.1.1.2 – Production of the detailed Takeover plan per business thread	X	X	X	X	X	X	X	X	X
WP.1.1.3 – Takeover of the processes, TESM tools, and documentation	X	X	X	X	X	X	X	X	X
WP.1.2 - Handover per business thread									X
WP.1.2.1 – Production of the detailed Handover plan per business thread	X	X	X	X	X	X	X	X	X
WP.1.2.2 – Handover of the processes, TESM tools and documentation	X	X	X	X	X	X	X	X	X
WP.1.2.3 – Provision of training and support to a third party	X	X	X	X	X	X	X	X	X
WP.1.2.4 – ‘After Handover’ support per business thread	X	X	X	X	X	X	X	X	X
WP.1.2.5 – Handover exercises	X	X	X	X	X	X	X	X	X
WP.2 – Continual Service Improvement and Transformation Projects									X
WP.2.1 – Continual Service Improvement									X
WP.2.1.1 – Continual Service Improvement of ITSM3 TES Services	X	X	X	X	X	X	X	X	X
WP.2.1.2 – Contribution to the harmonisation and enhancements of DG TAXUD processes, procedures and tools	X	X	X	X	X	X	X	X	X
WP.2.1.3 – Contribution to the optimisation of Trans-European Systems		X	X	X	X	X	X	X	X
WP.2.2 – Transformation Projects									X
WP.2.2.1 – Business Monitoring		X	X	X	X	X	X		X
WP.2.2.2 – On-line reporting		X	X	X	X	X	X		X
WP.2.2.3 – Knowledge Management System	X	X	X	X	X	X	X	X	X
WP.3 – Management of the deployment and operations of the TES and IT Services from a business perspective									
WP.3.1 – Participation to the Development Lifecycle									
WP.3.1.1 – Co-ordination between development and service management		X	X	X	X	X	X		
WP.3.1.2 – Quality Control of artefacts from TES and IT services development		X	X	X	X	X	X		
WP.3.2 – Deployment of the TES									

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WP.3.2.1 – Coordination of the NAs, the Commission and other contractors on TES		X	X	X	X	X		
WP.3.2.2 – Functional and Technical Support of the NAs		X	X	X	X	X		
WP.3.2.3 – Conformance Testing		X	X	X	X	X		
WP.3.2.4 – Additional services related to CTA Support		X	X	X	X	X		
WP.3.2.5 – After-care		X	X	X	X	X		
WP.3.3 – Deployment of IT Services and TESH tools								
WP.3.3.1 – Coordination of the NAs, the Commission and other contractors on IT Services		X	X	X	X	X		
WP.3.3.2 – Factory Acceptance Testing (FAT)		X	X	X	X	X		
WP.3.3.3 – PreSAT - Preliminary Service Acceptance Testing		X	X	X	X	X		
WP.3.3.4 – SAT - Service Acceptance Testing		X	X	X	X	X		
WP.3.3.5 – FT - Functional Testing		X	X	X	X	X		
WP.3.4 – Configuration Management	X	X	X	X	X			
WP.3.5 – Change and Release Management	X	X	X	X	X			
WP.3.6 – Business Operations of the TES and IT Services		X	X	X	X			
WP.3.6.1 – Event Management		X	X	X	X	X	X	
WP.3.6.2 – Update Operational Production data		X	X	X	X	X		
WP.3.6.3 – Business monitoring, statistics and reporting		X	X	X	X	X		
WP.3.7 – Service Support of the TES								
WP.3.7.1 – 2nd level Service Desk		X	X	X	X	X	X	
WP.3.7.2 – 2nd level Incident management	X	X	X	X	X	X	X	
WP.3.7.3 – Problem Management	X	X	X	X	X	X		
WP.3.7.4 – Service Request Management	X	X	X	X	X	X		
WP.3.7.5 – Access rights Management	X	X	X	X	X	X		
WP.3.7.6 – Technical support for TES						X		
WP.3.8 – Ad-hoc services								
WP.3.8.1 – Conference calls / Virtual meetings	X	X	X	X	X	X	X	X
WP.3.8.2 – Web mastering the portals for each TES system community	X	X	X	X	X			

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WP.3.8.3 – Specimen Management System support	X							
WP.3.8.4 – Processing of statistical information coming from the Member States	X	X	X	X	X			
WP.4 – Assistance to DG TAXUD								
WP.4.1 – Support to IT governance, IT collaboration and Architecture of the TES and IT services								
WP.4.1.1 – IT governance support	X	X	X	X	X	X	X	X
WP.4.1.2 – IT Collaboration	X	X	X	X	X	X	X	X
WP.4.1.3 – Capacity Management of the TES		X	X	X	X	X	X	
WP.4.1.4 – Availability Management of the TES		X	X	X	X	X	X	
WP.4.2 – Project and Service Management Support								
WP.4.2.1 – TES Monthly Consolidated Plan Maintenance		X	X	X	X			
WP.4.2.2 – ITOP Weekly operational planning		X	X	X	X	X		
WP.4.2.3 – TES Progress and Status reporting		X	X	X	X		X	
WP.4.2.4 – Risk Management on TES		X	X	X	X		X	
WP.4.3 – Service Level Management (SLM)								
WP.4.3.1 – Maintain, monitor and report on the Service Catalogues and SLA between the Commission and its customers/users		X	X	X	X			
WP.4.3.2 – Maintain, monitor and report on the Terms of Collaboration of TES		X	X	X	X			
WP.4.3.3 – Periodic survey of each of the NAs		X	X	X	X			X
WP.4.3.4 – Periodic survey of DG TAXUD roles	X	X	X	X	X	X	X	X
WP.4.3.5 – Monitor and report on contractual OLA								X
WP.4.3.6 – Monitor and report on the service quality of the IT services delivered to the ITSM3 TES contractor (OLAs)						X		X
WP.4.4 – NAs progress reports								
WP.4.5 – Workshops, meetings and trainings								
WP.4.5.1 – NAs Working Groups Meetings and their related sub-groups	X	X	X	X	X		X	
WP.4.5.2 – Service Monthly Meetings (SMM)	X	X	X	X	X			
WP.4.5.3 – Co-ordination Missions		X	X	X	X			

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WP.4.5.4 – Trainings / Workshops	X	X	X	X	X	X	X	X
WP.4.5.5 – Technical Meetings with the Commission and/or other third parties involved in ITSM3	X	X	X	X	X	X	X	X
WP.5 – Security and Service Continuity Management							X	
WP.5.1 – Security Management							X	
WP.5.1.1 – Security Management of Contractor’s services							X	X
WP.5.1.2 – Security Management of Trans-European Systems		X	X	X	X	X	X	
WP.5.2 – Service Continuity Management and Disaster Recovery							X	
WP.5.2.1 – Service Continuity Management and Disaster Recovery of Contractor’s services							X	X
WP.5.2.2 – Service Continuity Management and Disaster Recovery of Trans-European Systems		X	X	X	X	X	X	
WP.6 – Development, Maintenance, and Operations of TESM tools								X
WP.6.1 – Specifications	X	X	X	X	X	X	X	X
WP.6.2 – Design, Build and Deployment	X	X	X	X	X	X		X
WP.6.3 – Corrective maintenance	X	X	X	X	X	X		X
WP.6.4 – Operations of TESM tools	X	X	X	X	X	X	X	X
WP.7 – Other deliverables and services in the scope of the contract	X	X	X	X	X	X	X	X
WP.8 – Extended Time Coverage								
WP.8.1 – Incident Management during Extended Time Coverage		X	X	X	X	X	X	
WP.8.2 – Sanity-check of ITSM3 Operations deployment during Extended Time Coverage		X	X	X	X	X	X	
WP.8.3 – Ad-hoc services delivered during Extended Time Coverage	X	X	X	X	X	X	X	X

Table 4: Interaction matrix

8.3 Languages and translation

All deliverables must be delivered in British English unless otherwise specified. Staff proposed must be capable of communicating, orally and in writing, in this language.

During meetings (bilateral, workshops, steering Committee, etc.), either French or English will be spoken.

On **DG TAXUD**'s request, the **ITSM3 TES** contractor may have to translate certain deliverables (in particular the ones intended for the Member States, e.g. some key project deliverables, communication leaflets, newsletters, etc.). Translations might also relate to (web) interfaces of tools (e.g. portal).

Several deliverables of **ITSM3 TES** may be addressed at and/or visible to NAs and the public. The contractor will pay particular attention to these deliverables:

- Linguistically qualified⁴² reviewers will verify all written communication addressed to NAs or the public prior to its publication to ascertain its accuracy and fluency. Proof of this verification will be auditable. This pertains to all information addressed to a wider audience likely to be read more than once e.g. to reports, minutes, information on websites, training material.
- Exchanges of a more informal, private, urgent and/or ad hoc nature such as e-mails related to one-off technical actions, bilateral exchanges with individual NA technical staff do not need to be systematically verified on their linguistic quality, prior to the exchange. They will be verified at least *ex post* and subject to measures of continuous improvement. They will be based on approved templates for communication of a repetitive nature, e.g., for e-mails pertaining to deployment activities.

8.4 Office infrastructure

The **ITSM3 TES** contractor must provide the necessary office infrastructure in its premises for the successful implementation of the tasks. It is the **ITSM3 TES** contractor's responsibility to define and size this infrastructure.

The tenderer is requested to take into account the office (automation) infrastructure outlined below, but to keep the considered 'state-of-the-art' infrastructure from a security and operational excellence point of view for all teams during the FWC on all sites where the **ITSM3 TES** contractor is based:

- Secured room(s) for hosting the staff;
- Secured meeting room(s) that are dedicated to **ITSM3 TES** activities (capacity for up to 15 people) with phone/internet access available to DG TAXUD and/or other contractors;
- An adequate office environment, including phone, fax, scanner, CD-ROM/DVD production, laser colour printing, secure document shredder and colour photocopying facilities;
- An adequate phone/virtual conferencing facility accessible from the internet;
- One industry standard PC (personal computer) per staff member with office automation tools which must be inter-operable with those currently used in DG TAXUD;
- Suitable printing, file and Web server facilities;
- Individual and functional e-mail addresses and web accesses for each person.

The **ITSM3 TES** contractor has to ensure that the access rights management is handled properly so that only authorised users can access the secure zone hosting the above-mentioned facilities and people.

8.5 ICT Operational infrastructure

The **ITSM3 TES** contractor must host, install, configure, maintain, operate, monitor, and administer the necessary infrastructure in his premises for the successful execution of all the tasks. The contractor must include

⁴² Educated native speaker or certified at Level C2 in the [Common European Framework of Reference for Languages \(CEFR\)](#) or equivalent.

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the costs that it faces during the duration of the Framework Contract for the procurement, deployment, operation, and evolution of COTS IT products and services in the unit prices of the services that it delivers to the Commission. The Commission will not reimburse any of these costs.

8.5.1 ACCESS TO IT SERVICES OF THE COMMISSION

The **ITSM3 TES** contractor will rely on IT services from the Commission to fulfil the terms of the contracts. These IT services are hosted at DIGIT/DC (Data Centre of the Commission), at the **ITSM3 Operations** contractor's premises or in other contractors premises. The **ITSM3 TES** contractor shall set up and operate the necessary connectivity to access the IT services where they are hosted. In doing so, the **ITSM3 TES** contractor must comply with the applicable standards, guidelines, OLAs, and SLAs provided by the Commission. For information, refer to the baseline for the list of the IT Services and hosting location.

The **ITSM3 TES** contractor must be able to connect remotely to a number of Information Systems (IS) in order to deliver the contract services. The Table in **Annex 1 - List of applications / tools to be used by the ITSM3 TES** contractor shows a list of applications the **ITSM3 TES** contractor is supposed to use at the time of writing this call for tenders, as well as the type of remote connectivity.

8.5.1.1 Networking requirements

The **ITSM3 TES** contractor must foresee the following infrastructure to assure this connectivity:

- a high-bandwidth Internet access (minimum 4 Mbps);
- a private LAN connecting the workstations used to remote connect to **DG TAXUD** IS or services;
- a ftp server accessible over the Internet (to be used to transmit/receive huge files among the community of contractors);
- A firewall device protecting and isolating the private LAN from all other interconnections.

Optionally, the **ITSM3 TES** contractor can foresee:

- A network device supporting IP/VPN communication with IPSec encryption for usage over Internet; this can be used to interconnect over Internet the CCN network via a Secure Access Point,
- A web server hosting services provided to DG TAXUD or the community of contractors, accessible over Internet, with a Wiki environment.

The services offered over the Internet by the **ITSM3 TES** contractor should be accessed via reverse proxy servers hosted in a dedicated segment (DMZ) different from the other LAN segments. The remote connection to the EC network is subject to the signing of a Security Convention (see the template in the Baseline) which requires on average six months to be implemented. Users accessing remotely EC assets must work from a physically protected area, isolated from the rest of the corporate network.

