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| OWNER: DG TAXUD | ISSUE DATE: 22/03/2010 | VERSION: 1.04 |
| TAXATION AND CUSTOMS UNION DG ITSM | | |
| SUBJECT: Framework Quality Plan | | |
| FRAMEWORK CONTRACT # TAXUD/2007/CC/088 | | |

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| ITSM | REF.: ITS-IFQP-SC04 |
| Framework Quality Plan | VER.: 1.04 |
| DOCUMENT HISTORY | ISSUE DATE: 22/03/2010 |

DOCUMENT HISTORY

| Edi. | Rev. | Date | Description | Action (*) | Pages |
|------|------|------------|---|------------|---------------|
| 0 | 01 | 06/07/2007 | First Draft | I | All |
| 0 | 02 | 05/10/2007 | Further implementation | I/R | As req. |
| 0 | 03 | 08/10/2007 | Further implementation | I/R | As req. |
| 0 | 04 | 15/10/2007 | Draft delivered for information to DG TAXUD | I/R | As req. |
| 0 | 05 | 31/10/2007 | Draft delivered for information to DG TAXUD | I/R | As req. |
| 0 | 06 | 30/11/2007 | Further implementation + Implementation of comments received from DG TAXUD. Delivered for information to DG TAXUD | I/R | As req. |
| 0 | 07 | 10/12/2007 | Further updates | I/R | As req. |
| 0 | 08 | 01/04/2008 | Further updates | I/R | As req. |
| 0 | 09 | 07/07/2008 | Consolidation after intermediate deliveries of processes outside of the scope of the FQP document | I/R | As req. |
| 0 | 10 | 15/07/2008 | Delivered for review to DG TAXUD after internal QC | I/R | As req. |
| 1 | 00 | 07/11/2008 | Delivered for acceptance to DG TAXUD after implementation of review comments | I/R | As req. |
| 1 | 01 | 28/11/2008 | Re-delivered for acceptance to DG TAXUD after implementation of remaining comments | I/R | As req. |
| 1 | 02 | 01/02/2010 | Maintenance of ITSM FQP delivered for review after internal QC | I/R | As per RfA#76 |
| 1 | 03 | 05/02/2010 | Re-delivered for review after inclusion of complete update of the Annex 22 Application Management | I/R | As req. |
| 1 | 04 | 22/03/2010 | Delivered for acceptance to DG TAXUD after implementation of review comments | I/R | As req. |

(*) Action: I = Insert R = Replace

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1. Introduction

This document is the evolutive version of the Framework Quality Plan, deliverable DLV 0.1.2 requested in Specific Contract 04 [A2] under Framework Contract (IT Service Management for DG TAXUD) [A1], Work Package WP.0.1.

The FQP defines the details of the working relationships between the ITSM contractor (called XXX or ITSM in this document) and all other stakeholders and describes the quality expectations for the scope and duration of the Framework Contract.

As part of this evolutive maintenance of the FQP, XXX has documented what had been agreed in the context of the RfA#76 [A6] with DG TAXUD A4/CPT. As a consequence, the following changes have been brought to the FQP and its annexes:

- The presentation of the FQP has been modified in order to group each ITSM process (Level 1, 2 and 3) under one single annex. For memory, in the FQP v1.01, the Level 1 and 2 were presented for all ITSM processes under Section 6, while Level 3 was presented under Section 7.
- The following ITSM processes have been modified in regards of the previous FQP version:
 - Annex 13: ITSM Problem Management[R13];
 - Annex 14: ITSM Configuration Management[R14];
 - Annex 15: ITSM Change Management[R15];
 - Annex 16: ITSM Release Management[R16];
 - Annex 18: ITSM Capacity Management[R18];
 - Annex 20: ITSM Availability Management[R20];
 - Annex 21: ITSM Security Management[R21];
 - Annex 22: ITSM Application Management[R22];
 - Annex 24: ITSM ICT Infrastructure[R24];
 - Annex 26: ITSM Demand Management[R26];
 - Annex 27: ITSM CSIP [R27].
- In addition, the “Black box” related to DG TAXUD have been clarified (as much as possible) throughout the FQP document (including its processes delivered in annex¹) by splitting DG TAXUD into the following departments:
 - DG TAXUD A4/CPT;
 - DG TAXUD A4/ISD;
 - DG TAXUD A4/APM;
 - DG TAXUD A3/Tax;

¹ Please note however that for what concerns the Level 2, DG TAXUD had to be clarified only for ChM, RM, CoM, Testing and AM.

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- DG TAXUD A3/Exc;
- DG TAXUD A3/Cust;
- DG TAXUD A3/LISO.

Please note that there are however some cases where the split is not possible, as DG TAXUD is addressed as a global entity.

- The following sections of the FQP have also been updated to reflect the current reality:
 - Section 1 Introduction;
 - Section 2 Reference and Applicable Documents;
 - Section 4 Presentation of the Framework;
 - Section 5 Control of the Framework Quality Plan;
 - Section 6.2.1 ITSM processes;
 - Section 7 Activities and Procedures;
 - Section 8 Quality Management;
 - Section 9 Coordination and Management;
 - Section 10 Security Management has been deleted and included in 7.4.7 WP.8.5 - Security Management, following the FQP maintenance review.
- The following annexes already present in the FQP v1.01 have also been updated to provide the latest version available at the moment of the delivery of this FQP:
 - Annex 1: Planning [R1];
 - Annex 2: Structure of DTM [R2];
 - Annex 3: Structure of MPR [R3];
 - Annex 4: Structure of MSR [R4];
 - Annex 5: List of internal procedures [R5];
 - Annex 6: Contractual OLA [R6]²;
 - Annex 7: Hosted Infrastructure OLA [R7]³;
 - Annex 8: Table of deliverables [R8];
 - Annex 9: ITSM Glossary [R9];
 - Annex 10: Contact List [R10];
 - Annex 29: ITSM Organisation Chart [R29].

² In agreement with DG TAXUD A4/CPT, the cOLA delivered with this FQP is the one accepted as part of the SC06 CQP package.

³ In agreement with DG TAXUD A4/CPT, the H-I OLA delivered with this FQP is the one accepted as part of the SC06 CQP package.

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- Finally, all internal working procedures – see Annex 5 List of internal procedures [R5] - have been uploaded on CIRCA, as part of the FQP package delivery:
https://circa.europa.eu/Members/irc/taxud/itsm/library?l=/internal_procedures&vm=detailed&sb=Title .

It has been agreed with DG TAXUD A4/CPT that the review and related update of these internal working procedures will not be bundled with the acceptance of the FQP itself (main document + annexes).

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1.1 Purpose of the Framework Quality Plan

As specifically requested by DG TAXUD, the purpose of this Framework Quality Plan is to describe the procedures, methods and tools that the ITSM contractor uses at the moment of delivering the FQP. It has been specifically requested (for the ITSM processes that are part of the FQP maintenance offer) to document an FQP that reflects the current ITSM reality.

Therefore, it describes how the ITSM contractor performs its work at FQP delivery time and defines standards and controls necessary to assure the quality of the project work as described in the Framework Contract [A1].

This document describes the activities and applicable procedures that are global for the whole ITSM Programme and how they comply with the Technical Annex of the Framework Contract, ISO 20.000:2005, ISO 27002:2005, ISO 27.001:2005, ITIL and TEMPO.

The FQP contains rules and obligations about the quality Framework that the ITSM contractor has to respect when performing activities in the context of the provision of services to DG TAXUD.

Activities that are particular to a Specific Contract are defined in the corresponding Contract Quality Plan when different from what is mentioned in this FQP.

1.2 Structure of this document

The FQP first starts with some preliminary document information:

- Document History;
- Table of content;
- Lists of tables and figures;
- Introduction (this chapter);
- Applicable and Reference documents (chapter 2);
- Terminology (chapter 3).

Furthermore, the FQP gives an overview of the Framework Contract (chapter 4 Presentation of the Framework). It describes the Framework objectives, the Work Packages, the planning, the deliverables and how the ITSM contractor organises its team.

Chapter 5 deals with document control that describes the order of precedence, the approval and maintenance of this document.

Chapter 6 deals with the presentation of the agreed formalism for presenting the ITSM processes. The processes themselves have been annexed to the FQP as separate documents (one per process; each including Level 1, 2 and 3 descriptions).

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Chapter 7 deals with activities description and procedures. It describes, for each Work Package, the methods, tools and procedures that the ITSM contractor is actually using to perform the work.

Chapter 8 deals with Quality Management. It describes the Framework quality goals and the QA/QC activities performed by the ITSM contractor.

Chapter 9 deals with Coordination and Management. It describes how the ITSM contractor will measure progress, how they will handle contractual modifications, reporting and common practices.

Chapter 10 deals with Security and Safety.

Chapter 11 deals with Risk Management.

Annexes:

- Annex 1: Planning [R1];
- Annex 2: DTM [R2];
- Annex 3: Structure of MPR [R3];
- Annex 4: Structure of MSR [R4];
- Annex 5: List of internal procedures [R5];
- Annex 6: Contractual OLA [R6];
- Annex 7: Hosted Infrastructure OLA [R7];
- Annex 8: Table of deliverables [R8];
- Annex 9: ITSM Glossary [R9];
- Annex 10: Contact List [R10];
- Annex 11: ITSM Service Desk[R11];
- Annex 12: ITSM Incident Management[R12];
- Annex 13: ITSM Problem Management[R13];
- Annex 14: ITSM Configuration Management[R14];
- Annex 15: ITSM Change Management[R15];
- Annex 16: ITSM Release Management[R16];
- Annex 17: ITSM Service Level Management[R17];
- Annex 18: ITSM Capacity Management[R18];
- Annex 19: ITSM IT Service Continuity Management[R19];
- Annex 20: ITSM Availability Management[R20];
- Annex 21: ITSM Security Management[R21];
- Annex 22: ITSM Application Management[R22];

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- Annex 23: ITSM Conformance Testing[R23];
- Annex 24: ITSM ICT Infrastructure[R24];
- Annex 25: ITSM Business Perspective[R25];
- Annex 26: ITSM Demand Management[R26];
- Annex 27: ITSM CSIP[R27];
- Annex 28: ITSM Application Development [R28];
- Annex 29: ITSM Organisation Chart⁴ [R29].

⁴ This annex includes the ITSM organisation charts and interaction models with DG TAXUD.

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1.3 Field of Application

This Framework Quality Plan applies to activities performed in the context of the ITSM Programme as described in the Framework Contract TAXUD/2007/CC/C088 [A1].