8.5.1.2 Software requirements

The workstation used for remote access must support the following client applications to be able to connect:

- SSH
- RDP (Remote Desktop Protocol)
- A web browser for http(s)

8.5.2 USE AND ADMINISTRATION OF A VIRTUAL MACHINE OF THE COMMISSION FOR THE TESM TOOLS

The **ITSM3 TES** contractor will provide the specifications of the virtual machine (amongst a choice of Solaris, Linux, and Windows). The connectivity must be included under the previous heading.

8.5.3 TRANSFORMATION PROJECTS

In the context of **WP.2.2 – Transformation Projects**, the **ITSM3 TES** contractor might install and operate a technical solution on the EC Public Cloud of the Commission.

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8.6 Missions

Team members involved in the project may be required to undertake missions in the Member States and in the Candidate Countries/Third Countries to assist Commission officials in their tasks, or to attend meetings and workshops abroad.

The **ITSM3 TES** contractor's travel and subsistence expenses for the missions to the Commission premises (Brussels and Luxembourg, including DG TAXUD Data Centres) are to be included in the Fixed Price elements. This is also the case for all training sessions in the context of Takeover and Handover regardless of their location (DG TAXUD or contractor premises).

Travel and subsistence expenses for **all other missions** will be reimbursed and calculated according to the rules specified in the FWC. The Commission will quote the costs of such missions in a separate fixed budgetary provision. The **ITSM3 TES** contractor has to report on the consumption of travel and subsistence budget in the MPR. All travel requests and missions put by the contractor have to be authorised by DG TAXUD prior to travelling. A mission/travel request authorisation process shall be put in place.

8.7 Training, workshop and demonstration

The **ITSM3 TES** contractor's travel and subsistence expenses for the training sessions held at the Commission's premises (Brussels and Luxembourg) and/or at any other contractor's premises within a distance of ≤ 50 Km from the Commission's premises are to be included in the Fixed Price elements. This is also the case for all training sessions in the context of Takeover.

Travel and subsistence expenditure for **all other sessions** will be reimbursed and calculated according to the rules specified in the FWC. The Commission will quote the costs of such sessions in a separate fixed budgetary provision. The **ITSM3 TES** contractor has to report on the consumption of travel and subsistence budget in the MPR. All travel requests and missions put by the contractor have to be authorised by DG TAXUD prior to travelling. A mission/travel request authorisation process shall be put in place.

8.8 Place of work

The work will be performed primarily at the **ITSM3 TES** contractor's premises. Meetings with NAs are generally held at the Commission's premises.

For security reasons, the services must be delivered from the territory of the European Union.

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

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9 Key Performance Indicators / Service Quality Indicators

Please refer to Section **10.7 - Calculation of Specific Quality Indicators** for a description of the calculation method of the quality indicators.

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

The tables below define a minimum set of SQIs, which may be used to measure the service quality. Some could be included in the GQI of future Specific Contracts or directly in the RFAs. Further SQIs may be defined 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 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 service and deliverable catalogue refers to the tables below for the definition of the SQI.

9.1 Service oriented SQI

SQI #	Name	Target	Limit	Minimal number of events	Application Period
SQI10a	Process Compliance as assessed by self-assessment, internal and external audits, audit by the Commission	Maximum 2 critical and/or significant audit recommendations open	Number of critical and significant recommendations open less than 5	1 self-assessment, 1 audit	Over the last quarter, Over the last 12 months
SQI10b	Resolution of audit recommendations	Maximum 10% of important and critical recommendations unresolved after 6 months	20% of important and critical recommendations unresolved after 6 months	1 self-assessment, 1 audit	Over the last quarter, Over the last 12 months
SQI11	Implementation of actions agreed with the Commission	'0 delay' from the date agreed with the Commission	3 w-days	5 agreed actions	Over last 12 months
SQI12a	Integrity of the Demand schedule for Business and Support threads	99% '0' missed demand entry by due time for request to be delivered on time	95%	20 entries	Over the last quarter, Over the last 12 months

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SQI #	Name	Target	Limit	Minimal number of events	Application Period
SQI12b	Integrity of the Demand schedule for IT operations	99% '0' missed demand entry by due time for request to be delivered on time	95%	20 entries	Over the last quarter, Over the last 12 months
SQI13	Service Complaint	Less than 1 complaint raised on a WP, either by a TAXUD or a NA representative or automatically after recurring incident	1 per WP	1 complaint	Over the last quarter, Over the last 12 months
SQI14	Customers/user survey satisfaction	95 % of participants rating > 7 on a satisfaction scale 1 to 10	80% of participants rating > 7 on a satisfaction scale 1 to 10	1 survey	Over the last quarter, Over the last 12 months
SQI15a	Relevance of the CSIP proposals	90% of the CSIP proposals accepted by DG TAXUD	80% of the CSIP proposals accepted by DG TAXUD	5 proposals	Over the last quarter, Over the last 12 months
SQI15b	Service improvement under CSIP: rate of progress	'0' deviation from target number of CSIP implemented actions over the last 12 months	10% deviation from improvement and transformation target set in CSIP	1 case of deviation	Over the last quarter, Over the last 12 months
SQI15c	Maturity of service	To be defined	To be defined	1 survey	Over the last quarter,

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SQI #	Name	Target	Limit	Minimal number of events	Application Period
					Over the last 12 months
SQI16a	No late request from ITSM3 TES to XDEV contractor having an impact on the planning of deployment of TES or IT Services	'0' late request	1 late request	1 artefact put on production	Over the last quarter, Over the last 12 months
SQI16b	Business Monitoring implemented when the release of TES or IT Services is on production	'0' deviation	1 deviation	1 case of deviation	Over the last quarter, Over the last 12 months
SQI17	Effectiveness of comments in relation to technical documents review	90 % of the comments to be implemented	85 % of the comments to be implemented	100 comments	Over the last quarter, Over the last 12 months
SQI18	Full deployment of a Trans-European System according to an agreed planning schedule and without major disruption of services at the start of operation	90% of the NAs on production according to the agreed planning schedule	80% of the NAs on production according to the agreed planning schedule	5 NAs deployed	Over the last quarter, Over the last 12 months
SQI19	Conformance Test readiness	95 % '0 delay' according to plan 10 w-days in advance	90 % '0 delay'	1 Conformance Tests cycle	Over the last quarter, Over the last 12 months

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SQI #	Name	Target	Limit	Minimal number of events	Application Period
SQI20	Full deployment of the business side of an IT service according to an agreed deployment plan and without major disruption of services at the start of operation	90% of the IT Services on production according to the agreed planning schedule	80% of the IT Services on production according to the agreed planning schedule	1 IT Service deployed	Over the last quarter, Over the last 12 months
SQI21	Functional test readiness	95 % '0 delay' according to plan 10 w-days in advance	90 % '0 delay'	2 functional tests cycles	Over the last quarter, Over the last 12 months
SQI22a	All CIs in the scope of ITSM3 TES registered in the SMT/CMDB with the correct status	95 % of the CI properly registered in the SMT/CMDB.	90 % of the CI properly registered.	100 CIs	Over the last quarter, Over the last 12 months
SQI22b	Integrity of the CMDB	98% '0 defect' computed using the number of 'error report' incidents related to the content of the CMDB in regard to the total number of CIs in the CMDB	95% '0' defect	100 CIs	Over the last quarter, Over the last 12 months
SQI23	Change integrity with CMDB	95 % of changes are traceable in the CMDB	90% of changes are traceable in the CMDB	10 changes	Over the last quarter, Over the last 12 months
SQI24	Incident and problem resolution time according to expectation set in the incumbent SLAs/OLAs and later in the FQP/SLAs/OLAs/ToCs. This SQI will be instantiated separately for - incidents - service requests - problems	98% '0 delay' against expectation set in the incumbent SLAs/OLAs and later in the FQP/SLAs /OLAs /ToCs, FC/SC/RfA	95% '0 delay'	100 incidents + problems	Over the last quarter, Over the last 12 months

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SQI #	Name	Target	Limit	Minimal number of events	Application Period
	The non-compliant incidents and problems for which the ITSM3 TES contractor can establish that its responsibility is not engaged are excluded from SQI contributing to the GQI but may well be maintained for service measurement purposes.				
SQI25a	Time to escalate to the Commission for critical incidents/major service risks/prolonged delays on major deliverables	95% less than 2 hours in the basic time coverage	90% less than 2 hours	3 events to escalate	Over the last quarter, Over the last 12 months
SQI25b	Elapsed time for the Service Support team (2nd level) to escalate an incident to higher support levels	95% '0 delay' according to priority rules set forth in the SLA	90%	100 incidents	Over the last quarter, Over the last 12 months
SQI25c	Reminders when close to the deadline and deadline overrun notifications to third parties acting as n-th line support in an incident or problem resolution.	98% of 1) reminders sent at least 1 day in advance of the deadline or according to a defined delay 2) notifications for deadline overrun sent according to a defined delay Both delays defined in the incumbent SLA/OLA or FQP/SLAs/OLAs/ToCs.	95%	10 reminders/ notifications	Over the last quarter, Over the last 12 months
SQI25d	Correct classification, allocation and escalation of incidents and problems	Correct classification , allocation and escalation at first time for 98 % of the incidents and problems	95%	100 incidents	Over the last quarter, Over the last 12 months
SQI25e	Re-occurred or re-opened Incidents under the ITSM3 TES contractor responsibility	Not more than 2 %	Not more than 5 %	50 re-opened incidents	Over the last quarter, Over the last 12 months

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SQI #	Name	Target	Limit	Minimal number of events	Application Period
SQI25f	Incident integrity with the CMDB	99 % of the recorded incidents linked to the appropriate CI in the CMDB	95%	100 incidents	Over the last quarter, Over the last 12 months
SQI26a	Re-occurred or re-opened problems under the ITSM3 TES contractor responsibility	Not more than 5%	Not more than 10%	1 re-opened problems	Over the last quarter, Over the last 12 months
SQI26b	Problem integrity with the CMDB	99 % of the recorded problems linked to the appropriate CI in the CMDB	95%	100 problems	Over the last quarter, Over the last 12 months
SQI27	Integrity of the portfolio	95% of entries in the portfolio '0' defect	90% '0' defect	1 defect	Over the last quarter, Over the last 12 months
SQI28	Integrity of the service reports, based on defect detected by Commission during the review of the Service Report SFR	95% '0' defect in the service reports	90% '0' defect	10 defects	Over the last quarter, Over the last 12 months
SQI29a	Commission IT Services or TESM tools availability during time coverage of the Service Desk (per IT service)	100%	99%		Over the last quarter, Over the last 12 months
SQI29b	Commission IT services or TESM tools availability around the clock (per IT service)	100%	99%		Over the last quarter, Over the last 12 months
SQI29c	Monitoring of unscheduled availability Applicable for all CIs in the scope of the contract - monitored by the ITSM3 TES contractor;	97% of unscheduled unavailability reported first by the ITSM3 TES contractor, before any other party notifies the Service Desk about the	92%	10 unscheduled unavailabilities	Over the last quarter, Over the last 12 months

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SQI #	Name	Target	Limit	Minimal number of events	Application Period
	- or of 3rd parties, for which the ITSM3 TES contractor is kept informed of the availability status. In this case, the ITSM3 TES contractor has a max 30 min delay to publish the reported unscheduled unavailability.	unavailability.			
SQI29d	Announcement of scheduled unavailability of all CI in the scope of the contract:	99% '0' incident because of defect in announcing scheduled unavailability	97% '0' incident	10 scheduled unavailabilities	Over the last quarter, Over the last 12 months
SQI29e	System recovery time	95 % '0 delay' for systems defined on the Disaster Recovery Plan	90 % '0 delay'	1 recovery occurrence	Over the last quarter, Over the last 12 months
SQI30	Integrity of the MCP based on the defect detected by the Commission during the review of the MCP SfR and the 'error report' incidents placed by the NAs related to the MCP	98% '0' defect based on the number of planned activities in the MCP	95% '0' defect	1 defect	Over the last quarter, Over the last 12 months
SQI31	Frequency of voice contacts (phone, face to face, ...) with the NAs	90 % of each of the NAs representatives in each TES Community will be contacted once every 6 months	80 % of the NAs representatives in each TES Community will be contacted once every 6 months	10 contacts	Over the last quarter, Over the last 12 months
SQI32	Monthly service level measurements against SLA targets	95 % of the service levels are successfully met in a period of 3 consecutive months	95 % of the service levels successfully met in a period of 3 consecutive months	2 service levels missed	Over the last quarter, Over the last 12 months

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SQI #	Name	Target	Limit	Minimal number of events	Application Period
SQI33	TESM tools Corrective problem resolution	98% ‘0 delay’	95% ‘0 delay’	1 problem	Over the last quarter, Over the last 12 months

Table 5: Service oriented SQIs

9.2 Deliverable oriented SQI

SQI #	Name	Target	Limit	Minimal number of events	Application period
SQI01r	Delivery of a major deliverable (SfR)	‘0 delay’ for Review	5 w-days	1 deliverable	One off
SQI01a	Delivery of a major deliverable (SfA)	‘0 delay’ for Acceptance	10 w-days	1 deliverable	One off
SQI02	Delivery of a minor deliverable (SfA)	‘0’ delay for acceptance	80 % ‘0’ delay	1 deliverable	Over the last 12 months
SQI03a	Delivery of forecasts on Service Parameters	‘0 delay’ for review, 4 months before the end of the Continuous Services of a Specific Contract	5 w-days	1 forecast	One off
SQI03b	Delivery for acceptance of an offer in reply to a Request for Offer	‘0 delay’ for Acceptance	10 w-days	1 offer	One off
SQI04	Not used				
SQI05r	Delivery of an offer for review in reply to a Request for Estimate	‘0 delay’ for review, as per RfE, 5 w-days after reception of the RfE	5 w-days	1 offer	Over the last 12 months
SQI05a	Delivery for acceptance of an offer in reply to a Request for Estimate	‘0 delay’ for acceptance, as per RfE, ranging from 1 to 10 w-days after reception of comments	10 w-days	1 offer	Over the last 12 months

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SQI #	Name	Target	Limit	Minimal number of events	Application period
SQI06r	Monthly Progress Report (SfR)	'0 delay' for review	2 w-days	1 MPR	Over the last 12 months
SQI06a	Monthly Progress Report (SfA)	'0 delay' for acceptance	5 w-days	1 MPR	Over the last 12 months
SQI07	Delivery of Takeover FAT and Handover FAT and SAT Report (SfA)	'0 delay' for acceptance	5 w-days	1 FAT/SAT	One off

Table 6: Deliverable oriented SQIs

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10 Service Level Agreement (SLA)

10.1 Purpose

This SLA commits the **ITSM3 TES** contractor to fulfilling the services delivered to DG TAXUD.