For a list of the relevant Work Packages, please refer to Section 4.3 Work Packages.

1.4 Deviations

1.4.1 Deviations from TEMPO

The following sections have been added to the TEMPO template for FQP:

- In Chapter 4 Presentation of the Framework, the sections:
 - 4.2 Strategy Realisation;
 - 4.3 Work Packages;
 - 4.6 Organisation and responsibilities.
- Chapter 6 ITSM Process model has been added to the FQP template for describing the formalism used for process modelling.

1.4.2 Deviations from standard FQP practice

The following deviations can be highlighted:

- As already expressed in section 1.1 Purpose of the Framework Quality Plan, DG TAXUD A4/CPT has requested an FQP that reflects the current ITSM reality. Therefore, this FQP describes processes and procedures as defined and applied at the moment this FQP is delivered for review (for processes that were part of the FQP maintenance offer). The evolution of ITSM practice will be reflected via further maintenance of the FQP.

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| 2 - Reference and Applicable Documents | ISSUE DATE: 22/03/2010 |

2. Reference and Applicable Documents

This chapter presents two lists of relevant programme related documents. They are divided into reference and applicable documents.

2.1 Reference Documents

| Id | Reference | Title | Date | Version |
|-----------|-----------------------|---------------------------------------|-------------|----------------|
| R1 | ITS-IFQP-SC04-Annex1 | ITSM Planning | 22/03/2010 | 1.00 |
| R2 | ITS-IFQP-SC04-Annex2 | Structure of DTM | 22/03/2010 | 1.00 |
| R3 | ITS-IFQP-SC04-Annex3 | Structure of MPR | 22/03/2010 | 1.00 |
| R4 | ITS-IFQP-SC04-Annex4 | Structure of MSR | 22/03/2010 | 1.00 |
| R5 | ITS-IFQP-SC04-Annex5 | List of internal procedures | 22/03/2010 | 1.00 |
| R6 | ITS-IFQP-SC04-Annex6 | Contractual OLA | 22/03/2010 | 1.00 |
| R7 | ITS-IFQP-SC04-Annex7 | Hosted Infrastructure OLA | 22/03/2010 | 1.00 |
| R8 | ITS-IFQP-SC04-Annex8 | Table of DLVs | 22/03/2010 | 1.00 |
| R9 | ITS-IFQP-SC04-Annex9 | ITSM Glossary | 22/03/2010 | 1.13 |
| R10 | ITS-IFQP-SC04-Annex10 | Contact List | 22/03/2010 | 1.00 |
| R11 | ITS-IFQP-SC04-Annex11 | ITSM Service Desk | 22/03/2010 | 1.04 |
| R12 | ITS-IFQP-SC04-Annex12 | ITSM Incident Management | 22/03/2010 | 1.04 |
| R13 | ITS-IFQP-SC04-Annex13 | ITSM Problem Management | 22/03/2010 | 1.04 |
| R14 | ITS-IFQP-SC04-Annex14 | ITSM Configuration Management | 22/03/2010 | 1.04 |
| R15 | ITS-IFQP-SC04-Annex15 | ITSM Change Management | 22/03/2010 | 1.04 |
| R16 | ITS-IFQP-SC04-Annex16 | ITSM Release Management | 22/03/2010 | 1.04 |
| R17 | ITS-IFQP-SC04-Annex17 | ITSM Service Level Management | 22/03/2010 | 1.04 |
| R18 | ITS-IFQP-SC04-Annex18 | ITSM Capacity Management | 22/03/2010 | 1.04 |
| R19 | ITS-IFQP-SC04-Annex19 | ITSM IT Service Continuity Management | 22/03/2010 | 1.04 |
| R20 | ITS-IFQP-SC04-Annex20 | ITSM Availability Management | 22/03/2010 | 1.04 |
| R21 | ITS-IFQP-SC04-Annex21 | ITSM Security Management | 22/03/2010 | 1.04 |
| R22 | ITS-IFQP-SC04-Annex22 | ITSM Application Management | 22/03/2010 | 1.04 |
| R23 | ITS-IFQP-SC04-Annex23 | ITSM Conformance Testing | 22/03/2010 | 1.04 |
| R24 | ITS-IFQP-SC04-Annex24 | ITSM ICT Infrastructure | 22/03/2010 | 1.04 |
| R25 | ITS-IFQP-SC04-Annex25 | ITSM Business Perspective | 22/03/2010 | 1.04 |

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| R26 | ITS-IFQP-SC04-Annex26 | ITSM Demand Management | 22/03/2010 | 1.00 |
| R27 | ITS-IFQP-SC04-Annex27 | ITSM CSIP | 22/03/2010 | 1.09 |
| R28 | ITS-IFQP-SC04-Annex28 | ITSM Application Development | 22/03/2010 | 1.04 |
| R29 | ITS-IFQP-SC04-Annex29 | ITSM Organisation Chart | 22/03/2010 | 1.00 |
| R30 | ITSM Internal procedures on CIRCA | https://circa.europa.eu/Members/irc/taxud/itsm/library?l=/internal_procedures&vm=detailed&sb=Title | N/A | N/A |

Table 2-1: Reference documents

2.2 Applicable Documents

An applicable document is a document which content is binding for a contractor no matter what is mentioned in this FQP.

| Id | Reference | Title | Date | Version |
|-----------|-----------------------------------|--|-------------|----------------|
| A1 | TAXUD/2007/CC/088 | Framework Contract | 04/05/2007 | N/A |
| A2 | TAXUD/2008/DE/114 | Specific Contract 04 | 30/06/2008 | N/A |
| A3 | QAC-SC01-FQP_TEM | Framework Quality Plan Template | N/A | 1.01 |
| A4 | TMP-POL-ISP | TEMPO – Information Security Policy | 11/2006 | 1.00 |
| A5 | ITS-IPLN-SEC | Security Plan for DG TAXUD IT Services | 08/2008 | 1.04 |
| A6 | SC04-RFA76 - Ares(2009)263899 FQP | FQP Maintenance | 05/10/2009 | N/A |

Table 2-2: Applicable documents

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|------------------------|------------------------|
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3. Terminology

3.1 Abbreviations and Acronyms

A list of the abbreviations and acronyms used in the context of the ITSM Programme, and more specifically for this document is provided in Annex 9 ITSM Glossary [R9].

3.2 Definitions

| | Definition |
|---|---|
| Development team (x-Dev or 3 rd Parties development) | The contractor designated by DG TAXUD in charge of development. They usually: <ul style="list-style-type: none"> • Design and develop DG TAXUD's applications; • Create, test and document all necessary test cases, scripts, data, expected results, ...; • Provide necessary support during the CT if requested by the ITSM CT Tester and/or ITSM Campaign Coordinator and approved by DG TAXUD's responsible authority (DG TAXUD A3/Sectors). |
| DG TAXUD A4/CPT (Central Project Team) | Term used to designate the team within DG TAXUD A4 in charge of the ITSM Programme. Among others, they: <ul style="list-style-type: none"> • Verify the contractual correctness of the Service Requests; • Provide the interface between ITSM and DG TAXUD customers (DG TAXUD A3/Business Threads (Tax, Exc and Cust)); • Agree upon requirements specifications of the requested On-demand services; • Agree upon the On-demand process and procedures. |
| DG TAXUD | It encompasses DG TAXUD A3 (PS, Tax, Exc, Cust, LISO) and A4 (CPT, ISD, APM) and includes all DG TAXUD external contractors. When DG TAXUD is used in this document, it is to describe DG TAXUD as a global entity. |
| DIGIT | It is the Directorate General responsible for IT. |
| DIGIT Delegate | The DIGIT Delegate is the contact point for the ITSM Infrastructure Team for any matters related to operations, incidents, monitoring regarding DIGIT Infrastructure. |
| Escalation Authority | It encompasses DG TAXUD A4/CPT, a business owner or an ITSM Manager. |
| External Audit/Certification Bodies | Any organisation engaged in the assessment/certification activity. |

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| HP OpenView Service Centre | It is the new name of the “Peregrine” software (which is currently used at DIGIT), after the “Peregrine” company has been acquired by HP. |
| Issuer | Any authorised Service Desk User. |
| ITSM MPR/MSR | Activity, under SLM/PMO’s responsibility, that consist in: <ul style="list-style-type: none"> • collecting all ITSM processes related data and reports; • Analysing data/reports on a monthly basis; • Raising an incident if abnormal patterns are recognised in the reporting data; • Consolidating and distributing MPR/MSR. |
| Change Advisory Board / CAB Emergency Committee | <p>The Change Advisory Board (CAB) is a group of people who can give expert advice to the ITSM Change Authority on the implementation of changes. The Change Manager delivers all necessary information to the CAB that he/she chairs, so that expert advice can be given to the Change Authority (DG TAXUD, usually the DG TAXUD A4/APM responsible person for the application). The Change authority then takes the decisions on the changes. The Change Authority can delegate the decision on some categories of changes to the CAB or even the ITSM Change Manager. The composition of the CAB is defined on a case by case basis by the DG TAXUD A4/CPT.</p> <p>The main duties of a CAB member are:</p> <ul style="list-style-type: none"> • Review all submitted RfCs. As appropriate, determine and provide details of their likely impact, the implementation resources, and the ongoing costs of all changes; • Attend all relevant CAB or CAB/EC meetings. Consider all changes on the agenda and give an opinion on which changes should be authorised. Participate in the scheduling of all changes; • Be available for consultation when an urgent Change is required; • Provide advice on aspects of proposed urgent changes; • Issue recommendations to the working party with the MSA on accepting/rejecting changes having an impact outside the Common Domain; • Authorise changes in cases where the changed functionality has no impact outside the Common Domain and where the Change Authority delegated that authorisation powers to the CAB. |