The objective is to provide a framework for the delivery of high quality services that meet the needs of DG TAXUD and the customers/users of DG TAXUD (e.g. the NAs).

The SLA is closely related to the Service catalogue. The service levels corresponding to each service must be aligned between both documents. The information relevant to the final service consumer is clearly stated within the service catalogue.

10.2 Intended readership

The target audience for this document includes the parties to this SLA and their representative bodies, and other interested parties, e.g.:

- The European Commission and their representative DG TAXUD;
- The **ITSM3 TES** contractor and their representatives;
- The **ITSM3 TES** contractor, fulfilling the Quality Check responsibilities (for the parts that do not contain information related to contractual aspects).

10.3 Agreement period

This SLA will start at the signature of the first SC. This SLA remains valid as long as the FWC is in force or until it is superseded by a revised SLA.

In each SC, **DG TAXUD** will select a set of indicators. The weight will be defined for each of those that will allow calculating the quality of the services delivered for that SC, and eventual liquidated damages if service level is not achieved. All indicators should be monitored and reported upon in the Monthly Progress Report (MPR).

10.4 Service description

The SLA covers the continuous and on-demand services described in the **Technical Annex of each SC signed under the FWC**. The service provider commits himself to deliver those services according to the FWC and SC.

The SLA shall be created and maintained in the context of **WP.4.3.5 – Monitor and report on contractual OLA** and aligned with the overall service strategy.

The Service Provider shall not be liable for any delay in fulfilling or for the failure to fulfil the obligations resulting from this SLA, if this delay or failure is caused by circumstances, which could not have been reasonably foreseen by the parties. If the Service Provider is not able to fulfil its obligations or is not able to fulfil them in time, he shall immediately inform the Service Requester in writing of the situation and of its expected duration.

10.5 Approval of the SLA

The prerequisite for the acceptance of the SLA is the signature of the FWC. Its entry into force will be associated with the signature of the related SC.

10.6 Changes to the SLA

There will be no changes to this SLA during the lifetime of the SC except via an amendment to the FWC and/or SC.

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10.7 Calculation of Specific Quality Indicators

10.7.1 CALCULATION OF THE SQI

SQIs are calculated in general using the following steps in sequence. Note that the indicator related to availability defined later in this document does not follow this general approach.

Collect Measurement of QoS (M)

The Measurement M (or set of measurements) of QoS has to be collected and possibly combined according to the definition of the Measurement of the QoS.

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

Normalise the Measurement (M_{norm})

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

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

Where the M, Target, and Limit are values expressed in the same unit and are part of the SQI definition.

SQI_{prof} as a result of the Profiling function

Once the Measurement has been normalised to M_{Norm}, it is **profiled** (using the *f* function) to a SQI_{prof}, which has the following effects:

- It limits the SQI_{prof} upwards, versus irrelevant over-performance of QoS above target;
- It defines linear proportionality between the SQI_{prof} and the under-performance of QoS below Limit;
- It sets a grace period (interval defined by the Target and the Limit) which is setting the SQI_{prof} to a neutral level, immunising the SQI from any positive or negative factor.

The profiling function (*f*) is applied on all occurrences of the normalised Measurements. Those calculations are provided in detail in the SQI report attached to the Monthly Project Report (MPR).

The profiling function (*f*) is defined as follows:

- | | |
|--|---|
| If $\underline{M}_{Norm} > 0 \Rightarrow SQI_{prof} = f(\underline{M}_{Norm}) = 1$ | i.e. the QoS leads to a Measurement above <i>Target</i> |
| If $-1 < \underline{M}_{Norm} \leq 0 \Rightarrow SQI_{prof} = f(\underline{M}_{Norm}) = 0$ | i.e. the QoS leads to a Measurement between <i>Target</i> and <i>Limit</i> – <u>neutral grace window</u> |
| If $\underline{M}_{Norm} = -1 \Rightarrow SQI_{prof} = f(\underline{M}_{Norm}) = -1$ | i.e. the QoS leads to a Measurement on <i>Limit</i> |
| If $\underline{M}_{norm} < -1 \Rightarrow SQI_{prof} = f(\underline{M}_{norm}) = \underline{M}_{norm}$ | i.e. the QoS leads to a Measurement below the <i>Limit</i> |

This profiling function is plotted in the figure below:

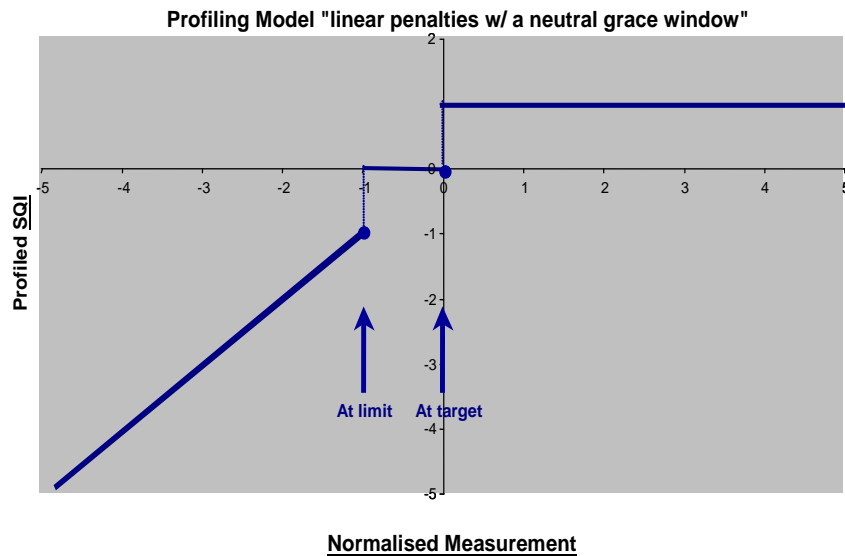


Figure 1 – SQI Profiling function representation

Averaged profiled SQI

When a single SQI_{prof} is used to measure the QoS of multiple occurrences of services/delivery of the same nature, it is called an 'averaged SQI', which is made of the average of all multiple- SQI_i according to the following formula:

$$SQI_{prof} = \frac{\sum_i^n SQI_{prof_i}}{n} = \frac{\sum_i^n f(M_{norm_i})}{n}$$

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

10.7.2 THE GENERAL QUALITY INDICATOR

The GQI is the weighted average of the SQIs specified in the SC /RfA as a subset of all the SQIs defined in SC / RfA. It allows a global assessment of the QoS for all services and deliverables.

10.7.3 DETERMINATION OF WEIGHTS

The choice of the SQI contributing in the GQI calculation and their respective weights will be defined in the SC / RfA. DG TAXUD reserves its rights to change the SQI combination and weights in the GQI for each contract, as an instrument to force the non-regression and continuous improvement of the quality of service.

10.8 Service delivery performance and reporting

The Service Level Management is the process of defining, agreeing, documenting, and managing the levels of IT Services to meet the required quality. The **ITSM3 TES** contractor manages this SLA and provides DG TAXUD with the following commitments on quality of service and user satisfaction in order to increase confidence that DG TAXUD services quality level will be met.

10.8.1 SERVICE LEVEL REPORTING

10.8.1.1 Monitor and report services delivered by the contractor to DG TAXUD in compliance with this SLA

The **ITSM3 TES** contractor commits to monitor all necessary services in order to be able to calculate the SQIs as defined in this SLA.

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The detailed method for monitoring, logging, and delivering the necessary data will be mainly described by the **ITSM3 TES** contractor in the FQP.

10.8.1.2 Monthly progress and service reporting

The MPR will contain the full calculations for all SQIs described in this SLA, including the normalisation, profiling, and calculation of the provisional value of the GQI. The service statistics will contain the actual values used to calculate the SQIs and the KPIs.

10.8.1.3 Monitor and report on evolutive maintenance of the SLA

The **ITSM3 TES** contractor will maintain the SLA, monitor and report on it as described above.

The **ITSM3 TES** contractor will monitor and propose updates to this SLA when needed. All evolutions of this SLA **must be part of an amendment to the SC and/or FWC**, and must follow all rules set by the Commission in this case.

10.8.2 REPORTING OF EXCEPTIONS AND DEVIATIONS FROM SERVICE LEVELS

In case of exceptions or deviations from the expected service levels, the **ITSM3 TES** contractor will escalate the issue to the Commission immediately. The **ITSM3 TES** contractor will also propose solutions for the incident(s) in question, and propose solutions to avoid such incidents in the future. All procedures related to this must be described in the FQP.

In case of major issue or dispute between the customer and the **ITSM3 TES** contractor, a full escalation procedure should be described in the FQP. The escalation path should include at least the service level manager, programme manager and the DG TAXUD C5 Head of Unit.

10.9 DG TAXUD responsibilities

DG TAXUD will ensure that the **ITSM3 TES** contractor has timely access to appropriate DG TAXUD personnel and will arrange for **ITSM3 TES** contractor personnel to have suitable and safe access to the relevant DG TAXUD facilities and systems (e.g. CIRCA, meeting facilities when required).

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The Commission may request other parties involved in the business threads (BT) (like the operations contractor, the QA3 contractor) to review deliverables submitted by the **ITSM3 TES** contractor. The comments from the Commission will include the comments of these third parties. If comments are delivered in various batches, the date of the last batch of comments is considered as the start of the T2 period.

Furthermore, **DG TAXUD** reserves the right to mutually agree (and record in the DTM) with the **ITSM3 TES** contractor a review cycle different from the one originally agreed upon in the SC.

The following sections provide a list of the deliverables to be provided for each Work Package. The deliverables are qualified by their planning, acceptance mechanism and the impact of their late delivery (SQI).

11.1 Planning Mechanism

The planning information will relate to the:

- **For a service:** Start/End or change of the service (a service is considered as continuous by nature);
- **For a deliverable:** Submission for review and/or for acceptance.

The planning of the services and activities will be agreed in the SC, in compliance with the present document, using the following mechanisms, **in order of decreasing precedence**:

- In the SC, with a planning schedule with reference to T0 (starting date of the SC) and/or possibly with reference to other internal/external dependencies. When applicable, the planning specifies for a deliverable whether the date corresponds to submission for review or submission for acceptance;
- In an RfA within an SC;
- Mutual agreement between DG TAXUD and the **ITSM3 TES** contractor during the course of the SC, each planning agreement being recorded in the MPR of the month when the agreement took place;
- Up to the **ITSM3 TES** contractor to take the initiative to provide the deliverable/service whenever an external event triggers the need for it (action driven).

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

All the agreed planned dates and actual dates of delivery are reported in the MPR, both for SfR and SfA.

11.2 Acceptance mechanism

11.2.1 ACCEPTANCE OF DELIVERABLES

The acceptance procedures applicable to the deliverables and services are specified hereafter. The Framework Quality plan (FQP) may specify further the acceptance process details of the deliverables but in case of conflict between these documents, the SC and this document, the following decreasing precedence will prevail: SC, Technical Annex (this document) and FQP.

No formal acceptance applies for deliverables for which neither this document nor the SC defines an acceptance procedure.

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

T1 period:

- (1) The **ITSM3 TES** contractor Submits for Review (SfR) its deliverable to the Commission, and any nominated party⁴³, at the agreed date, starting T1;

⁴³ The Commission may use the support of the QA3 contractor for the management of the review cycles of submitted deliverables.

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- (2) The Commission reviews the SfR deliverable and returns its comments to the **ITSM3 TES** contractor at the end of T1;
- (3) The Commission reserves its right to reject the review in case the deliverable SfR is not fit for review, ending T1.

T2 period:

- (1) T2 starts with the reception by the **ITSM3 TES** contractor of the review comments from the Commission⁴⁴;
- (2) The **ITSM3 TES** contractor submits his author's positions for each of the comments submitted by the Commission;
- (3) The Commission may call a review meeting with the **ITSM3 TES** contractor to resolve outstanding review issues;
- (4) The review meeting decisions are submitted by:
 - (a) The **ITSM3 TES** contractor in case of minor or medium scale review;
 - (b) The Commission (or any other third party designated by it, such as the QA3 contractor) in case of large scale review;
- (5) The **ITSM3 TES** contractor implements the review comments, according to Author Positions agreed and the review meeting decisions (in case a review meeting took place), and Submits for Acceptance (SfA) his deliverable before the end of the T2 period, closing temporarily the T2 period, the final closure of T2 being subject to the approval of the deliverable (the time stamp of the delivery of the accepted version constitutes the final closure of T2).

T3 period:

- (1) T3 starts with the reception of the SfA deliverable by the Commission;
- (2) The Commission will then verify the SfA deliverable and inform the **ITSM3 TES** contractor of any deviation of the SfA deliverable from the author's positions and meeting decisions, within a pre-agreed period T3;
- (3) In case of deviation, the T2 period is re-opened, up to the time that the **ITSM3 TES** contractor submits the version of the deliverable that the Commission will accept.

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

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

The Commission draws the attention of the **ITSM3 TES** contractor to the fact that:

- the T1/T2/T3 review cycle is tightly related to the contractual planning:
 - a contractual date qualified for Review (SFR date) implies that the T1/T2/T3 review cycle for the deliverable starts at that date;

⁴⁴ The Commission may request other parties involved in the business threads (like the development contractors, the QA3 contractor) to review deliverables submitted by the **ITSM3 TES** contractor. The comments from the Commission will include the comments of these third parties.

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- a contractual date qualified for Acceptance (SFA date) implies that the T1/T2 part of the cycle must be completed for the deliverable by that date;
- The T1/T2/T3 review cycle constitutes an integral part of the production of the deliverables. In particular, the contractor shall not claim any additional costs to manage the T1/T2/T3 review cycle.
- For each milestone of an RfA, the **ITSM3 TES** contractor has to provide an RfA Interim/Closure report as part of the supporting documents to be annexed to the invoice as defined in **WP.0.3 – Production of proposals for Request for Actions (RfA)** and **WP.0.4 – Demand Management**.

11.2.2 SERVICES

The definition and the targets for the Quality of Service (QoS) are set in the contractual documents, in the FQP and/or in the contractual OLA (FWC, SC, RfA), which itself may refer to other applicable SLAs/OLAs. They are also referred to in the Service Catalogue.

The Monthly Progress Report (MPR) must report the actual QoS (via SQIs) of all the provided services and justify any deviation from target. The SQI is compiled from the target and actual QoS to quantify the deviation of reality from target and is recorded in the MPR.

The correctness of the reported QoS and associated SQI is accepted by the acceptance of the MPR.

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

11.2.3 MONTHLY PROGRESS REPORT (MPR) AND THE BILATERAL MONTHLY MEETING (BMM) MINUTES

The Commission will formally accept on a monthly basis the bundle made of the MPR, which includes the various service statistics and the minutes of the Bilateral Monthly Meeting (BMM). The Commission will not issue a separate acceptance for these deliverables.

The acceptance of the bundle will trigger the acceptance by default of the deliverables presented for acceptance in the accepted MPR.

In case of conflict between MPR and BMM minutes (even when accepted by the Commission), on one hand, and the contractual documents, and FQP on the other hand, the latter will always take precedence.

11.2.4 FQP, TAKEOVER AND HANDOVER

The acceptance of the FQP and the Takeover will be subject to a FAT, the aim of which is to verify the integrity between the FQP and Takeover reports with the set-up of the **ITSM3 TES** contractor.

The acceptance of the Handover will be subject:

- (1) Firstly, to a FAT performed in the premises of the **ITSM3 TES** contractor;
- (2) Secondly, to a SAT in the premises of the third parties nominated by the Commission to take over from the **ITSM3 TES** contractor after the transfer of knowledge.

11.2.5 ICT INFRASTRUCTURE SERVICES

The ICT infrastructure services will be accepted after reception of the delivery notification and by the formal acceptance of the Site Acceptance Test report delivered by the **ITSM3 TES** contractor following an on-site verification of the report quality. The SAT report is part of the bundle of the end of the Takeover period (**WP.1.1.3 – Takeover of the processes, TESH tools, and documentation**).

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11.2.6 REVIEW AND ACCEPTANCE BY THE NAs

In the context of deliverables, which issue recommendations to and/or place obligations on the NAs, the NAs are invited to submit their comments, in an agreed format, (in EN, FR or DE) within a given period of time (from 2 to 10 weeks according to the volume of the deliverables and their importance).

The **ITSM3 TES** contractor shall translate the comments received in FR or DE into EN, consolidate the comments into the comment database of the Commission⁴⁵, and for each of them propose an ‘author position’ to the Commission according to a SfR/SfA cycle.

The Commission will call a review workshop with the NAs, the outcome of which is a ‘workshop decision’ on each of the received comments.

The **ITSM3 TES** contractor will deliver the minutes of the workshop also according to a SfR/SfA cycle.

The Commission will then submit the bundle made of the documents as accepted by the Commission, and of the ‘workshop decision’ for the approval of the NAs of Member States and Candidate Countries/Third Countries.

Once the NAs and the Candidate Countries accept the bundle, the **ITSM3 TES** contractor will consolidate the ‘workshop decision’ into the deliverables and deliver the final version of the specifications, again according to a SfR/SfA cycle. This final version becomes part of the documentation baseline of the project.

All deliverables produced by the **ITSM3 TES** contractor under this step will be produced in EN only.

The timing of the consecutive SfR/SfA cycles can be defined in the FQP, SCs, and their associated RfAs.

⁴⁵ The comments from the MS might be received in different formats: plain text emails, XLS, Word comments / revision marks... All these are to be converted in a common format, which is currently an Access DB.

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11.3 List of Deliverables

The following table provides an overview of the current existing and foreseen deliverable, the indicative planning, the delivery mechanism, and the SQI linked. This list is provided **for information only**, it is neither exhaustive nor binding, as it constantly evolves and does not take into account the eventual transformations that will occur during the lifetime of the **ITSM3 TES** contract. The present list is provided to give an indication to the Tenderer of the current level of deliverables to be produced by the **ITSM3 TES** contractor. This list may be updated by **DG TAXUD** in each SC.

For all deliverables mentioned below, the following information will be completed in the first delivery of the FQP: Delivery Mechanism (Individual Delivery (ID), Bundled with other deliverable, etc.), Delivery milestones (linked to SFR and/or SFA delivery), review cycle, ordering method, publication (CIRCA, e-mail, online), SQI, triggering/ordering mechanism, etc. The structure of the main deliverables will be in line with the one provided by the incumbent **ITSM2 Lot2** contractor and, if needed, will be updated in the first delivery of the FQP.

The delivery format of all deliverables mentioned below shall be agreed with **DG TAXUD** and described in the first delivery of the FQP. By default, it will be a MS-Office (or compatible) deliverable uploaded on CIRCA, but **DG TAXUD** may agree to change the format of some deliverables (e.g. extracts from the SMT Tool (Synergia) data available on the portal or log files of test tools).

WP#	Service / Deliverable	Description of the Service / Deliverable	Planning	Delivery Mechanism	SQI
WP.0.1	SE.0.1.1	Continuous maintenance of the FQP, its annexes and IWPs	Continuous	-	SQI10a SQI10b SQI13
WP.0.1	DLV.0.1.2	1st version of Framework Quality Plan (FQP), its annexes and IWPs along with an FQP test plan and its FAT report (Bundled with DLV.1.1.3.2.x)	SC01, T0 + 5 months for SfA with a 10/10/10 review cycle	ID	SQI07
WP.0.1	DLV.0.1.3	Maintenance version of the FQP, its annexes and IWPs	OR, 1 EC working.day after the request	ID	SQI01r SQI01a
WP.0.1	DLV.0.1.4	Evolutive version of the FQP, its annexes and IWPs	RfA	ID	SQI01r SQI01a
WP.0.2	DLV.0.2.1	Forecasts on Service Parameters	SC0x, 4 months before the end of continuous services for Review	ID	SQI03a

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WP#	Service / Deliverable	Description of the Service / Deliverable	Planning	Delivery Mechanism	SQI
WP.0.2	DLV.0.2.2	SC Offer	RfO + 5 EC working.days for Review	ID	SQI03b
WP.0.3	DLV.0.3.1	RFA Offer	RfE + 5 EC working.days for Review	ID	SQI05r SQI05a
WP.0.3	DLV.0.3.1.x.y	Interim or Closure Report for RfA-QTM x, milestone y	Milestone + 5 EC wdays	ID	SQI02
WP.0.4.1	SE.0.4.1.1	Demand Management across all threads	Continuous	-	SQI12a
WP.0.4.1	DLV.0.4.1.2	Demand Schedule across all threads (annexed to the MPR)	Weekly, Monthly	With MPR	SQI06r SQI06a
WP.0.4.1	DLV.0.4.1.3	Monthly Forecast report across all threads (annexed to the MPR)	Weekly, Monthly	With MPR	SQI06r SQI06a
WP.0.4.1	DLV.0.4.1.4.x	Closure Report for RfA-OD x	Closure + 5 EC wdays	ID	SQI02
WP.0.4.2	SE.0.4.2.1	Demand management for DG TAXUD IT services needed by ITSM3 TES contractor	Continuous	-	SQI12b
WP.0.4.2	DLV.0.4.2.2	Demand schedule for DG TAXUD IT services needed by ITSM3 TES contractor (annexed to the MPR)	Weekly, Monthly	With MPR	SQI06r SQI06a
WP.0.4.2	DLV.0.4.2.3	Monthly Forecast report for DG TAXUD IT services needed by ITSM3 TES contractor (annexed to the MPR)	Weekly, Monthly	With MPR	SQI06r SQI06a
WP.0.4.2	DLV.0.4.2.4.x	Closure Report for RfA-OD x	Closure + 5 EC wdays	ID	SQI02
WP.0.5.1	SE.0.5.1.1	Internal Quality Assurance (QA)	Continuous	-	SQI13
WP.0.5.1	DLV.0.5.1.2	Quality records, filed in contractor's premises, on request from the Commission	OR + 1 EC wdays for delivery	ID	SQI02
WP.0.5.2	SE.0.5.2.1	Internal Quality Control (QC)	Continuous	-	SQI13
WP.0.5.2	DLV.0.5.2.2	Quality Control checks, filed in contractor's premises, on request from the Commission	OR + 1 EC wdays for delivery	ID	SQI02
WP.0.5.3	DLV.0.5.3.1	Self-Assessments reports	At least once per Specific Contract	ID	SQI10a SQI10b SQI11

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WP#	Service / Deliverable	Description of the Service / Deliverable	Planning	Delivery Mechanism	SQI
WP.0.5.3	DLV.0.5.3.2	Internal Audit reports	At least once per Specific Contract	ID	SQI10a SQI10b SQI11
WP.0.6	SE.0.6.1	Internal Risk Management	Continuous	-	SQI13
WP.0.6	DLV.0.6.2	Internal risk analysis records, in contractor's premises, on request from the Commission.	OR + 1 EC wdays for delivery	ID	SQI02
WP.0.6	DLV.0.6.3	Internal Risk Register (annexed to the MPR)	Monthly	With MPR	SQI06r SQI06a
WP.0.7	SE.0.7.1	Internal Incident Management	Continuous	-	SQI13
WP.0.7	DLV.0.7.2	Incident Log (annexed to the MPR)	Monthly	With MPR	SQI06r SQI06a
WP.0.7	DLV.0.7.3	Complaint Log (annexed to the MPR)	Monthly	With MPR	SQI06r SQI06a
WP.0.8	SE.0.8.1	Internal Change Management	Continuous	-	SQI13
WP.0.8	DLV.0.8.2	Change Log (annexed to the MPR)	Monthly	With MPR	SQI06r SQI06a
WP.0.8	DLV.0.8.3	Change Impact Analysis report containing: - the due diligence report; - The service plan; - The detailed implementation plan; - The financial impact.	OR + 10 EC working.days after the Change Request	ID	SQI01r SQI01a
WP.0.9.1	SE.0.9.1.1	Attendance at Steerco, BMM and weekly meetings	Quarterly, Monthly, Weekly	-	SQI13
WP.0.9.1	SE.0.9.1.2	Attendance at ad-hoc meetings	Conference Call: OR + 2 working.hours Physical Attendance: OR + 1 EC working.day	-	SQI13
WP.0.9.1	SE.0.9.1.3	Implementation of actions agreed with the Commission	Continuous	-	SQI11
WP.0.9.1	DLV.0.9.1.4	Agenda of Steering Meeting (including supporting material)	Quarterly, 5 EC working.days before the meeting	ID	SQI01r SQI01a