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| Change Authority | The Change Authority decides on the changes to be implemented and authorises the release. The Change Authority takes its decision on the advice of the CAB. The Change Authority is DG TAXUD, usually the DG TAXUD A4/APM responsible person for the application. The Change Authority can delegate the decision on some categories of changes to the CAB or even the ITSM Change Manager. |
| Change Builder | The Change Builder is the person who develops or builds the solution for the change. The Change Builder for DG TAXUD applications is xDEV (EMCS/DEV, CUST/DEV or FITS/DEV). The Change Builder for ITSM Tools is the ITSM development team. |
| Capacity management DataBase (CDB) | A database (or set of databases) containing all data needed to support Capacity Management. The Capacity Management Database is usually separate from the Configuration Management Database (CMDB) because it contains large amounts of rapidly changing data. |
| Configuration Item (CI) Owner | The CI owner is a person of DG TAXUD who manages all matters related to the CI. For all central TES applications it is a person of the DG TAXUD A4/APM (Application Portfolio Management) unit. The ITSM CI owner for DG TAXUD applications is the corresponding AM Application Family Manager. For all ITSM applications it is a person from ITSM Infrastructure. |
| Business Continuity Management (BCM) | The Business Process is responsible for managing risks that could seriously influence the business. BCM safeguards the interests of key stakeholders, reputation, brand and value creating activities. The BCM Process involves reducing Risks to an acceptable level and planning for the recovery of business processes should a disruption to the business occur. BCM sets the objectives, scope, and requirements for IT Service Continuity Management. |
| Business Impact Analysis | BIA is the activity in Business Continuity Management that identifies vital business functions and their dependencies. BIA defines the Recovery requirements for IT Services including Recovery Time Objectives, Recovery Point Objectives and minimum Service Level Targets for each IT Service. |
| CCTA Risk Analysis and Management Method (CRAMM) | This model supports effective contingency planning by taking a phased approach. Assets, Threats and Vulnerabilities are identified, and then countermeasures in the form of prevention and/or recovery are developed for each risk. |

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| Component Failure Impact Analysis (CFIA) | This method uses an availability matrix with the strategic components and their roles in each service with relationships between services and production resources being clearly identified. |
| Crisis Management | Crisis Management is the process responsible for managing the wider implications of Business Continuity. A Crisis Management team is responsible for strategic issues such as managing media relations and shareholder confidence and decides when to invoke Business Continuity Plans. |
| Disaster | An event that affects a service or system such that significant effort is required to restore the original performance level. |
| Gradual Recovery | Previously called 'cold stand-by,' this is applicable to organisations that do not need immediate restoration of business processes and can function for a period of time (possibly up to 72 hours or longer) without re-establishment of full IT facilities. This typically includes a stand-by facility where an organisation can quickly install its own computer equipment in a disaster situation. |
| Immediate Recovery | Hot start or hot stand-by. This option provides an immediate or very rapid recovery of services (e.g. less than 24 hours). |
| Impact | Impact describes the measure of the business criticality of an incident. Impact is often based on the extent to which an incident leads to distortion of agreed or expected Service Levels. |
| Intermediate Recovery | Previously called 'warm stand-by,' this typically involves the re-establishment of critical systems and services within a 24 to 72 hour period. This approach is used by organisations that need to recover IT facilities within a predetermined time to prevent impacts to the business process. |
| ITIL Framework | The overall description of all processes related to the IT Infrastructure Library (ITIL), produced by Office of Government Commerce (OGC) in the United Kingdom. |
| ITSM Process Owner/Service Manager | The generic name given to designate one or more process owners. |
| Reciprocal Arrangements | This option can be used as an IT Service Continuity Management option when two organisations have similar hardware and agree to provide each other with facilities in the event of a disaster. |

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| Recovery | Returning a Configuration Item or an IT Service to a working state. Recovery of an IT Service often includes recovering data to a known consistent state. After Recovery, further steps may be needed before the IT Service can be made available to the Users. |
| Recovery Option | A strategy for responding to an interruption to Service. Commonly used strategies are Do Nothing, Manual Workaround, Reciprocal Arrangement, Gradual Recovery, Intermediate Recovery, Fast Recovery and Immediate Recovery. Recovery Options may make use of dedicated facilities or 3 rd party facilities shared by multiple businesses. |
| Restoration of Service | The time required from detection of an incident until the service is fully restored to the user. |
| Risk | A measure of the exposure to which an organisation may be subjected. This is a combination of the likelihood of a business disruption occurring and the possible loss that may result from the business disruption. |
| Transformation Projects | Convergence of legacy services into a single IT Service Management thread with supporting tools, increase in the maturity level of all processes, achieve process compliance to ISO 20.000:2005 part 1 and 2, ISO 17.799:2005 & ISO 27.001:2005 as applicable, improve the quality of services, expansion of the terms of collaboration to NAs, consolidation of the 2 customs related legacy business threads and expansion of the volume of business operation and of the business scope as foreseen in the Terms of Reference. |
| National Administrations Working Groups Meetings and their related sub-groups | Those meetings are attended by 10 to 100 delegates of the NAs. DG TAXUD A3/Sectors chair most of the meetings. The meetings span over 1 to 2 days and take place in most cases in DG TAXUD premises in Brussels and occasionally in the NAs. |
| Technical Meetings with DG TAXUD and/or other 3 rd parties involved in ITSM | The meetings are called by DG TAXUD A3 or A4, unless otherwise agreed. The meetings are attended by delegates from ITSM Business Perspective, the suppliers from DG TAXUD (A3 or A4) in the scope of ITSM 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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| Service Monthly Meetings (SMM) | DG TAXUD A3/Sectors calls for Service Monthly Meetings on a monthly basis for each Business Thread (10 meetings/year/Business Thread) to ensure periodic synchronisation amongst all the involved contractors and DG TAXUD A3/Sectors. DG TAXUD A3 may in addition call similar meetings involving all Business Threads to address ITSM issues common to all Business Threads. The meetings are held in the DG TAXUD's premises in Brussels. The meetings last ½ day. |
| Coordination of Missions | DG TAXUD A3/Sectors will invite XXX to participate in official coordination missions to the NAs and to any 3 rd party as required. XXX will provide expertise in the area of planning & service coordination, Terms of Collaboration. XXX will present the status of the collaboration with the visited organisation, address the technical questions raised, collect information and feedback, and ensure the follow-up of any actions which fall under the remit of XXX. |
| Training, workshop | The training and workshops will be attended by 10 to 40 delegates from the NAs, suppliers from DG TAXUD A3 or A4 or from any 3 rd party designated by DG TAXUD. A training/workshop session could have a duration of 1 to 3 days. The training/workshops will take place at a location specified by DG TAXUD A3 or A4, which can also be in the XXX's premises. |
| Demonstration | The demonstration will be attended by any party invited by DG TAXUD A3 or A4. The attendance may range from 1 to 100 participants. A demonstration lasts for ½ to 1 day. Based upon previous month's MoMs and Reports, the ITSM Business Thread Manager(s) hold(s) a review meeting to build up the understanding of the various challenges and/or issues that have been raised. The ITSM Business Thread Managers(s), in conjunction with ITSM Business Perspective Manager and CSIP Manager, evaluate(s) and propose(s) potential areas/actions for improvements. These improvements will be logged into the CSIP Activity Log (CAL). |
| SPOF (Single Point Of Failure) | Any component within the IT infrastructure that has no recovery strategy and may impact the business and user when it fails. |
| Wiki | A website that allows the easy creation and editing of a number of interlinked web pages via a web browser. |

Table 3-1: List of definitions

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4. Presentation of the Framework

This section provides a description of the Framework objectives, activities, work units and a global planning.

4.1 Framework Objectives

The main objectives of the Framework Contract as described in the Terms of Reference of the Framework Contract [A1] and modified throughout the ITSM history are the following:

- Take-Over from the current IT services contractors in charge of the eCustoms, Customs, Taxation and Excise trans-European systems. It is of crucial importance that the Take-Over process does not impinge on the quality, availability and continuity of the IT services delivered to the DG TAXUD A3 and A4 customers and users;
- Provide the IT services management for all existing and future trans-European Systems of DG TAXUD;
- Hand-Over to the next contractor(s).

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4.2 Strategy Realisation

4.2.1 Organisation, Functions and Processes

First, it is obvious that people are crucial to the success of a project delivery, as well as communication within the project, within XXX and with DG TAXUD A3 and A4.

The various functions people work in must be efficient, cross collaborative and have clear and distinct objectives. To make this happen, efficient processes and tools must be in place and continuously communicated; for details surrounding the processes please see Section 6 ITSM Process model and the related annexes (Annex 11 to 28).

XXX organisational model is designed to avoid complexity, leverage economies of scale and provide efficiency. It is also tailored and aligned towards the various functions that need to exist in order to manage and drive all processes and deliverables in respective Work Packages. The paragraphs below describe the groups composing the XXX organisational model.

4.2.1.1 Programme Management Office

This team supports the Programme Direction by handling Demand Management, defining and following-up on service requests and internal task assignment via JIRA, producing/consolidating the Monthly Progress Report and its annexes. It is also responsible for procurement activities and following up of RfE/RfA administration.

4.2.1.2 Quality Management

This function provides internal Quality Assurance (QA) and Quality Control (QC) to the ITSM Programme. The internal QA and QC have the overall objective to monitor adherence of processes and deliverables and report deviations to the ITSM Senior Management (XXX Board of CEO) and to follow-up on consequent actions together with the CSIP. The QC performs internal reviews of all deliverables before they are sent to DG TAXUD A3 and A4, or its representatives (QA Contractor), for review and finally acceptance. The QA is primarily concerned with ensuring that all agreed processes, procedures and activities are carried out accordingly.

To ensure its objectivity, the QA/QC team, although it is a part of the Project Committee, reports directly to the XXX Board of CEO.

4.2.1.3 Business Perspective

This team, including the four Business Thread Managers (ITSM, Taxation, Excise and Customs), is the primary interface with the various Business Threads within DG TAXUD A3 and A4. All Service Requests that requires planning (e.g. carry out a Mission, attend a Working Group Meeting, perform/support Conformance Testing,

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Business Monitoring ...) will be routed, via the ITSM Service Desk, to the respective Business Thread Manager. It is also the responsibility of the respective Business Thread Manager to gain, and constantly build up, as much knowledge as possible within their remit.

It is also within the responsibility of the ITSM Business Perspective to oversee and maintain the tactical and strategic planning. In close collaboration with the ITSM Service Level Management, the ITSM Business Perspective also manages the Terms of Collaboration and Recommendations to National Administrations documents, as well as any related satisfaction survey.

4.2.1.4 Planning to implement SM-CSIP

This function is the main driver for managing all process and procedure related improvements within the ITSM Programme. Improvement actions will come from a variety of sources: process owners, reviews, meetings, service reviews, Internal Quality Audits, external audits ... and will be managed together with DG TAXUD A4/CPT.

4.2.1.5 Security Management

This team is a broad field of management activities related to asset management, physical security and human resource safety functions. It entails the identification of the ITSM project's information assets and the development, documentation and implementation of policies, standards, procedures and guidelines, and the evaluation of security incidents. It also performs security Risk Management and enforces security controls, monitors and reports on security-related activities. It is also their task to produce recommendations and report them to DG TAXUD A3/LISO.