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WP#	Service / Deliverable	Description of the Service / Deliverable	Planning	Delivery Mechanism	SQI
WP.0.9.1	DLV.0.9.1.5	Minutes of Steering Committee	Quarterly, 5 EC working.days after the meeting	ID	SQI01r SQI01a
WP.0.9.1	DLV.0.9.1.6	Agenda of Bilateral Monthly Meeting	Monthly, 1 EC working.days before the meeting	ID	SQI02
WP.0.9.1	DLV.0.9.1.7	Minutes of Bilateral Monthly Meetings (annexed to the SfA of the MPR)	Monthly, 2 EC working.days after the meeting	With MPR	SQI06a
WP.0.9.1	DLV.0.9.1.8	Minutes of weekly and adhoc meetings	1 EC working.day after the meeting	ID	SQI02
WP.0.9.1	DLV.0.9.1.9	Action log (annexed to the MPR)	Monthly	With MPR	SQI06r SQI06a
WP.0.9.2	SE.0.9.2.1	Co-operate with the Commission (and any third party elected by it) during quality, process and security audits	Continuous	-	SQI13
WP.0.9.2	SE.0.9.2.2	Implementation of actions agreed by the ITSM3 TES contractor at the outcome of the audit.	Continuous	-	SQI10a SQI10b SQI11
WP.0.9.2	DLV.0.9.2.3	Positions of the ITSM3 TES contractor on the audit report	10 EC wdays upon reception of the audit report	ID	SQI01r SQI01a
WP.0.A.1	DLV.0.A.1.1	Monthly Progress Report, bundled with all Monthly Service Reports.	Monthly	SfR: Max (end of the reporting period + 5 w-days, Date of BMM – 5 w-days) SfA: Date of BMM + 10 w-days	SQI06r SQI06a
WP.0.A.2	SE.0.A.2.1	Keep the planning of the ITSM3 TES contractor activities up to date and available to the Commission for information.	Continuous	-	SQI13
WP.0.A.2	DLV.0.A.2.2	Monthly Planning with updated activities, services and deliverables (annexed to the MPR)	Monthly	With MPR	SQI06r SQI06a
WP.0.B.1	DLV.0.B.1.1	Quarterly DVD-ROM with all deliverables from the past quarter in the context of each SC	Quarterly	ID	SQI02

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WP.0.B.2	DLV.0.B.2.1	DVD-ROM with the full baseline of ITSM3 TES contractor since the start of the contract	Yearly	ID	SQI02
WP.1.1.2	DLV.1.1.2.1.x	Takeover plan per business thread (including support threads)	SC01 T0 + 6 weeks for acceptance with a 10/10/10 review cycle	ID	SQI01r SQI01a
WP.1.1.2	DLV.1.1.2.2.x	Takeover FAT Test plan per business thread (including support threads)	SC01 T0 + 6 weeks for acceptance with a 10/10/10 review cycle	ID	SQI01r SQI01a
WP.1.1.3	SE.1.1.3.1.x	Takeover per business thread (including support threads)	Continuous during the takeover period (SC01)	-	SQI14
WP.1.1.3	DLV.1.1.3.2.x	Takeover FAT report per business thread (including support threads)	SC01 T0 + 5 months max for acceptance with a 10/10/10 review cycle	ID	SQI07
WP.1.1.3	DLV.1.1.3.3.x	SAT report of the ICT Infrastructure	SC01 T0 + 5 months max for acceptance with a 10/10/10 review cycle	ID	SQI07
WP.1.2.1	DLV.1.2.1.1.x	Handover Plan per business thread (including support threads)	OR, 6 to 9 months before start of handover	ID	SQI01r SQI01a
WP.1.2.1	DLV.1.2.1.2.x	Handover FAT test plan per business thread (including support threads)	OR, 6 to 9 months before start of handover	ID	SQI01r SQI01a
WP.1.2.1	DLV.1.2.1.3.x	Handover SAT test plan per business thread (including support threads)	OR, 6 to 9 months before start of handover	ID	SQI01r SQI01a

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WP.1.2.2	SE.1.2.2.1.x	Handover per business thread (including support threads)	Continuous during the takeover period (SC01)	ID	SQI14
WP.1.2.2	DLV.1.2.2.2.x	Handover FAT Report per business thread (including support threads)	OR, 3 to 6 months after start of handover	ID	SQI07
WP.1.2.2	DLV.1.2.2.3.x	Handover SAT Report per business thread (including support threads)	OR, 3 to 6 months after start of handover	ID	SQI07
WP.1.2.3	SE.1.2.3.1	Provision of training and support to a third party	OR, during the handover period	-	SQI14
WP.1.2.4	SE.1.2.4.1.x	"After Handover" support per business thread	Elapsed time of 3 months as from handover of ITSM3 TES services	-	SQI14
WP.1.2.4	DLV.1.2.4.2.x	Final Hand-over report	SfA 1 month after the end of the "after handover" support	ID	SQI01r SQI01a
WP.1.2.5	SE.1.2.5.1.x	Handover exercise (per business thread)	OR, 2 months after request	-	SQI14
WP.1.2.5	DLV.1.2.5.2.x	Handover exercise Plan (and update)	OR, 2 months after request SfA 1 month after the end of the handover exercise for the update	ID	SQI01r SQI01a
WP.1.2.5	DLV.1.2.5.3.x	Handover exercise FAT test plan (and update)	OR, 2 months after request SfA 1 month after the end of the handover exercise for the update	ID	SQI01r SQI01a

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WP.1.2.5	DLV.1.2.5.4.x	Handover exercise SAT test plan (and update)	OR, 2 months after request SfA 1 month after the end of the handover exercise for the update	ID	SQI01r SQI01a
WP.1.2.5	DLV.1.2.5.5.x	Handover exercise FAT test report	SfR 1 month after the end of the handover exercise	ID	SQI01r SQI01a
WP.1.2.5	DLV.1.2.5.6.x	Handover exercise SAT test report	SfR 1 month after the end of the handover exercise	ID	SQI01r SQI01a
WP.2.1.1	SE.2.1.1.1	Continual Service Improvement of ITSM3 TES Services	Continuous	-	SQI15a SQI15b SQI15c
WP.2.1.1	DLV.2.1.1.2	CSIP production and maintenance (Quarterly delivery)	SC01 T0 + 6 months and then quarterly	ID	SQI01r SQI01a
WP.2.1.1	DLV.2.1.1.3	Monthly service report regarding CSIP tactical planning (annexed to the MPR)	Monthly	With MPR	SQI06r SQI06a
WP.2.1.1	DLV.2.1.1.4	Yearly Maturity Assessment	Yearly	ID	SQI01r SQI01a
WP.2.1.2	SE.2.1.2.1	Contribution to the harmonization of processes, procedures and tools	Continuous	-	SQI15a SQI14
WP.2.1.2	DLV.2.1.2.2	Addendum to the CSIP production and maintenance (Quarterly delivery) as referred in WP.2.1.1 - Continual Service Improvement of ITSM3 Services	SC01 T0 + 6 months and then quarterly	ID	SQI01r SQI01a
WP.2.1.3	SE.2.1.3.1	Contribution to the optimisation of TES	Continuous	-	SQI15a SQI14
WP.2.1.3	DLV.2.1.3.2	Addendum to the CSIP production and maintenance (Quarterly delivery) as referred in WP.2.1.1 - Continual Service Improvement of ITSM3 Services	SC01 T0 + 6 months and then quarterly	ID	SQI01r SQI01a
WP.3.1.1	SE.3.1.1.1	Co-ordination between development and service management	Continuous	-	SQI16a SQI16b

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WP.3.1.2	SE.3.1.2.1	Attendance at review meetings to clarify review comments issued	As foreseen in the Review cycle of the document	-	SQI13
WP.3.1.2	DLV.3.1.2.2	Technical review reports of artefacts submitted for review by the Commission or other contractors, containing the list of review comments	As foreseen in the Review cycle of the document	-	SQI17
WP.3.2.1	SE.3.2.1.1	Coordination of the NAs, the Commission and other contractors	Continuous	-	SQI18
WP.3.2.2	SE.3.2.2.1	Functional and Technical Support of the NAs	Continuous	-	SQI13 SQI14
WP.3.2.3	SE.3.2.3.1	Conformance Testing monitoring and support	Continuous	-	SQI13 SQI14 SQI19
WP.3.2.3	SE.3.2.3.2	Ad-hoc Conformance Testing support	Continuous	-	SQI13 SQI14
WP.3.2.3	DLV.3.2.3.3.y	Conformance Test Mode 2 <ul style="list-style-type: none"> • Pre-Conformance test report per NA preCT (y=1) • Conformance test report per NA CT (y=2) • Conformance test campaign report (y=3) • Weekly CT progress Dashboard with dedicated Risk Register (y=4) 	<ul style="list-style-type: none"> • SFA 2 EC wdays after test completion • SFA 2 EC wdays after test completion • SFA 10 EC wdays after test completion • Last EC wdays of the week, during test duration 	ID	SQI01r SQI01a for 1,2,3 SQI02 for 4
WP.3.2.3	DLV.3.2.3.4	Conformance test organisation (CTOD) document, submitted to a review cycle by the NAs.	SFA 3 months before the start of the CT campaign	ID	SQI01r SQI01a
WP.3.2.3	DLV.3.2.3.5	Template for a Start of Operations check list	SFA 3 months before the start of operation of the 1st NA	ID	SQI02

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WP.3.2.3	DLV.3.2.3.6	Start of Operations check list	Submitted for information biweekly, for the TES with an in-progress deployment SFA 10 EC wdays after the start of operations of the last NA or third country	ID	SQI02
WP.3.2.3	DLV.3.2.3.7	Frequently Asked Questions (pertaining to CT), kept up to date and available on line for the stakeholders involved in the Conformance Test campaign.	Monthly deliverable for the duration of a CT campaign	ID	SQI02
WP.3.2.3	DLV.3.2.3.8	Result of the NA survey	SfA 2 months after the end of the CT campaign	ID	SQI01r SQI01a
WP.3.2.4	SE.3.2.4.1	CTA support	Continuous during CT campaign	-	SQI13
WP.3.2.5	DLV.3.2.5.1	National deviation per Business Thread / TES (Annexed to the MSR)	SfA 2 months after the end of the CT campaign	ID	SQI06r SQI06a
WP.3.3.1	SE.3.3.1.1	Coordination of the NAs, the Commission and other contractors	Continuous	-	SQI20
WP.3.3.1	DLV.3.3.1.2	IT Service deployment plan	OR, 5 EC working.day after the request	ID	SQI01r SQI01a
WP.3.3.2	SE.3.3.2.1	Ad-hoc Attendance at FAT	OR, 2 EC working.day before the PreSAT	-	SQI13
WP.3.3.2	DLV.3.3.2.2	FAT - Addendum to the test plan and test specifications	OR, 10 EC working.day after the request	ID	SQI01r SQI01a
WP.3.3.3	SE.3.3.3.1	Ad-hoc Attendance at PreSAT	OR, 2 EC working.day before the PreSAT	-	SQI13

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WP.3.3.4	SE.3.3.4.1	Ad-hoc Attendance at SAT	OR, 2 EC working.day before the SAT	-	SQI13
WP.3.3.4	DLV.3.3.4.2	SAT - Addendum to the test plan and test specifications	OR, 10 EC working.day after the request	ID	SQI01r SQI01a
WP.3.3.5	SE.3.3.5.1	Functional Testing	Continuous	-	SQI13 SQI21
WP.3.3.5	DLV.3.3.5.2.x	Functional testing <ul style="list-style-type: none"> • Addendum to the test plan and test specifications (x=0) • Comprehensive functional test report (x=1) • Functional qualification report (x=2) • Daily status report (x=3) 	SfA 2 wdays after test completion SfA 2 wdays after test completion SfA 10 wdays after campaign completion Weekly, for duration of CT	ID	SQI01r SQI01a for 0,1,2 SQI02 for 3
WP.3.4	SE.3.4.1	Populate SMT/CMDB, maintain its data up to date and improve the CMDB for all CI's in the scope of the contract.	Continuous	-	SQI13 SQI22a SQI22b SQI23 SQI25f SQI26b
WP.3.5	SE.3.5.1	Change Management, including creation/update/follow-up of the RFCs in the SMT/CMDB, management of the CAB, and production of Release scope document and RfC lists in line with information in SMT/CMDB and availability of the schedule of changes	Continuous	-	SQI13 SQI23
WP.3.5	SE.3.5.2	Release Management, including creation/update of release records in the SMT/CMDB, availability of the release schedule.	Continuous	-	SQI13 SQI23