4.2.1.6 Service Level Management

This function identifies the services and their required quality level targets through production and maintenance of the Service Catalogue and Service and Operational Level Agreements. It reports on the compliance with these agreements based on the monitoring of the achieved quality levels in service delivery.

4.2.1.7 Service Support

This team refers to the IT Service Management processes responsible for Service Desk, Incident, Problem, Configuration, and Change and Release management. They are also responsible for support functions within the XXX application management team including technical review coordination and application deployment.

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4.2.1.8 Service Delivery

This team refers to the IT Service Management processes responsible for ensuring that occurrences of service performance, unavailability, or reliability are properly and effectively identified, fully recorded, assigned to the right experts, and resolved as soon as possible. At the same time, it analyses and advises on how much ICT capacity is needed to match existing and future service needs and at which cost. It is also responsible for taking all measures and defining recommendations to increase IT Service continuity and availability.

4.2.1.9 Application Management

This team creates visibility on the portfolio of applications and Trans-European Systems. It follows-up, reports and provides coordination over all steps in the Application Management Lifecycle and performs quality control on artefacts produced at each stage. It manages applications and Trans-European systems through deployment, testing, operations and technical support activities.

4.2.1.10 ICT Infrastructure Management/Tools

This team sets up and provides administration on the IT infrastructure that hosts the IT services. It provides technical support and advice on these systems.

4.2.2 ITSM Tools

For the strategy to become effective it does not only requires people, functions and efficient processes; it also requires efficient tools and the environment setup in ITSM for the installation and monitoring of these tools. For the moment, XXX uses a tool called "Open World ITSM" (OWITSM) for Service Desk (called in this document ITSM SMT).

For planning and assignment of activities and tasks, a tool called JIRA has been introduced internally within XXX. This enables an effective resource utilisation and easy follow-up and tracking of ongoing activities (e.g. internal carrying out a specific Service Request). The original Service Request is managed by ITSM Service Desk via the ITSM SMT but all planning and allocation is taking place within JIRA. A constant (automated) update is taking place so that the ITSM Service Desk can notify the requestor of the current status of their request.

A tool called Knowledge Tree (KT) is used internally, as the ITSM Publishing Platform for sharing information and documentation. A new ITSM Webportal was also being disseminated at the time of writing of the FQP to replace parts of the KT that need to be visible outside XXX.

Within the Monitoring discipline, various tools exist depending on the actual monitored object (i.e. infrastructure, applications or business behaviour). Some of these tools (Nagios, Big Brother, SEEDv0 Monitoring) were inherited in the Take-Over, while others (Hot Monitor, Scm, IP Monitor) are XXX Specific.

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For the Configuration Management Database, XXX has implemented an open source application called OneCMDB and designed a model, which automatically manages the attributes and relationships of the CIs that are inserted into it.

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4.3 Work Packages

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| WP.0 | Contract “Operation Level Agreement” Management |
| WP.0.1 | Production and maintenance of the Framework Quality Plan (FQP) |
| WP.0.3 | Production and revision of the Contract Quality Plan (CQP) |
| WP.0.4 | Production of proposals for Specific Contracts (SC) and Request for Actions (RfA) |
| WP.0.5 | Internal Quality Assurance (QA), internal Quality Control (QC), Risk Management, Internal Quality Auditing , Self-assessment (SA) |
| WP.0.5.1 | Internal QA |
| WP.0.5.2 | Internal QC |
| WP.0.5.3 | Risk Management |
| WP.0.5.4 | Self-assessment & Internal Audit |
| WP.0.6 | Coordination with the Commission (ad hoc, BMM, Steering Committee) |
| WP.0.7 | Monthly Progress & Service Reporting (MPR/MSR) |
| WP.0.8 | Maintenance of the planning of the contractor’s activities |
| WP.0.9 | Co-operation with the Commission during Quality, Process and Security Audits |
| WP.0.10 | Quarterly batch re-delivery of all deliverables |
| WP.2 | Take-Over (TO) & Hand-Over (HO) |
| WP.2.1 | Take-Over |
| WP.2.1.1 | Take-Over method |
| WP.2.1.1.1 | Definition of the Take-Over plan |
| WP.2.1.1.2 | Taking-over of activities |
| WP.2.1.2 | Customs systems |
| WP.2.1.3 | NCTS & eCustoms |
| WP.2.1.4 | Excise systems |
| WP.2.1.5 | Taxation systems |
| WP.2.2 | Hand-Over |
| WP.2.2.1 | Production of the detailed Hand-Over plan |
| WP.2.2.2 | Hand-Over of the ICT Infrastructure, processes and documentation |
| WP.2.2.3 | Provision of training and support to a 3 rd party |
| WP.2.2.4 | “After Hand-Over” support |
| WP.2.2.5 | Production of the Hand-Over report |
| WP.7 | Application Development (restricted to ITSM Tools) |
| WP.7.1 | Specification |
| WP.7.2 | Design, Build, & Deployment support |
| WP.7.3 | Corrective maintenance |
| WP.8 | IT Service Management |
| WP.8.1 | Service Support |
| WP.8.1.1 | Service Desk |
| WP.8.1.1.1 | Management and delivery of translations |
| WP.8.1.1.2 | Web mastering the portals for each system community |

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| WP.8.1.1.3 | The Service Desk processes, technology (alias ITSM Tools) and environmental & space resource |
| WP.8.1.2 | Incident management |
| WP.8.1.2.1 | Service Request (RfS) |
| WP.8.1.2.2 | Conference call/virtual meetings |
| WP.8.1.2.3 | Remote technical support |
| WP.8.1.2.4 | On-site technical support |
| WP.8.1.2.5 | Ad hoc support |
| WP.8.1.3 | Problem management |
| WP.8.1.4 | Configuration Management |
| WP.8.1.5 | Change Management |
| WP.8.1.6 | Release Management |
| WP.8.2 | Service Delivery |
| WP.8.2.1 | Service Level Management (SLM) |
| WP.8.2.1.1 | Management of the contractual OLA |
| WP.8.2.1.2 | Management of the SLAs between the Commission and its customers/users |
| WP.8.2.1.3 | Management of the ITSM section of the OLAs between the Commission & its suppliers |
| WP.8.2.1.4 | Reporting on the Terms of Collaboration |
| WP.8.2.2 | Capacity Management |
| WP.8.2.2.1 | of Commission IT services |
| WP.8.2.2.2 | of trans-European IT services |
| WP.8.2.3 | IT Service Continuity Management (ITSCM) |
| WP.8.2.3.1 | of Commission IT services |
| WP.8.2.3.2 | of trans-European IT services |
| WP.8.2.4 | Availability Management |
| WP.8.2.4.1 | of Commission IT services |
| WP.8.2.4.2 | of trans-European IT services |
| WP.8.3 | The Business Perspective |
| WP.8.3.1 | Business relationship management |
| WP.8.3.1.1 | Business monitoring, statistics & reporting |
| WP.8.3.1.2 | Periodic survey of each of the National Administrations |
| WP.8.3.2 | Liaison with NAs, the contractors and other Commission services |
| WP.8.3.2.1 | National Administrations Working Groups Meetings and their related sub-groups |
| WP.8.3.2.2 | Technical Meetings with the Commission and/or other 3 rd parties involved in ITSM |
| WP.8.3.2.3 | Service Monthly Meetings (SMM) |
| WP.8.3.2.4 | Coordination Missions |
| WP.8.3.2.5 | Training, workshop |
| WP.8.3.3 | Demonstration |
| WP.8.3.4 | Systems & Applications Planning |
| WP.8.3.4.1 | Planning Maintenance |
| WP.8.3.4.2 | Progress and Status reporting |

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| WP.8.3.5 | Management of the Terms of Collaboration in the Common Domain and recommendations to the NAs |
| WP.8.3.5.1 | Management of the Terms of Collaboration in the Common Domain |
| WP.8.3.5.2 | Management of the recommendations to the NAs for their national and external domains |
| WP.8.4 | Application Management (extended to include trans-European systems) |
| WP.8.4.1 | Managing business value |
| WP.8.4.1.1 | Application architecture, application Framework and standard (& ditto for trans-European systems) |
| WP.8.4.1.2 | Application portfolio management (& ditto for trans-European systems) & Traversing the Application Management Life Cycle |
| WP.8.4.2 | Integrating the Application Management life cycle (& ditto for trans-European systems) |
| WP.8.4.2.1 | Coordination between development and service management |
| WP.8.4.2.2 | Quality Control of artefacts from system & Application Development. |
| WP.8.4.3 | Service Management (within Application Management, extended to include trans-European systems) |
| WP.8.4.3.1 | Deployment |
| WP.8.4.3.1.1 | Deployment of Applications, |
| WP.8.4.3.1.1a | Testing, |
| WP.8.4.3.1.1b | Pre Site Acceptance Test (preSAT), |
| WP.8.4.3.1.1c | Site Acceptance Test (SAT), |
| WP.8.4.3.1.1d | Qualifications |
| WP.8.4.3.1.2a | Deployment of trans-European systems |
| WP.8.4.3.1.2b | Conformance Test (CT) |
| WP.8.4.3.2 | Operation of Applications & trans-European systems. |
| WP.8.4.3.2.1 | Operation of Applications |
| WP.8.4.3.2.2 | Operation of trans-European systems |
| WP.8.4.3.3 | Technical support for Applications and trans-European systems |
| WP.8.4.3.4 | Optimise Applications & trans-European systems |
| WP.8.5 | Security Management |
| WP.8.6 | ICT Infrastructure Management |
| WP.8.6.1 | Design and Planning |
| WP.8.6.2 | Deployment |
| WP.8.6.2.1 | Deployment of COTS ICT CIs (HW & SW products, telecom, services) in the ICT Infrastructure hosted in contractor's premises |
| WP.8.6.3 | Operations |
| WP.8.6.3.1 | Hosted infrastructure |
| WP.8.6.3.2 | DIGIT infrastructure |
| WP.8.6.4 | Technical support |
| WP.8.7 | Planning to Implement Service Management |

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| WP.8.7.1 | Manage the Continuous Service Improvement Programme (CSIP): plan, design, assess & optimise |
| WP.8.7.2 | Support to the Commission and NAs regarding convergence towards ITIL |
| WP.8.8 | Extended time coverage for IT Service Management |
| WP.8.8.1 | Extended time coverage for availability & security incidents |
| WP.8.8.2 | Ad hoc |
| WP.10 | Other deliverables and services in the scope of the contract |

Table 4-1: List of Work Packages

4.4 Global Planning

A global planning for the activities to be performed during the Framework Contract is provided in Annex 1 ITSM Planning [R1].