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WP.3.5	DLV.3.5.3.x	Manage the CAB meeting: <ul style="list-style-type: none"> • Briefing (x=1) • Agenda (x=2) • Facilitation and attendance • Minutes (x=3) Or run the CAB by written procedure	<ul style="list-style-type: none"> • Briefing: - 2 EC working.days SFR • Agenda: - 1 EC working.days SFR • Facilitation and attendance • Minutes: + 1 EC working.days SFA (bundeled with RfC Lists) 	-	SQI02
WP.3.5	DLV.3.5.4	List of Request for Changes per CI	+ 1 EC working.days SFA (bundled with Minutes of the CAB)	ID	SQI01r SQI01a
WP.3.5	DLV.3.5.5	Release scope document	OR, 5 EC working.day after the request	ID	SQI01r SQI01a
WP.3.6.1	SE.3.6.1.1	Event monitoring	Continuous	-	SQI13
WP.3.6.2	SE.3.6.2.1	Update Operational Production data	Continuous	-	SQI13
WP.3.6.3	SE.3.6.3.1	Business monitoring and Statistics	Continuous	-	SQI13
WP.3.6.3	SE.3.6.3.2	Daily and weekly report on monitoring business operations and statistics	Continuous	-	SQI13
WP.3.6.3	DLV.3.6.3.3	Monthly Service Report - Reporting on business monitoring and statistics	Monthly	With MPR	SQI06r SQI06a
WP.3.6.3	DLV.3.6.3.4	Quarterly Service Report - Reporting on business monitoring and statistics	Monthly	ID	SQI06r SQI06a
WP.3.6.3	DLV.3.6.3.5	Ad hoc business analysis and reporting	OR	ID	SQI01r SQI01a SQI06
WP.3.7.1	SE.3.7.1.1	Second level SD and associated support team available during the basic time coverage	Continuous	-	SQI13 SQI14
WP.3.7.1	SE.3.7.1.2	Management of the contact list for external users (NAs, traders) and Distribution list per Business Threads / TES / IT Services	Continuous	-	SQI13

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WP.3.7.1	DLV.3.7.1.3	Contact list for the NAs and Traders	OR, 2 EC working.day after the request	ID	SQI02
WP.3.7.1	DLV.3.7.1.4	Distribution list per Business Threads / TES / IT Services	OR, 2 EC working.day after the request	ID	SQI02
WP.3.7.2	SE.3.7.2.1	2nd level incident management, including ensuring integrity of the SMT/CMDB from an incident perspective.	Continuous	-	SQI24 SQI25a SQI25b SQI25c SQI25d SQI25e SQI25f SQI13
WP.3.7.3	SE.3.7.3.1	Problem management, including ensuring integrity of the SMT/CMDB from a problem perspective	Continuous	-	SQI24 SQI25c SQI25d SQI26a SQI26b SQI13
WP.3.7.3	DLV.3.7.3.2	Ex-post analysis of critical incidents	OR, 2 EC working.day after the critical incident occurred	ID	SQI01r SQI01a
WP.3.7.3	DLV.3.7.3.3	Weekly Dashboard per TES	Weekly	ID	SQI02
WP.3.7.4	SE.3.7.4.1	Service Request Management from inception to closure	Continuous	-	SQI24 SQI13
WP.3.7.5	SE.3.7.5.1	Access Right management to the IT services	Continuous	-	SQI13
WP.3.7.6	SE.3.7.6.1	Remote support	Continuous	-	SQI13
WP.3.7.6	SE.3.7.6.2	On-site technical support including: <ul style="list-style-type: none"> • Deliver the agenda (DLV.4.5.3.3) • Preparation of the on-site support material (DLV.4.5.3.2) • Mission report (DLV.4.5.3.5) 	OR, 2 EC working.day after the request	-	SQI13 SQI14

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WP.3.7.6	SE.3.7.6.3	Ad-hoc support	OR, 2 EC working.day after the request	-	SQI13 SQI14 As per RfA
WP.3.6.3	SE.3.7.6.4	Frequently asked questions related to operation for each TES and ITS in operation available up to date on line.	Continuous	-	SQI13
WP.3.8.1	SE.3.8.1.1	Organise, facilitate and minute conference calls/virtual meetings/video conference, including the provision of the supporting telco services	OR, 1 EC working.day before the meeting	-	SQI13
WP.3.8.2	SE.3.8.2.1	Web mastering the web environments for the supported business threads.	Continuous	-	SQI13
WP.3.8.3	SE.3.8.3.1	General support/maintenance of the SMS application	Continuous	-	SQI13
WP.3.8.3	SE.3.8.3.2	Process the Data Input Requests (DIR)	Continuous	-	SQI13
WP.3.8.3	DLV.3.8.3.3	SMS Monthly Service Report	Monthly, last EC wday of the month + 5 EC wdays	ID	SQI01r SQI01a
WP.3.8.4	SE.3.8.4.1.x	Processing of statistical information coming from the Member States	Continuous	-	SQI13
WP.3.8.4	DLV.3.8.4.1.x	NAs periodic Statistical Report	OR	ID	SQI01r SQI01a
WP.4.1.1	SE.4.1.1.1	TES and associated IT services portfolio management, up to date portfolio available on-line	Continuous	-	SQI27
WP.4.1.2	SE.4.1.2.1	Support IT Collaboration activities: • Consolidated project planning; • Consolidated action lists; • Communication and interaction with Member States regarding planning and actions; • Periodic coordination calls.	Continuous	-	SQI13
WP.4.1.3	SE.4.1.3.1	Capacity Management of the TES	Continuous	-	SQI13
WP.4.1.3	DLV.4.1.3.2	Monthly Service Report - Capacity statistics	Monthly	With MPR	SQI06r SQI06a
WP.4.1.3	DLV.4.1.3.3	Evolutionary maintenance of Capacity plan for the trans-European systems including review cycle with the NAs	OR, 4 months before end of the continuous services of a SC	ID	SQI01r SQI01a

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WP.4.1.4	SE.4.1.4.1	Availability Management of the TES	Continuous	-	SQI13 SQI29a SQI29b SQI29c SQI29d SQI29e
WP.4.1.4	DLV.4.1.4.2	Monthly Service Report - Availability	Monthly	With MPR	SQI06r SQI06a
WP.4.1.4	DLV.4.1.4.3	Evolutionary version of the Availability Plan for the trans-European IT services, including review cycle with the NAs	OR, 4 months before end of the continuous services of a SC	ID	SQI01r SQI01a
WP.4.2.1	SE.4.2.1.1	MCP Maintenance per business thread	Continuous	-	SQI13
WP.4.2.1	DLV.4.2.1.2	Monthly Consolidated Plan (and all its views as defined in WP.4.2.1) per business thread	Weekly for SFI Monthly for SFR	With MPR	SQI06r SQI06a SQI30
WP.4.2.2	SE.4.2.2.1	ITOP Update per business thread	Weekly	ID	SQI13
WP.4.2.3	SE.4.2.3.1	Produce on-demand TES Progress and Status Reports	Continuous	-	SQI13
WP.4.2.3	DLV.4.2.3.2	TES Progress and Status Reports	SFA 5 EC wdays before meeting	ID	SQI01r SQI01a
WP.4.2.4	DLV.4.2.4.1	TES Risk Register (annexed to the MPR)	Monthly	With MPR	SQI06r SQI06a
WP.4.3.1	SE.4.3.1	Service Level Management	Continuous	-	SQI13
WP.4.3.1	DLV.4.3.1.1	Service Report, including exceptions about the services from the Commission per customer/user community within each business thread and support threads against SLAs (annexed to the MSR)	Monthly	With MPR	SQI06r SQI06a
WP.4.3.1	DLV.4.3.1.2	Evolutionary maintenance of Service Catalogues & SLAs	OR, 4 months before end of the continuous services of a SC	ID	SQI01r SQI01a
WP.4.3.2	DLV.4.3.2.1	Service Report, including exceptions about the services exchanged amongst NAs and Commission across the Common Domain, per business thread and support thread, against Terms of Collaboration (annexed to the MSR)	Monthly	With MPR	SQI06r SQI06a

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WP.4.3.2	DLV.4.3.2.2	Evolutionary version of Terms of Collaboration	OR, 4 months before end of the continuous services of a SC	ID	SQI01r SQI01a
WP.4.3.3	SE.4.3.3.1	Periodic survey of each of the National Administrations	Continuous	-	SQI13 SQI14 SQI31
WP.4.3.3	DLV.4.3.3.2	Bi-yearly periodic briefing report on "voice surveys"	Bi-Yearly	ID	SQI02
WP.4.3.3	DLV.4.3.3.3	Yearly NA satisfaction survey material and planning	Yearly	ID	SQI01r SQI01a
WP.4.3.3	DLV.4.3.3.4	Yearly NA satisfaction survey report	Yearly	ID	SQI01r SQI01a
WP.4.3.4	SE.4.3.4.1	Periodic survey of each of DG TAXUD roles	Continuous	-	SQI13 SQI14
WP.4.3.4	DLV.4.3.4.2	Quarterly periodic briefing report on "voice surveys"	Quarterly	ID	SQI02
WP.4.3.4	DLV.4.3.4.3	Yearly DG TAXUD roles satisfaction survey material and planning	Yearly	ID	SQI01r SQI01a
WP.4.3.4	DLV.4.3.4.4	Yearly DG TAXUD roles satisfaction survey report	Yearly	ID	SQI01r SQI01a
WP.4.3.5	SE.4.3.5.1	Monitor and report on contractual OLA	Continuous	-	SQI32 SQI13
WP.4.3.5	DLV.4.3.5.2	Monthly Service Report, including exceptions about the services provided by the ITSM3 TES contractor, per business thread and support thread as applicable against contractual OLA (annexed to the MSR)	Monthly	With MPR	SQI06r SQI06a
WP.4.3.6	SE.4.3.6.1	Monitor and report on the service quality of the IT services delivered to the ITSM3 TES contractor (OLAs)	Continuous	-	SQI13
WP.4.3.6	DLV.4.3.6.2	Monthly Service Report, including exceptions about the services provided by third parties, per business thread and support thread, as appropriate, against OLAs (annexed to the MSR)	Monthly	With MPR	SQI06r SQI06a
WP.4.4.1	DLV.4.4.x	NAs periodic Progress Reports	As agreed in the SC	ID	SQI01r SQI01a
WP.4.5.1	SE.4.5.1.1	NA Working group meeting - Performance	Average duration of 2 EC wdays, date as per request	ID	SQI13 SQI14

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WP#	Service / Deliverable	Description of the Service / Deliverable	Planning	Delivery Mechanism	SQI
WP.4.5.1	SE.4.5.1.2	NA Working group meeting - Attendance	Average duration of EC 2 wdays, date as per request	ID	SQI13 SQI14
WP.4.5.1	DLV.4.5.1.3	NA Working group meeting - Draft agenda	Meeting date - 20 EC wdays SfR	ID	SQI02
WP.4.5.1	DLV.4.5.1.4	NA Working group meeting - Briefing	Meeting date - 10 EC wdays SfR, - 5 EC wdays SfA	ID	SQI02
WP.4.5.1	DLV.4.5.1.5	NA Working group meeting - Summary Record including list of actions & agreements	Meeting date + 2 EC wdays SfR	ID	SQI02
WP.4.5.1	DLV.4.5.1.6	NA Working group meeting - Minutes	Meeting date + 5 EC wdays for review Meeting date + 10 EC wdays for acceptance	ID	SQI01r SQI01a
WP.4.5.1	DLV.4.5.1.7	NA Working group meeting – Preparation of material	Meeting date - 15 EC wdays SfR, - 10 EC wdays SfA	ID	SQI01r SQI01a
WP.4.5.2	SE.4.5.2.1	SMM - Attendance	According to Specific contract	-	SQI13 SQI14
WP.4.5.2	DLV.4.5.2.2	SMM - Agenda	SMM date – 5 EC wdays SfR	ID	SQI02
WP.4.5.2	DLV.4.5.2.3	SMM - Briefing	SMM date – 5 EC wdays SfR	ID	SQI02
WP.4.5.2	DLV.4.5.2.4	SMM - Minutes	SMM date + 5 w-days SfR SMM date + 10 w-days SfA	ID	SQI02
WP.4.5.3	SE.4.5.3.1	Coordination Mission - Performance	Average duration of 2 EC wdays as per request	-	SQI13 SQI14

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WP#	Service / Deliverable	Description of the Service / Deliverable	Planning	Delivery Mechanism	SQI
WP.4.5.3	DLV.4.5.3.2	Co-ordination Mission – Preparation of material	OR, 5 EC working.day after the request	ID	SQI01r SQI01a
WP.4.5.3	DLV.4.5.3.3	Co-ordination Mission - Agenda	OR, 5 EC working.day after the request	ID	SQI02
WP.4.5.3	DLV.4.5.3.4	Coordination Mission- Briefing	OR, 5 EC working.day after the request	ID	SQI02
WP.4.5.3	DLV.4.5.3.5	Coordination Mission – Report and evaluation	OR, 5 EC working.day after the mission	ID	SQI01r SQI01a
WP.4.5.4	SE.4.5.4.1	On-site Training /workshop - Performance	Average duration of 2 EC wdays as per request	-	SQI13 SQI14
WP.4.5.4	SE.4.5.4.2	On-site Training/workshop - Attendance	Average duration of 2 EC wdays as per request	-	SQI13
WP.4.5.4	SE.4.5.4.3	On-site Training/workshop - Hosting Facilities and infrastructure: Medium sized meeting room at contractor's premises (one delegate per NA plus 20% extra for Commission and its contractors)	Average duration of 2 EC wdays as per request	-	SQI13
WP.4.5.4	SE.4.5.4.4	On-site Training/workshop - Hosting Facilities and infrastructure: Big sized meeting room at contractor's premises (two delegates per NA plus 20% extra for Commission and its contractors)	Average duration of 2 EC wdays as per request	-	SQI13
WP.4.5.4	SE.4.5.4.5	Webinar – Performance & Platform	Average duration of 2 EC wdays as per request	-	SQI13
WP.4.5.4	DLV.4.5.4.6	On-site Training/workshop - Preparation material	Date of the training/workshop – 5 EC wdays, SfR Date of the training/workshop – 2 EC wdays, SfA	-	SQI01r SQI01a