4.5 Deliverables

The list of deliverables expected during the life of the Framework Contract is found in Annex 8 Table of deliverables [R8]. Also, the template of the Deliverable Tracking Matrix (DTM) is provided in Annex 2 Structure of DTM [R2].

An extract of the DTM is attached to each Monthly Progress Report. This extract lists all deliverables identified in the Deliverable Tracking Matrix at the time of issuing the specific Monthly Progress Report.

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4.6 Organisation and responsibilities

To make a support project successful, the team organisation must be adapted to cope with planned and unplanned events and still satisfy agreed service levels. Key to the success is therefore the definition of roles and responsibilities of each team member at each moment, the definition of procedures to cope with the expected (and unexpected) events, and communication on a continuous basis and through meetings.

The organisation of the project team is as shown in the chart below (global overview). The detailed Organisation Chart, as well as the interaction model, can be found in Annex 29 [R29].

The role of team members follows in Section 4.6.2, and the Coordination and Management is further described in Section 9 Coordination and Management.

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Global overview

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Figure 4-1: Global overview

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4.6.1 Team Organisation

The table below lists team members, as known at writing time. Any changes during the contract would be announced in the Bilateral Monthly Meetings (BMM) and communicated via the Monthly Progress Report (MPR). Each process owner is responsible for the maintenance of his/her process.

| | |
|--|--|
| Programme Director | |
| Project Executive | |
| Project Management Office /SLM | |
| Project Administration | |
| Administration | |
| Procurement | |
| Quality Management | |
| Quality Assurance | |
| Quality Control | |
| Service Delivery | |
| Capacity Management | |
| Service Continuity Management | |
| Availability Management | |
| Planning to implement SM – CSIP Management | |
| Security Management | |
| Business Perspective | |
| Business Thread Manager | |
| Planning & Coordination | |
| Business monitoring | |
| Technical Writer | |
| Training | |
| Service Support | |
| Service Desk Manager | |
| Incident Management | |
| Service Desk Customs - DS | |
| Service Desk Customs - CS | |
| Service Desk Taxation | |
| Service Desk Excise | |
| Problem Management | |

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| Change Management Taxation | |
| Change Management Excise | |
| Release Management | |
| Configuration Management | |
| Admin Support | |
| Deployment Coordinator | |
| Technical Writer | |
| Application Management | |
| Application Management Operations (incl. Tech. Reviews) | |
| Application Management Operations (incl. Tech. Reviews) – Taxation | |
| Application Management Operations (incl. Tech. Reviews) – Excise | |
| Application Management Operations (incl. Tech. Reviews) – Customs | |
| Testing Manager | |
| Testing Team | |
| ICT Infrastructure Management & ITSM Tools | |
| ICT Infrastructure Design and Planning & Deployment Manager | |
| Operations Manager | |
| Technical Support Manager | |
| Application Development ITSM Tools | |
| Technical Support | |
| Operations | |
| Design and Planning & Deployment | |
| Conformance Testing Manager | |
| Conformance Testing | |

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Table 4-2: ITSM team structure

The current list of ILSO's (Information Local Security Officer) can be found in the ITSM User Access Management procedure (ref. ITS-IP-173). The table below provides the status at writing time:

| ITSM team member | Allocated roles | | |
|------------------|-----------------------|------------------------|------------------------|
| | ITSM Security Manager | Primary ILSO in team | Backup ILSO in team: |
| | | | Application Management |
| | | | Service Desk |
| | | Service Desk | |
| | | XXX team | |
| | | Deployment team | |
| | Backup | | |
| | | Infrastructure | |
| | | | Application Management |
| | | Testing team | |
| | Primary | | |
| | | | Testing team |
| | | | XXX team |
| | | | Infrastructure |
| | | Application Management | |

Table 4-3: ITSM Security Officers

4.6.2 Key Roles and Responsibilities

Below is a description of the roles within ITSM. To avoid duplication of responsibilities, some roles have been “grouped” together since they have the same type of responsibilities but in different areas. Examples of these roles are Database administrator, Systems specialist, Technical support i.e. they are Subject Matter Experts (SMEs) within their own area. Each Process Owners are responsible for the maintenance of his/her process.

| Role | Description |
|---------------------------|--|
| Programme Director | The ITSM Programme Director takes the full responsibility of the overall project, managing this policy document, managing the consortium as well as the entire |

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| | <p>Framework Contract. He/she is the contract manager in the sense of the call for tender of DG TAXUD, accountable of the overall success of the project. He/she benefits of the assistance of a project management office composed of an administration team and the Project Committee group involving experienced Project Managers. He/she:</p> <ul style="list-style-type: none"> • works with ITSM and DG TAXUD stakeholders in order to develop the overall Project Charter; • Develops, gains approval for, and communicates the overall project’s goals, practices and business deliverables; • Anticipates problems and takes (or recommends) corrective action (including recommendation to terminate); escalates issues and problems as necessary to stakeholders and/or to Steering Committee; • Regularly prepares and delivers overall project communication to relay progress, and issues to all interested parties; • Controls the planning of the project; • Manages expectations; • Ensures sustained buy-in at all levels; • “Audits” projects in order to ensure adherence to establish project practices and deliverable quality; • Identifies stakeholders/vested interests and ensures they have a voice in the direction and progress of the project; • Formally manages scope change process and updates the initiation document and program plan as necessary; • Formally manages issues and resolve conflicts; • Facilitates the negotiation with line managers for resources and/or deliverables; • Creates detailed plan for the team (based upon agreed time estimates); • Manages day-to-day project activities; • Working with the project team, assigns tasks, monitors and tracks progress (against the plan), and ensures acceptance of team deliverables; • Provides regular feedback to team members on delivery versus expectation; • Supports the continuous improvement of all the ITSM processes and services in interaction with the ITSM CSIP Manager and respective process owner. |
| ITSM Quality Manager | The ITSM Quality Manager is the process owner for the quality administration process. The ITSM Quality Manager supervises and guides the team in the |

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| | <p>implementation of the quality plan throughout the project. He/she provides support for the production of internal procedures and ensures internal quality control on the team's activities (services and deliverables) is done. He/she provides input for the monthly reporting and advises on quality matters inside the team and in coordination with DG TAXUD.</p> <p>As a manager he/she leads the following type of activity:</p> <ul style="list-style-type: none"> • Establishes a quality system that supports the fulfilling of the ITSM contract; • Ensures that internal review of all deliverables is performed before they are sent to DG TAXUD for review; • Ensures that all ITSM processes follow the agreed formalism with DG TAXUD; • Verifies all ITSM processes are aligned end-to-end; • Verifies that the quality system is being applied as required; • Verifies that the quality system is meeting its objectives; • Defines, collects, and analyses measurements to gauge the quality system performance and determine whether quality objectives are being met; • Initiates and follows up Self Assessments and other internal controls; • Ensures that processes are established and performed for continuous improvement of the quality system; • Supports second or 3rd party assessments of the quality system as required. |
| ITSM Application Manager | <p>This function will assume the continuous planning, monitoring, measuring and analysing the performance and effectiveness of the platform and application in order to determine the optimum performance of the supported applications and to identify potential performance problems that could affect the service.</p> <p>He/she:</p> <ul style="list-style-type: none"> • Manages the application portfolio; • Co-ordinates between development and service management; • Establishes the Application Management processes; • Consolidates the planning data from the various sources (MCP, AM Planning...); • Ensures the consistency between the various levels of planning (MCP, operational, deployments); • Initialises deployment operations; • Assigns resources for technical reviews; • Monitors the SLA compliance of AM; |

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| | <ul style="list-style-type: none"> • Reviews the deliverables of AM; • Works with stakeholders to understand the needs related to the supported applications; • Documents software features, requirements and bugs; • Communicates with developers and stakeholders on tasks and schedules; • Confirms and clarifies details in software defect reports; • Plans and manages software releases, together with the change management advisory board and the Release Manager; • Ensures appropriate testing activities are carried out and verified before going into production; • Is responsible for the deployment of applications; • Manages the continuous improvement of the AM processes and services in interaction with the CSIP Manager. |
| ITSM AM System Engineer | <p>The ITSM AM System Engineer role is responsible for:</p> <ul style="list-style-type: none"> • Installation of the applications; • Configuration of the applications; • Configuration coordination with CCN; • 2nd level and expert support for Incident Management; • Support towards ITSM Busines Monitoring teams. |
| ITSM AM Tester | <p>This role is the setting-up of the test environments and running the tests. He/she also supports NAs with their own tests. The tester has also to create additional test cases for the preSAT, SAT.</p> |
| ITSM AM Technical Reviewer | <p>The technical reviewer performs reviews of documents requested by DG TAXUD or a 3rd party that is working on behalf of DG TAXUD (in this case, the Quality contractor).</p> <p>The technical reviewer can be part of different teams (testing, application management...).</p> |
| ITSM Security Manager | <p>The ITSM Security Manager is responsible for the management of the information security within the XXX Consortium, in the framework of the ITSM Programme. He/she:</p> <ul style="list-style-type: none"> • Defines security policies in line with security requirements of the Commission; • Ensures that security procedures, standards and guidelines are aligned with security policies; • Convenes and chair the Security Review Board; • Performs internal security audits to check the correct implementation of security policies, and the respect of applicable security regulations • Makes recommendations and report them to DG |

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| | <p>TAXUD;</p> <ul style="list-style-type: none"> • Monitors and report on security-related activities; • Defines and implement the annual security awareness programme within the ITSM team. |
| ITSM Security Officer | <p>An ITSM Security Officer acts as the relay of the ITSM Security Manager in the following teams: ITSM Application Management team; ITSM Infrastructure Management team; ITSM Management team. An ITSM Security Officer performs the day-to-day security-related tasks in his/her team. He/she:</p> <ul style="list-style-type: none"> • Monitors how the security policies are implemented in his/her team; report to the ITSM Security Manager about any compliance issue; • Creates and maintains the security documents that describe the required implementation of the security policies (security guidelines, procedures, and standards) and that apply to his/her team; • Participates to specific audits organised by the ITSM Security Manager by running audit tests in their teams; report to the ITSM Security Manager about the results of the audit tests; • Performs emergency actions that are required to fix Security Incidents and report to the ITSM Security Manager about the result; • Participates to the analysis of Security Incidents by collecting evidences and providing them to the ITSM Security Manager. |
| ITSM Operations Manager | <p>He/she is responsible for:</p> <ul style="list-style-type: none"> • Managing the team of INFRA operators; • Managing the "ITSM Monitoring Operator"; • Ensuring that every request assigned to Infrastructure team is well covered; • Handling Infra mailbox; • Maintaining planning activities of operators (Level 1 support); • Maintaining Infra documentation; • Producing contribution to MPR/MSR information collection; • Ensuring collaboration with Availability and Capacity manager in terms of data collection. |
| ITSM Service Delivery | The ITSM Service Delivery Manager provides the service |

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| Manager | delivery plan including details and documents on the complete scope of the service delivery for the project environment. For all Service Delivery processes, the ITSM Service Delivery Manager has to report the process activities in the Monthly Progress Report and includes the relevant statistics and exceptions in the Monthly Service Report. |
| ITSM Service Level Manager | <p>Overall responsible for the Service Level Management process, including the MPR/MSR. He/she:</p> <ul style="list-style-type: none"> • Coordinates with DG TAXUD A4/CPT and the DG TAXUD officials (different Business Threads) for provisioning all SLM related requests and gathering requirements specifications; • Manages the cOLA, hosted Infrastructure OLA, SLAs and ToC; • Coordinates all SLM activities with all NAs via DG TAXUD (A3); • Caters for fast problem resolution in case of an Escalation; • Coordinates regular SLM Service Reviews (as per agreement or if an Escalation occurred). |
| ITSM Incident Manager | <p>The Incident Manager has the mission to manage the Incident Management process and related activities and procedures. He/she is responsible of the communication lines between the different working groups executing the process. On a daily basis the Incident Management process is executed and managed by ITSM Service Desk.</p> <p>He/she:</p> <ul style="list-style-type: none"> • Changes incidents priority if necessary; • Escalates the incident if no solution can be found within agreed time scale; • Handles Service Requests; • Allocates resources for the support effort; • Monitors incident details, including the configuration items affected; • Incidents investigation and diagnosis (including resolution where possible); • Detects of possible Problems and the assignment of them to the Problem Management team for them to raise problem records; • Resolves and recovers of assigned incidents; • Manages the continuous improvement of the Incident Management process, tools and services in interaction with the CSIP Manager. |
| ITSM Problem | The Problem Manager is responsible for the day to day |

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| Manager | <p>operation of the Problem Management process. He/she works in very close collaboration with the ITSM Incident Manager and the ITSM Service Desk. He/she:</p> <ul style="list-style-type: none"> • Develops and maintains the Problem control process; • Reviews the efficiency and effectiveness of the Problem control process; • Produces management information; • Manages Problem support staff; • Allocates resources for the support effort ; • Monitors the effectiveness of error control and making recommendations for improving it; • Develops and maintains Problem and error control systems; • Calculates cost estimate to problem investigations; • Reviews the efficiency and effectiveness of proactive Problem Management activities; • Manages the continuous improvement of the Problem Management process, tools and services in interaction with the CSIP Manager. |
| ITSM Service Desk Manager | <p>Organises and plans the activities for incident management and liaises with problem management processes regarding any changes in systems. The Service Desk Management is critical because it supervises tasks that are associated with the daily operation of the service desk, the continual development of the service desk function, and troubleshooting issues.</p> <p>These tasks are described below. He/she:</p> <ul style="list-style-type: none"> • Works closely with the ITSM Service Level Manager for follow-up and monitoring of implemented SLAs, OLAs and ToCs; • Works closely with the ITSM Service Level Manager for follow-up and monitoring of Complaints and Escalated incidents. • Manages day-to-day activities meaning : <ul style="list-style-type: none"> ○ Manages staff; ○ Produces staffing plans; ○ Manages the service desk analysts; ○ Carries out staff appraisals; ○ Produces and maintain staff training plans; ○ Participates in potential recruitment of new staff; ○ Provides advice and guidance to customers and service desk analysts; ○ Produces management reports; ○ Represents the service desk by attending project meetings; ○ Maintains the processes used within the |

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| | <p>Service Desk.</p> <ul style="list-style-type: none"> • Develops new functions and processes: <ul style="list-style-type: none"> ○ Creates a service culture within the service desk; ○ Runs awareness programs and campaigns to publicise the Service Desk and the services it provides; ○ Develops processes and agreeing interfaces with other working groups; ○ Liaises with incident and problem management processes regarding any changes in systems; ○ Plans the take-on of new services and workloads; ○ Provides input to SLA follow-up and reviews; ○ Works with other working groups to ensure the availability and continuity of the service desk function; ○ Works with capacity management to ensure that sufficient capacity exists in order for the service desk function to meet service targets; ○ Defines and implements new or improved working practices. • Troubleshooting issues: <ul style="list-style-type: none"> ○ Listens and responds to instances of dissatisfaction; ○ Liaises with customers and Service Level Managers where service targets have not been met; ○ Discusses and liaising where incident or problem escalation is felt necessary; ○ Represents customer issues within the support organisation. • Manages the continuous improvement of the SD processes and services in interaction with the CSIP Manager. |
| <p>ITSM Service Desk Operator</p> | <p>Incident Management comprises a set of services delivered through a service desk. All services of the ITSM contract are delivered through the single point of contact (SPOC) service desk which initialises all activities. The Service Desk agent provides the first-line telephone technical support of hardware, systems, sub-systems and/or applications for customers and/or employees. Typically provides technical support for authorised users.</p> <p>Nature of the tasks he/she has to deal with. He/she:</p> <ul style="list-style-type: none"> • Forwards all SD initiated Service Request, via JIRA, to the Business Thread Manager(s); |

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| | <ul style="list-style-type: none"> • Works closely with the ITSM Groups and Business Thread Manager a for follow-up and monitoring of incidents and Service Requests; • Provides a first diagnosis and manage either the immediate resolution of the incidents or its escalation to the proper incident and/or Problem Manager; • Performs required troubleshooting on all incidents, and escalate, as necessary, any incident outside agent’s established technical knowledge boundaries; • Ensures customer satisfaction on all completed incidents, or verifies that customer has alternative plan for problem resolution; • Informs Service Desk Manager of any work conflicts, dissatisfied authorised users, or hardware/software malfunctions; • Answers questions about installation, operation, configuration, customisation, and usage of assigned products; • Escalates complex problems to level 2 or 3 groups within the support organisation; • Forwards incidents to resolution groups outside ITSM for contractual out-of-scope type of issues (e.g. specific Application support, 3rd party maintenance); • Reception, recording, acknowledging and initial analysis of incoming incidents; • Handles incidents according to SLA. |
| <p>ITSM Continuous Service Improvement Programme Manager</p> | <p>This function is to provide business analysis for collection of information from all managers involved in the different service areas provided in the scope of the contract. A holistic view of the situation “as is” is established (baseline) in order to formulate recommendations for the improvement of any services components.</p> <p>He/she:</p> <ul style="list-style-type: none"> • Develops and manages the continuous improvement plan; • Undertakes regular reviews of the continuity improvement plans; • Communication about and create awareness about the continuous improvement process; • Works closely with all process owners and functional owners to identify areas of improvements; • Ensures that all service areas are prepared and able to respond to an innovation; • Identifies and tracks potential improvements, and liaises with necessary parties to improve service quality. |

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ITSM Business Perspective Manager

Business Perspective Management aims to manage the perception and expectation of the business aspects and perspectives of the project, having focus on the final customers and users of the systems to be supported (remark the end-users are not necessarily the client who is undertaking and sponsoring the contract).

The Business Perspective Manager has the following activities under his/her responsibility. He/she:

- Verifies the contractual correctness of the Service Requests as per the ITSM Framework contract (i.e. Work Packages) and gets approval from DG TAXUD A4/CPT for special requests;
- Coordinates available resources and ensures conformity among the ITSM Thread Managers;
- Is the point of escalation for issues related to Business Perspective and Business Thread Management;
- Is responsible for the Business Perspective process;
- Ensures that the correct processes are in place so that Business Perspective Management achieves its objectives and that the processes are subjected to continuous improvement;
- Understands current and planned new business processes and their requirements for services;
- Regularly takes the customer journey and samples the customer experience, providing feedback on customer issues;
- Conducts and completes customer surveys, assist with the analysis of the completed surveys and ensures that actions are taken on the results;
- Acts as a project representative on user groups (if any);
- Provides a single contact and escalation point for all business perspective issues not managed by the Business Thread Managers;
- Coordinates and ensures effective resource utilisation for all CT Campaigns regardless of Business Thread;
- Develop a full understanding of business, customer and user strategies, plans, business needs and objectives;
- Manages the continuous improvement of the BP processes and services in interaction with the CSIP Manager;
- Raises the awareness of the business benefits to be gained from the exploitation of new technology;
- Facilitates the development and negotiation of appropriate, achievable and realistic ToC between DG TAXUD and the NAs.

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| ITSM Business Thread Manager | <p>The Business Thread Managers (BTM) are responsible for their respective area i.e. there is 1 BTM per Business Thread.</p> <p>He/she:</p> <ul style="list-style-type: none"> • Acts as Business Relationship Manager for respective Business Thread; • Acts as focal point for Service Requests; • Coordinates with DG TAXUD A4/CPT and the DG TAXUD officials (different Business Threads – Customs, EMCS and Taxation) for provisioning all BP related requests and gathering requirements specifications; • Coordinates with ITSM Service Providers (Application Management, Change Management, Testing, ICT etc.); • Provides “real-time” status information on on-going requests to the requester; • Creates Service Requests in JIRA if requester bypassed Service Desk and then notifies ITSM Service Desk Operator; • Carries out, on a monthly basis, an analysis based upon previous month’s missions and, if identified, propose areas/actions for improvements; • Acknowledges, plans and assigns Service Requests; • Continuously builds up knowledge and understanding about their thread; • Understands current and planned new business processes and their requirements for services; • Acts as a project representative on user groups (if any); • Provides a single contact and escalation point for all business issues (per thread); • Works with the business, customers and users to ensure that ITSM provides the most appropriate levels of service to meet business needs currently and in the future; • Participates in the development and negotiation of appropriate, achievable and realistic ToC between DG TAXUD and the NAs; • Is flexible and responsive to the needs of the business, customers and users. |
| ITSM Business Monitoring Analyst | <p>The Business Monitoring Analyst monitors the business use of all the Trans-European Systems and of DG TAXUD IT services in the scope of the contract (e.g. number & nature of the business transactions on DG</p> |