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WP#	Service / Deliverable	Description of the Service / Deliverable	Planning	Delivery Mechanism	SQI
WP.4.5.4	DLV.4.5.4.7	On-site Training/workshop - Agenda	Date of the training/workshop – 15 EC wdays, SfR Date of the training/workshop – 2 EC wdays, SfA	-	SQI02
WP.4.5.4	DLV.4.5.4.8	On-site Training/workshop - Briefing	Date of the training/workshop – 10 EC wdays, SfR Date of the training/workshop – 2 EC wdays, SfA	-	SQI02
WP.4.5.4	DLV.4.5.4.9	On-site Training/workshop - Evaluation and report (including video recording of the training session if requested)	Date of the training/workshop + 10 EC wdays, SfA	-	SQI01r SQI01a
WP.4.5.4	DLV.4.5.4.10	Webinar - Preparation material	Date of the training/workshop – 5 EC wdays, SfR Date of the training/workshop – 2 EC wdays, SfA	-	SQI01r SQI01a
WP.4.5.4	DLV.4.5.4.11	Webinar - Agenda	Date of the training/workshop – 15 EC wdays, SfR Date of the training/workshop – 2 EC wdays, SfA	-	SQI02
WP.4.5.4	DLV.4.5.4.12	Webinar - Briefing	Date of the training/workshop – 10 EC wdays, SfR Date of the training/workshop – 2 EC wdays, SfA	-	SQI02

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WP#	Service / Deliverable	Description of the Service / Deliverable	Planning	Delivery Mechanism	SQI
WP.4.5.4	DLV.4.5.4.13	Webinar- Evaluation and report (including video recording of the training session if requested)	Date of the training/workshop + 10 EC wdays, SfA	-	SQI01r SQI01a
WP.4.5.5	SE.4.5.5.1	Technical Meetings with the Commission or other third parties - Conference call	OR, 4 hours before the meeting	-	SQI13 SQI14
WP.4.5.5	SE.4.5.5.2	Technical Meetings with the Commission or other third parties - Physical Attendance	OR, 2 EC working.day before the meeting	-	SQI13 SQI14
WP.4.5.5	DLV.4.5.5.3	Technical Meetings with the Commission or other third parties - Minutes	Date of meeting + 5 EC wdays SfR Date of meeting + 10 EC wdays SfA	ID	SQI02
WP.5.1.1	SE.5.1.1.1	Security management of Contractor's services	Continuous	-	SQI25a SQI29c SQI13
WP.5.1.1	DLV.5.1.1.2	Monthly service report regarding Security of Contractor's Services (annexed to the MSR)	Monthly	With MPR	SQI06r SQI06a
WP.5.1.1	DLV.5.1.1.3	Initial security plan for contractor services, addressing Risk Assessment & Analysis, Security Policy, Security Controls, Security process (Bundled with DLV.1.1.3.2.x)	SC01, T0 + 5 months for acceptance	ID	SQI07
WP.5.1.1	DLV.5.1.1.4	Maintenance version of the security plan for contractor services, addressing Risk Assessment & Analysis, Security Policy, Security Controls, Security process	OR, 2 EC working.day after the request	ID	SQI01r SQI01a SQI10a SQI10b
WP.5.1.1	DLV.5.1.1.5	Evolutionary version of the Security plan for contractor services, addressing Risk Assessment & Analysis, Security Policy, Security Controls, Security process	RfA	ID	SQI01r SQI01a
WP.5.1.2	SE.5.1.2.1	Security management of TES	Continuous	-	SQI25a SQI29c SQI13
WP.5.1.2	DLV.5.1.2.2	Monthly service report regarding Security of TES (annexed to the MSR)	Monthly	With MPR	SQI06r SQI06a
WP.5.1.2	DLV.5.1.2.3	Evolutionary version of the Security Plan for the Trans-European Systems, including review cycle with the NAs	RfA	IA	SQI01r SQI01a

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WP#	Service / Deliverable	Description of the Service / Deliverable	Planning	Delivery Mechanism	SQI
WP.5.2.1	SE.5.2.1.1	Implementation, deployment and management of the ITSM3 TES contractor IT service continuity plan	Continuous	-	SQI29e SQI13
WP.5.2.1	SE.5.2.1.2	Testing of the IT service continuity plan for the ITSM3 TES contractor IT services: • Prepare; • Manage and co-ordinate.	RfA	ID	SQI29e SQI13
WP.5.2.1	DLV.5.2.1.3	Monthly service report regarding Continuity of Contractor's services (annexed to the MSR)	Monthly	With MPR	SQI06r SQI06a
WP.5.2.1	DLV.5.2.1.4	Initial Business Continuity Plan (BCP) for the services delivered by the ITSM3 TES contractor, including risk analysis and Disaster Recovery Plan (DRP) (Bundled with DLV.1.1.3.2.x)	SC01, T0 + 5 months for acceptance	ID	SQI07
WP.5.2.1	DLV.5.2.1.5	Maintenance of the Business Continuity Plan (BCP) for the service delivered by the ITSM3 TES contractor, including risk analysis and Disaster Recovery Plan (DRP)	OR, 2 EC working.day after the request	ID	SQI01r SQI01a
WP.5.2.1	DLV.5.2.1.6	Evolutionary maintenance of the Business Continuity Plan (BCP) for the services delivered by the ITSM3 TES contractor, including risk analysis and Disaster Recovery Plan (DRP)	RfA	ID	SQI01r SQI01a
WP.5.2.1	DLV.5.2.1.6.x	Testing of the IT service continuity plan for the ITSM3 TES contractor IT services: • Plan, test plan (x=1); • Test report (x=2).	RfA	ID	SQI01r SQI01a
WP.5.2.2	SE.5.2.2.1	Deployment & management of the IT service continuity plan for the Trans-European IT Systems	Continuous	-	SQI29e SQI13
WP.5.2.2	SE.5.2.2.2	Testing of the IT service continuity plan for the Trans-European IT Systems: • Prepare; • Manage and co-ordinate.	According to RfA	-	SQI29e SQI13
WP.5.2.2	DLV.5.2.2.3	Monthly service report regarding Continuity of TES (annexed to the MSR)	Monthly	With MPR	SQI06r SQI06a
WP.5.2.2	DLV.5.2.2.4	Evolutionary maintenance of the IT Service Continuity plan for the Trans-European Systems including review cycle with the NAs	RfA	ID	SQI01r SQI01a
WP.5.2.2	DLV.5.2.2.5.x	Testing of the IT service continuity plan for the Trans-European IT Systems: • Plan, test plan (x=1); • Test report (x=2).	RfA	ID	SQI01r SQI01a
WP.6.1	DLV.6.1.1	Monthly service report regarding the Specifications activities for the TESM tools (Annexed to the MPR)	Monthly	With MPR	SQI06r SQI06a

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WP#	Service / Deliverable	Description of the Service / Deliverable	Planning	Delivery Mechanism	SQI
WP.6.1	DLV.6.1.2.x	Specification deliverables, as per TEMPO: <ul style="list-style-type: none"> • Feasibility Studies; • Business processes model; • System Requirement Definition (functional, non-functional/usability) (SRD); • Functional Specifications (FS); • Technical Specifications (TS); • Acceptance Test Specification (ATS). Costs include the period of guarantee as specified in the contract	According to RfA	ID	SQI01r SQI01a
WP.6.2	DLV.6.2.1	Monthly service report regarding the Development, Build and deployment activities for the TESM tools (Annexed to the MPR)	Monthly	With MPR	SQI06r SQI06a
WP.6.2	DLV.6.2.2.x	Deliverables related to Design, Build & Deployment support, as per TEMPO: <ul style="list-style-type: none"> • Design documentation, including the System Requirement Overview; • Detailed design, including the interface specification with other applications, • Test plan, test cases, test data, test configuration specification, • Infrastructure requirement; • Documented source code and associated documentation and quality metrics; • Support documentation and training material addressing infrastructure requirements, installation procedures, user and service provision manual; • The FAT report and FAT'ed version, submitted for preSAT; • Training deployment, operation and technical support on the application to be deployed; • Problem fixes during preSAT, • Application & documentation submitted for SAT Costs include the period of guarantee as specified in the contract	According to RfA	ID	SQI01r SQI01a
WP.6.3	SE.6.3.1	Corrective maintenance of all artefacts delivered under WP.6.1 and WP.6.2, under the control of the incident/problem/change/release management processes.	Continuous	-	SQI33
WP.6.3	DLV.6.3.2	Monthly service report regarding the corrective maintenance activities for the TESM tools (Annexed to the MPR)	Monthly	With MPR	SQI06r SQI06a
WP.6.4	SE.6.4.1	Operation of TESM tools	Continuous	-	
WP.6.4	DLV.6.4.2	Monthly service report regarding the operation activities for the TESM tools (Annexed to the MPR)	Monthly	With MPR	SQI06r SQI06a
WP.7	SE.7.x.y	Other services in the scope of the contract	RfA	ID	TBD
WP.7	DLV.7.x.y	Other deliverables in the scope of the contract	RfA	ID	TBD

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WP#	Service / Deliverable	Description of the Service / Deliverable	Planning	Delivery Mechanism	SQI
WP.8.1	SE.8.1.1.x	Incident Management of a CI during NIGHT service Windows	OR, 1 EC working day before the start of the extended working time	-	SQI24 SQI25a SQI25b SQI25c SQI25d SQI25e SQI25f SQI13
WP.8.1	SE.8.1.2.x	Incident Management of a CI during WEEK-END service Windows	OR, 1 EC working day before the start of the extended working time	-	SQI24 SQI25a SQI25b SQI25c SQI25d SQI25e SQI25f SQI13
WP.8.1	SE.8.1.3.x	Incident Management of a CI during FULL service Windows	OR, 1 EC working day before the start of the extended working time	-	SQI24 SQI25a SQI25b SQI25c SQI25d SQI25e SQI25f SQI13
WP.8.1	DLV.8.1.4.x	End of action report	OR, 1 EC working day after the end of extended working time request	ID	SQI02
WP.8.2	SE.8.2.1.x	Sanity-check of ITSM3 Operations deployment during NIGHT Service Windows	OR, 1 EC working day before the start of the extended working time	-	SQI13

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WP#	Service / Deliverable	Description of the Service / Deliverable	Planning	Delivery Mechanism	SQI
WP.8.2	SE.8.2.2.x	Sanity-check of ITSM3 Operations deployment during WEEK-END Service Windows	OR, 1 EC working day before the start of the extended working time	-	SQI13
WP.8.2	SE.8.2.3.x	Sanity-check of ITSM3 Operations deployment during FULL Service Windows	OR, 1 EC working day before the start of the extended working time	-	SQI13
WP.8.3	DLV.8.2.3.x	End of action report	OR, 1 EC working day after the end of extended working time request	ID	SQI02

Table 7: List of Deliverables

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12 Annex 1 - List of applications / tools to be used by the ITSM3 TES contractor

The following table describes the list of applications / tools the **ITSM3 TES** contractor is supposed to use to deliver its services at the time of writing this call for tenders, as well as the type of remote connectivity. This list might evolve until the start of the Framework Contract and over its lifetime.

Application / Tools	Business Thread	Purpose	Usage by ITSM3 TES	Hosted by	Connection type to access the application
VIM VIES Monitoring	Indirect Taxation	Sends at regular interval messages to the MS applications to check if they are available.	Will be used by the ITSM3 TES contractor to monitor the MS applications and send alerts in case of unforeseen unavailability.	ITSM3 Operations contractor	HTTP(s) over Internet
VIA/VTA VIES Initial Application and VIES Test Application	Indirect Taxation	Used to perform VIES Conformance Testing.	Will be used by the ITSM3 TES contractor to perform CT Campaigns with the Member states.	ITSM3 Operations contractor	HTTP(s) over CCN
TSS Taxation Statistical System	Direct and Indirect Taxation	Takes several inputs such as the CCN statistics, Patrol files, VIES, MOSS and AEOI monitoring input to produce the statistics for the Member States.	Will be used by the ITSM3 TES contractor to generate the VIES, MOSS, AEOI and VAT Refund statistics	ITSM3 Operations contractor	HTTP(s) over CCN
SSTS Self Service Testing System	Indirect Taxation	Used by the MS to enter their test planning, upload the test data, and perform local testing and CT session. The system will be replaced in the future by the CTA application.	Will be used by the ITSM3 TES contractor to configure test campaigns, manage the MS planning, produce the CT reports.	ITSM3 Operations contractor	HTTP(s) over Internet

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Application / Tools	Business Thread	Purpose	Usage by ITSM3 TES	Hosted by	Connection type to access the application
Central SEED	Excise	Used to maintain a repository of common Excise data between MSA	Will be used by the ITSM3 TES contractor to consult the SEED repository and perform simple queries as well as business monitoring	DIGIT	HTTP(s) over CCN
EMCS Test application	Excise	Used by MSA during Conformance Test campaigns. It will be replaced in the future by the CTA application.	Will be used by the ITSM3 TES contractor to configure test campaigns, manage the MS planning, and produce the CT reports for the EMCS TES.	DIGIT	HTTP(s) over CCN
CS/MISE	Excise	Reports unavailability and produce business statistics on the Excise movements	Will be used by the ITSM3 TES contractor to monitor the EMCS movements and MSA announcements on unavailability.	ITSM3 Operations contractor	HTTPS over Internet
TTA Transit Test Application	Customs	Used for all Customs CT campaigns to validate the national TES. It will be replaced in the future by the CTA application.	Will be used by the ITSM3 TES contractor to configure test campaigns, manage the NA planning, produce the CT reports	ITSM3 Operations contractor	SSH over Internet (TTA remote console)
STTA Standard Transit Test Application	Customs	Front end to test NTA, NECA or NICA. Also used to test TTA centrally It will be replaced in the future by the CTA application.	Will be used by the ITSM3 TES contractor to validate TTA and support MSA during CT campaigns	ITSM3 Operations contractor	Remote Desktop (Windows Application) over Internet

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Application / Tools	Business Thread	Purpose	Usage by ITSM3 TES	Hosted by	Connection type to access the application
SPEED-ECN	Customs	NCTS TIR Application for exchange with SPEEDNET. Used for all eCustoms CT campaigns to validate the national TES	Will be used by the ITSM3 TES contractor to configure test campaigns, manage the NA and TC planning, produce the CT reports	ITSM3 Operations contractor	SSH over Internet (ECN remote console)
SPEED-Bridge	Customs	SPEEDNET gate exchanging MQ messages with SPEED partner/TC	Will be used by the ITSM3 TES contractor to configure test campaigns, manage the MS and TC planning, produce the CT reports	ITSM3 Operations contractor	SSH over Internet (ECN remote console)
SSTA	Customs	Standard SPEED Test Application. Front end to test NTA, NECA or Partners' compliant application. Also used to test SPEED-ECN centrally	Will be used by the ITSM3 TES contractor to validate Transit and Export conformity with SPEED partners and support MSA during CT campaigns	ITSM3 Operations contractor	Remote Desktop (Windows Application) over Internet
CS/MIS	Customs	Reports unavailability and store business statistics on MRN.	Will be used by the ITSM3 TES contractor to monitor the NCTS, ECS, ICS and SPEED movement statistics and MSA announcements on unavailabilities. Also used to produce the business monitoring reports	ITSM3 Operations contractor	HTTPS over Internet
CS/RD	Customs	Central System for Reference data	Will be used by the ITSM3 TES contractor to update some reference data such as Country List	ITSM3 Operations contractor	HTTPS over Internet

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Application / Tools	Business Thread	Purpose	Usage by ITSM3 TES	Hosted by	Connection type to access the application
Conformance Testing Application (CTA)	All Threads	Test application for all Business Threads used by MSA to perform local testing and Conformance Testing	Will be used by the ITSM3 TES contractor to configure test campaigns, manage the MS planning, and produce the CT reports. It will gradually replace other Test Applications after migrating all corresponding TES into CTA.	ITSM3 Operations contractor	HTTP(s) over CCN
ITSM Portal	All Threads	Generic portal providing a central access point to Web applications and services	Will be used by the ITSM3 TES contractor to follow up calls access Web applications behind portal, shared documentation and central repositories and others	ITSM3 Operations contractor	HTTPS over Internet
SMT (Synergia)	All Threads	Service Management tool supporting the ITIL implemented processes	Will be used by the ITSM3 TES contractor to interface ITSM3 Operations contractor Service Desk and access the CMDB	ITSM3 Operations contractor	HTTPS over Internet
Tivoli Enterprise Monitoring Portal	All Threads	Central monitoring tool supervising the CCN infrastructure	Will be used by the ITSM3 TES contractor to monitor the queues and access/produce business statistics at trans-european level	ITSM3 Operations contractor	HTTP(s) over CCN
CCN/TC Portal	All Threads	Generic web server for CCN community	Will be used by the ITSM3 TES contractor to interface ITSM3 Operations CCN information repository	ITSM3 Operations contractor	HTTP over CCN

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Application / Tools	Business Thread	Purpose	Usage by ITSM3 TES	Hosted by	Connection type to access the application
CIRCA BC	All Threads	Collaborative system for sharing of documents	Will be used by the ITSM3 TES contractor to interface ITSM3 Operations CCN information repository	DIGIT	HTTP(s) over Internet

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13 Annex 2 – ITSM3 TES Configuration Items

The following table describes the list of Configuration Items (TES and IT Services) falling in the scope of the **ITSM3 TES** contract. This list might evolve until the start of the Framework Contract and over its lifetime.

13.1 Trans-European Systems per Business Threads

13.1.1 CUSTOMS BUSINESS

No Trans-European Systems at the moment.

13.1.2 CUSTOMS CENTRAL OPERATIONS AND CUSTOMS TES

NCTS	New Computerised Transit System System for the electronic exchange of transit data between national administrations in parallel with the movement of goods.
ICS	Import Control System System to manage electronically some aspects of the import procedure.
ECS	Export Control System System to manage electronically some aspects of the export procedure.

13.1.3 DIRECT TAXATION

AEOI DAC1, DAC2 and DAC4	Automatic Exchange of Information for DAC1, DAC2 and DAC4 System for the exchanges related to the Article 8 of Directive 2011/16/EU
TOS	Taxation on Savings System to exchange information on interest payments by paying agents established in their territories to individuals resident in other Member States (phased out end of 2017, replaced by AEOI DAC2)

13.1.4 INDIRECT TAXATION

VIES	VAT Information Exchange System System to enable information to be exchanged on intra-Community supplies between the competent authorities of the Member States for the purpose of VAT control.
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VOES	VAT on e-Services System for charging, declaring, collecting and allocating VAT revenues in connection with e-Services supplies provided to a consumer established in a Member State by e-services traders who have neither established their business nor have a fixed establishment within the territory of the Community (will be phased-out in 2-3 years)
MOSS	Mini One Stop Shop System (electronic procedure) allowing taxable persons trading in more than one Member State to fulfil their VAT obligations in a single place of compliance, which would be the Member State where they are established (or in the Member State of identification in case of third country businesses). It includes the new VOES and the MOSS Fallback, the temporary solution until migration to MOSS.
VREFUND	VAT Refund System (electronic procedure) allowing traders to obtain the refund of VAT from a member State in which they are not established

13.1.5 EXCISE

EMCS	Excise Movement Computerisation System Integrated computerized movement and monitoring system for excisable products.
SEED	System of Exchange of Excise Data Obligatory electronic database located in each Member State and containing a register of persons who are authorized warehouse-keepers or registered traders for excise duty purposes and a register of facilities approved as tax warehouses.

13.1.6 RECOVERY OF CLAIMS

No Trans-European Systems at the moment.

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13.2 IS Services per Business Threads

13.2.1 CUSTOMS BUSINESS

SASP	Single Authorisation for a Simplified Procedure Allows economic operators to use the local clearance procedure or the simplified declaration procedure in the Member State where he is established in order to perform the customs formalities relating to his imports/exports wherever they occur in the Community. A transfer of the goods to the authorised location is possible; subsequently a periodic supplementary declaration must be lodged.
SMS	Specimen Management System System to collect and disseminate the specimens of stamps, seals and certificates used for goods presented at the Community border for importation or transit: the Member States may then perform probes of the shipments and documents

13.2.2 CUSTOMS CENTRAL OPERATIONS AND CUSTOMS TES

NCTS-TIR (ECN-TIR-RU)	Exchange of TIR movement data with 3rd party countries Business message layer between the Commission and the Third Party Countries (Russia now, Ukraine and Moldavia in 2017) with whom the EU has on-going international agreement. Built on top of the SPEED Platform (Single Portal for Entry or Exit of Data)
EOS	Economic Operators System (EOS) System to centrally register and identify economic operators, and manage their certificates on customs simplifications and/or security and safety standards. It includes EOS-AEO (Authorised Economic Operators), and EOS-EORI (Economic Operators' Registration and Identification System, establishing in the EU a registration and identification system of Economic operators for customs purposes).
COPIS	anti-Counterfeit and anti-Piracy system System to exchange Applications for Action to protect goods subject to intellectual property rights against counterfeiting and piracy.
CS/RD	Central Service Reference Data Application for managing Customs Office List (COL) and other reference information codes.
CS/MIS	Central Service Management Information Systems Application for generating/monitoring movement statistics and monitoring the availability of Central and National systems.
CRMS	Community (Customs) Risk Management system Application including the Risk Information Form (RIF) and the Community (Customs) Priority Control Areas

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	(CPCA) domains.
STTA	Standard Transit Test Application (to be replaced by CTA) Standalone application distributed to the Member States to support Conformance Testing mode 1 activities under NCTS, ECS and ICS TES systems. Includes CTP (Conformance Test Protocol), the Central database of testing scenarios for conformance testing on ECS, ICS and NCTS.
TTA	Transit Test Application (to be replaced by CTA) Application supporting Conformance Testing Mode 2 activities under NCTS, ECS and ICS TES systems.
SSTA	Standard SPEED Test Application (to be replaced by CTA) Test tool very similar to STTA for testing the SPEED platform

13.2.3 DIRECT TAXATION

AEOI DAC3	Automatic Exchange of Information for DAC3 (under development) System for the exchanges related to Directive EU 2015/2376 defining mandatory automatic exchange of information to tackle tax fraud and evasion and aggressive tax planning, in the field of financial accounts, tax rulings and advance pricing arrangements. Revision of DAC (Directive 77/799/EEC1) and DAC2 (Directive 2014/107/EU)
FATCA	Foreign Account Tax Compliance Act Business message layer built on top of the SPEED Platform (Single Portal for Entry or Exit of Data). Includes the Simulator FATCA
CTS	Computerised Transit System (under development) Exchange of CRS Data amongst OECD countries.
TOW	Tax-on-Web Tax Identification Number (TIN) on the web – a system to provide a web-enabled interface and Webservices allowing end-users to verify Taxes Identification Number (TIN) via the Internet for any Member States. Includes the modules ToW Portal and ToW Webservices.
TIC	Taxation Information and Communication Web application through which Member States provide the Commission with information (in most part textual) that has to be made available to the other Member States or to the general public via the Internet. Includes 6 different modules and the module TIC WS for VAT Rates
iCEU	EUROFISC - iCrypt EU Secure platform to exchange information under the recast of the Administrative Cooperation regulation
TSS	Taxation related Statistics System Common statistics application
TEDB	Taxes in Europe Database Application to gather and disseminate information about the main taxes in force throughout the Member States.

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	Includes TEDB and TEDB v3.
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13.2.4 INDIRECT TAXATION

VIM	VIÉS Monitoring Monitoring tool of the TES VIÉS.
VTA/VIA	VIÉS Test Application/VIÉS Initial Application Includes the modules VIA-RCT and VIA-RIT, and 2 installations of VTA.
VoW	VIÉS-on-Web Includes the modules VoW Portal, VoW Web-Services, VAT Number Algorithm and VCT (VIÉS-on-Web configuration tool).

This Business Thread also manages the following IT Services, which are shared with other Taxation and Excise Business threads:

eForms	Exchange of electronic forms Central application for exchanging forms for VAT, Direct and Recovery (1 single application with 3 installations). Should be phased out and replaced by eFCA in 2017. Includes the following modules: Direct eForms, eForms Editor, eForms Viewer, Recovery eForms and VAT eForms
eFCA	eForms Central Application (under development) Common application to support the exchange of information between Member States in taxation different domains in the context of the administrative cooperation
SSTS	Self Service Testing System (to be replaced by CTA) Includes the modules SSTP, AEOI GTT Core, AEOI Plugin, AEOI Validation Module, AEOI VM, MISS GTT Core, MISS Plugin, VOES GTT Core, VOES Plugin, VREF GTT Core, and VREF Plugin.
CTA	Conformance Test Application (under development) Single test application to be used in both Customs and Taxation area to test conformity of the IT systems implemented by the Member States prior to their inclusion in the trans-European system

13.2.5 EXCISE

CS/MISE	Central Services / Management Information System for Excise
EMCS Converter	EMCS Converter
EMCS TA	EMCS Test Application (including IE734 and CTP)
Central SEED	System of Exchange of Excise Data (Central Application of the TES)

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13.2.6 RECOVERY OF CLAIMS

No IT Services at the moment.

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