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| | <p>TAXUD applications and across the Trans-European Systems, number of messages, of hits etc.</p> <p>He/she:</p> <ul style="list-style-type: none"> • Monitors business related data according to agreed schedules, procedures and patterns; • Analyses collected monitoring data; • Raises an incident with Service Desk if an unusual pattern appear or data is missing; • Produces reports based upon the analysis • Collates all business related data and reports; • Alerts the availability process of any business trend which suggests an unavailability; • Consolidates and distributes Business Monitoring Reports. <p>This type of monitoring does not involve any kind of Availability monitoring; this is carried out by ICT Infrastructure for Technical Monitoring, with support of Application Management at a second level of intervention.</p> |
| ITSM Business Analyst | <p>The Business analyst is responsible to provide the required business support concerning the ITSM applications. The Business Analyst also takes part in the various missions that can be requested within the Business Perspective – Business Liaison. The Business Analyst typically will carry out and/or participate in:</p> <ul style="list-style-type: none"> • Working group meetings (and sub-groups) with National Administrations and in some cases with trader representatives; • Service Monthly Meetings (SMM); • Technical Meetings with DG TAXUD and/or other 3rd parties involved in ITSM (to the exclusion of any bilateral technical meeting between the contractor and DG TAXUD as these have to be imbedded in the activities of the contractor); • Missions (coordination missions); • Training, workshops; • Demonstrations. |
| ITSM Campaign Coordinator | <p>This is the role coordinating and managing the Conformance Testing campaigns. The main skill required for this role is, beside business knowledge, Project Management. The following activities need also to be carried out by the ITSM Campaign Coordinator. He/she:</p> <ul style="list-style-type: none"> • Coordinates CT activities with ITSM Business Thread Manager(s); • Coordinates with the DG TAXUD Application |

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| | <p>Manager(s);</p> <ul style="list-style-type: none"> • Coordinates with the DG TAXUD Application Manager(s); • Coordinates all CT activities with all NAs; • Assimilates, records, tracks, reports, processes all information regarding CT related requests and incidents; • Caters for fast problem resolution for the test applications. This is of particular importance at the beginning of a Conformance Testing campaign when the test applications have to mature rapidly without slowing down the pace of the Conformance Testing and without affecting the Quality of Service delivered to the NAs; • Provides daily reporting to DG TAXUD A4/CPT and ITSM Business Thread Manager(s). |
| ITSM CT Engineer | <p>This role is dedicated to Conformance Testing campaigns. The tasks are the following. He/she:</p> <ul style="list-style-type: none"> • Liaises with Developers to verify technical requirements on CT environments; • Specifies all technical requirements for respective IT environment that will be affected by the CT Campaign; • Ensures environments are ready for CT; • Coordinates technical requirements with other Service Providers e.g. DIGIT, CCN etc. |
| ITSM CT Tester | <p>This role is dedicated to Conformance Testing campaigns. However, the persons behind the role can be any tester assigned to Application Management activities. He/she:</p> <ul style="list-style-type: none"> • Analyses/reports test results and log files; • Provides ongoing support to NAs throughout the CT Campaign; • Participates in test scenarios (if required); • Performs CT support missions. |
| ITSM Procurement Manager | <p>Management of the purchasing and procurement of hardware, software and IT components/products, including new equipment, upgrades to existing equipment, consumables or purchases resulting from a service or repair request. Guarantee the traceability of the process to collect appropriate authorisation.</p> <p>He/she:</p> |

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| | <ul style="list-style-type: none"> • Requests the Configuration Manager to update, maintain the configuration Database; • Coordinates the procurement activities with DG TAXUD; • Organises repatriation of obsolete hardware; • Follows roadmap of the different vendors' products • Implements the communications channels with the vendors; • Communicates all obsolescence of the different components HW/SW of the infrastructure. |
| ITSM Capacity Manager | <p>The ITSM Capacity Manager role oversees the allocation and delivery of service capacity to the business. The ITSM Capacity Manager is responsible for planning, monitoring, and reporting activities relating to system and solution capacity, performance measurement, and forecast in the IT organisation</p> <p>The ITSM Capacity Manager has the overall responsibility to ensure that:</p> <ul style="list-style-type: none"> • There is adequate IT capacity to meet the required levels of service; • The senior ITSM management is correctly advised on how to match capacity and demand; • The existing capacity is used optimally; • Capacity Plans (considering business, services, and resources) are in place to meet the new and changing requirements for running the business. |
| ITSM Availability Manager | <p>Availability Management is responsible for, in collaboration with ICT Infrastructure, the availability monitoring and related plans.</p> <p>He/she:</p> <ul style="list-style-type: none"> • Is accountable for the deployment of the Availability Management process and associated methods and techniques; • Is responsible for ensuring the Availability Management process, its associated techniques and methods are regularly reviewed and audited, and that all of these are subjected to continuous improvement and remain fit for purpose; • Is responsible for determining the Availability requirements from the business for new or enhanced Services; • Is responsible for the creation of Availability and recovery design criteria to be applied to new or enhanced Infrastructure design; • Creates liaison with X-DEV to ensure availability, maintainability and serviceability requirements and |

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| | <p>design criteria are incorporated in the design and development of applications;</p> <ul style="list-style-type: none"> • Is responsible for ensuring the levels of the Availability required are cost justified; • Is responsible for defining the targets of Availability required for the Infrastructure and its components that underpin a new or enhanced Service as the basis for an SLA agreement; • Is responsible for the monitoring of actual Availability achieved versus targets and to ensure shortfalls are addressed; • Is responsible for the production and maintenance of an Availability Plan which prioritises and plans Availability improvements. |
| <p>ITSM Change Manager</p> | <p>The Change Manager is responsible for managing and co-ordinating the activities of the Change Management process. He/she focuses on the process as a whole as well as on any individual change.</p> <p>A Change Request can be raised by the Configuration Item (CI) Owner or by the Problem Manager. The Change process is CI related. The Change Manager will request CI specific information from the stakeholders of the process such as the Configuration Manager, the CI owner, the Security Manager, Capacity Manager, Application Management and the Developer.</p> <p>As process facilitator the Change Manager prepares all necessary information for the Change Authority⁵ to make a final decision for change. He/she is supported by the Change stakeholders and particular the CAB.</p> <p>The main duties of the Change Manager, some of which may be delegated in Standard Change Procedures, are the following. He/she:</p> <ul style="list-style-type: none"> • Receives RfCs and ensures that they are properly recorded in the change management system; • Recommends CAB members, facilitates and chairs the CAB meetings; • Prepares CAB meeting agendas and provides all necessary review information to the CAB members prior to the meetings; • Calls for RfC impact analyses and risk assessments are submitted to the CAB; |

⁵ See Section 3.2 Definitions for more details on the Change Authority.

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| | <ul style="list-style-type: none"> • Analyses and prioritises RfCs; • Categorises, assigns change Coordinators, and schedules RfCs, subject to approval by the CAB; • Approves requests for minor changes or assigns approval authority to others; • Provides change notification to the Change Initiator and other affected parties; • Monitors the successful completion of all RfCs, including the change development project phases and ensuring that these processes follow the change schedule; • Reviews and evaluates the change process; • Produces regular and accurate management reports; • The Change Manager is CI related; • The change originator can be the CI owner and/or the Problem Manager. |
| ITSM Release Manager | <p>For the entire set of platforms hardware, standard software and applications the ITSM Release Manager will define and execute the release management procedures. This activity is done closely with the Change Manager following and interacting with change management guidelines and procedures, in close collaboration with the Planning coordinator, Change and AM Application Family Deployment Manager and DG TAXUD for a successful release.</p> <p>He/she:</p> <ul style="list-style-type: none"> • Receives changes approved for release management; • Recommends release to CAB; • Submits RfC for approval to implement/deploy in the live production environment; • Signs-off Implementation, Testing, Communications, Training, Support, Compliance; • Obtains necessary approvals for implementation into production; • Agrees Release Policies together with DG TAXUD; • Participates in release planning and produce Release Management Plan; • Validates Test Plan, Support Plan, Communications Plan, Training Plan; • Ensures Compliance requirements met; • Reviews and approves release package. |
| ITSM Deployment Coordinator | <p>The ITSM AM Deployment Coordinator is the person responsible for coordinating all ITSM activities during an application deployment.</p> |

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| | <p>He/she is also responsible for coordinating NAs' activities during Trans-European deployments for the Start of Operation activities allowing an NA to go into production after finishing the CT.</p> <p>His/her main activities are:</p> <ul style="list-style-type: none"> • Coordinate the preparation of the environments; • Coordinate the installation of the applications; • Coordinate the preparation of the connectivity for CT; • Coordinate the preparation of the connectivity for production; • Manage support during CT; • Manage the Start of Operation activities; • Organise and manage the 'after care' when NAs are in production. |
| ITSM Configuration Manager | <p>Works to the overall objectives agreed with DG TAXUD and implements the organisation's Configuration Management policy and standards. The configuration management will embrace the whole of the CI of the trans-European systems and the IT services provided by DG TAXUD in the scope of the contract, although at various levels of component aggregation.</p> <p>He/she:</p> <ul style="list-style-type: none"> • Produces CM plan and gets approval; • Mounts an awareness campaign to win support for new Configuration Management procedures; • Ensures that changes to the Configuration Management methods and processes are properly approved and communicated to staff before being implemented; • Performs configuration audits to check that the physical IT inventory is consistent with the CMDB and initiates any necessary corrective action; • Solitary responsible for the CMDB integrity; the Procurement Manager will notify him/her of new procured CIs; • Is responsible for and assist in CMDB reviews and audits. |
| ITSM Support and Subject Matter Experts (this includes the following Service Expert, Support Specialist, System Administrator, Database Administrator, Network | <p>These various roles are specialists within their respective areas. However, some of the responsibilities/tasks they perform are common for all the roles.</p> <p>He/she:</p> <ul style="list-style-type: none"> • Provides 2nd/3rd level technical/application support as requested by Service Desk (incidents and problems); • Provides standards and guidelines within their respective areas; |

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| Operator, Backup & Storage Operator, Application Specialist, ICT Technical Support) | <ul style="list-style-type: none"> • Gathers and provides statistics for reporting purposes; • Acts as project member in projects (if any) representing their specific area; • Carries out assigned Service Requests; • Carries out assigned “internal tasks”; • Reviews technical reports. |
| ITSM ICT Infrastructure Manager | <p>This role is the overall responsible for the ITSM “hosted infrastructure” environment provided to DG TAXUD.</p> <p>He/she:</p> <ul style="list-style-type: none"> • Produces and maintains an ICT architecture for the applications, IT services and trans-European system; • Produces and maintains an architecture for ICT Management processes & tools; • Produces and maintains environmental design and space planning; • Manages the continuous improvement of the ICT IM processes and services in interaction with the CSIP Manager; • Deploys and maintains all the required environments as specified by the Design and planning processes; • Defines the physical and logical environment for secure hosting of the infrastructure; • Maintains a detailed asset inventory of all COTS ICT CI’s; • Liaises with representatives responsible for the ICT Infrastructure hosted/managed by other providers (such as DIGIT, CCN/TC and NA Operations); • Maintains the ODL (Operational Document Library) for ICT Infrastructure. |
| ITSM Monitoring Operator | <p>The ITSM Monitoring Operator is responsible for the day-to-day execution of the service or resource monitoring. Wherever possible, he/she uses automated incident detection tools. When an exception occurs, the monitoring operator role reacts and attempts to solve it or ensures that the incident is raised and transferred to specialist support teams for investigation, diagnosis, and resolution.</p> <p>The ITSM Monitoring Operator has the following responsibilities. He/she:</p> <ul style="list-style-type: none"> • Configures automated monitoring of system components; • Performs service and resource monitoring (and store the collected performance and capacity data in the CDB); • Detects management/system events and raise alerts; • Informs stakeholders such as the service desk in case |

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| | <p>of exceptions (communication and alerting);</p> <ul style="list-style-type: none"> • Ensures incidents are raised within the IM (Incident Management) process as required. |
| ITSM Service Manager/Process Owner | Any ITSM Manager directly responsible for the provision of a service or a defined process – probably the same person in the majority of cases. |
| ITSM Technical Support Specialist | <p>The Technical Support Specialist is responsible for providing specialised technical support for all ITSM processes, including:</p> <ul style="list-style-type: none"> • 3rd line support (for ICT Infrastructure related incidents and problems); • Involvement in Problem Management activities (diagnosis of technical problems); • Providing on-site technical support; • Providing assistance and advice related to technical issues. <p>The ITSM Technical Support Specialist is involved in the resolution of incidents and problems requiring more specialist skills; e.g. specialists involved in the installation and setup of the ICT Infrastructure.</p> <p>3rd-line Support: The 3rd level in a hierarchy of Support Groups involved in the resolution of Incidents and investigation of Problems. Each level contains more specialist skills, or has more time or other Resources.</p> <p>The technical support specialist provides assistance with the building and testing of all new solutions for deployment, and provides a technical reference point for all areas of ICT and external partners.</p> <p>The technical support specialist is also responsible to collect and maintain the technical documentation and operations guides and procedures for deployment and operations staff.</p> |
| ITSM Tools Application Development Manager | <p>The prime responsibilities of the ITSM Tools Application Development Manager are to:</p> <ul style="list-style-type: none"> • Maintain an ITSM Tools development vision; • Maintain an ITSM Tools implementation and deployment methodology; |

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| | <ul style="list-style-type: none"> • Keep all projects in progress on track; • Manage the development team and to interface with other parties for intake of work and assignments. <p>The ITSM Tools Application Development Manager will schedule, accept and manage the ITSM Tools related projects as well as ITSM Tools related software development projects.</p> <p>The ITSM Tools Application Development Manager will ensure that the ITSM Tools projects are planned, prepared and managed in line with the ITSM contractor and Business Thread requirements, within the limits of the contract.</p> <p>The ITSM Tools Application Development Manager will also ensure a proper follow-up for support and maintenance requests.</p> |
| ITSM AM Document Review Coordinator | <p>The person in charge of coordinating the technical review of artefacts. He/she receives (directly from the QA contractor and via the ITSM SD) and dispatches all technical review of artefacts.</p> |
| ITSM AM Planning Coordinator | <p>The person in charge of all planning related matters for ITSM Application Management. He/she is responsible for the ITOP.</p> |
| ITSM AM Single Point of Contact (SPOC) | <p>The ITSM AM SPOC have the following responsibilities:</p> <ul style="list-style-type: none"> • Act as Single Point of Contact to DG Taxud A4/APM on the applications portfolio assigned to them: <ul style="list-style-type: none"> ○ Have an overview of all activities to be done on their portfolio of applications; ○ Maintain direct communication with DG TAXUD CI owner; ○ Dispatch the information to all operational teams (ITSM Infra, ITSM Testing, ...); • Are considered as the "specialists" for their portfolio of applications; • Build the knowledge for these applications; • Review the documents related to these applications, as they are also ITSM AM System Engineers; |

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| | <ul style="list-style-type: none"> • In case of a major incident resulting in unavailability of the Production applications: <ul style="list-style-type: none"> ○ Coordinate the recovery effort and the communication amongst all parties; ○ Be the primary point of the contact for any additional information; ○ May act as deployment responsible for application deployments, with the exception of mega and/or Trans-European Deployments like TARIC 3 or EOS). |

Table 4-4: ITSM roles definition

4.6.3 Organisation at DG TAXUD

In order to make the communication efficient between the DG TAXUD and XXX, it is also important to have a correct understanding of how the Central Project Team (CPT) is organised and how the split of roles and responsibilities between DG TAXUD's team members is organised.

The generic organisation chart of the DG TAXUD's team (at the moment of writing) is as follows:

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Figure 4-2: Organisation at DG TAXUD

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4.6.4 Communication with DG TAXUD

Throughout the organisation structure, XXX has established communication lines to maximise the integration of the ITSM processes and to provide the required services.

These communication lines:

- Allow the acquisition and availability of technical and business knowledge for all services;
- Provide clarity on task assignment and ownership;
- Create visibility on:
 - Operational status of infrastructure, applications and Trans-European Systems;
 - Procedure followed by the processes in the delivery of their services (this is applicable both internal to XXX as to the services in which all other parties are involved);
- Facilitate resolution of issues and problems involving the combined effort of several services.

These communication lines exist within XXX's organisation but do not end at its borders. More specifically, information is exchanged with:

- DG TAXUD (A3 Tax, Exc and Cust, as well as DG TAXUD CPT, ISD and APM);
- The Development Contractors (x-Dev teams);
- The Quality contractor;
- 3rd Parties (DIGIT, CCN/TC and other parties designated by DG TAXUD);
- The user communities within each Business Thread (National Administrations, trade, citizens, other Commission services...).

The following communication lines are implemented by XXX:

- Reporting according to the deliverables specified in each Work Package;
- The Service Desk;
- The liaison activities by the Business Perspective process (Business Thread Managers);
- ITSM Tools and specifically the web interfaces of these tools;
- Recurrent and ad hoc meetings
- Ad hoc coordination meetings;
- Bilateral Monthly Meeting;
- Service Monthly Meetings;
- Internal Quality Assurance Meetings;
- Steering Committee meetings;
- Ad hoc technical meetings (testing related meetings, review meeting...).

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Direct links exist between DG TAXUD and the Programme Direction of XXX, as it is represented in this graph:

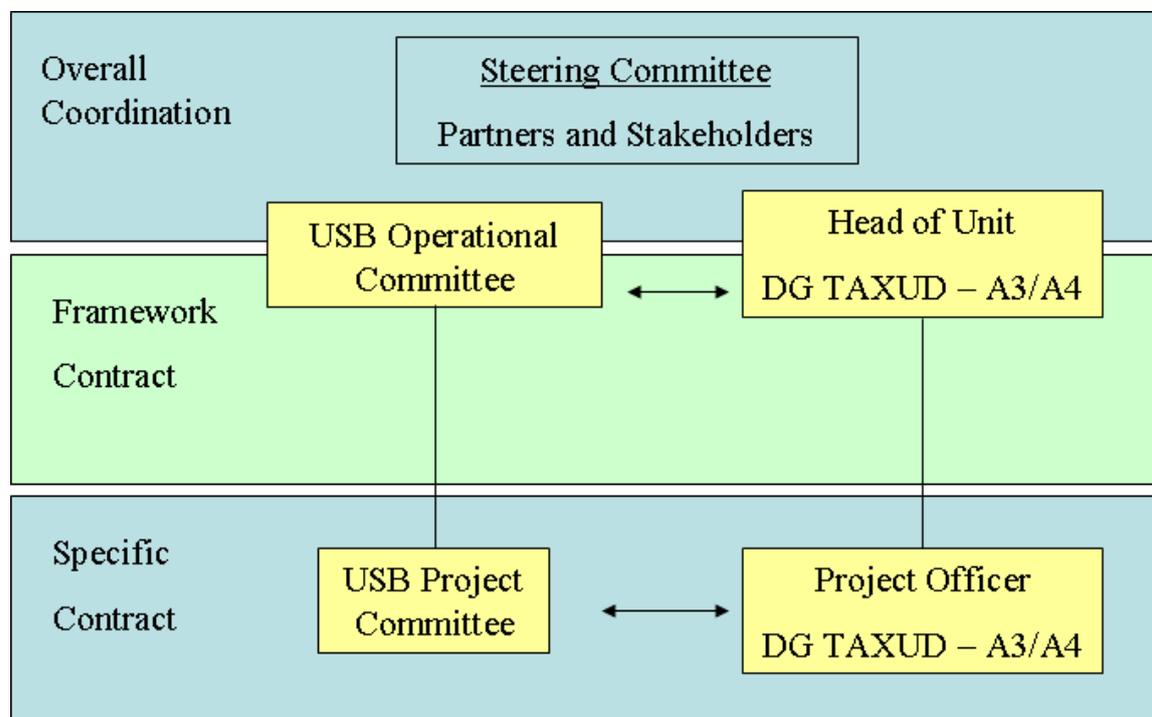


Figure 4-3: Coordination layers

In addition to this high level communication layer, the ITSM Business Thread Managers represent the official link between DG TAXUD Sectors and ITSM; please refer to Section 7.4.4.1 Business Thread Management for more information.

For further information, please see Section 9 Coordination and Management, as well as Annex 29 Organisation chart [R29] in which the interaction models are presented.

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5. Control of the Framework Quality Plan

This section describes the order of precedence, the approval and maintenance of this document.

5.1 Order of Precedence

The decreasing order of precedence with other documents whenever a conflict may occur is as follows:

- Framework Contract;
- Specific Contract;
- This Framework Quality Plan;
- Contract Quality Plan;
- Project Quality Plan;
- TEMPO.

5.2 Preparation

This FQP is an evolutive version of the FQP v1.01 dated 28/11/2008, updated based on a series of improvements agreed with DG TAXUD A4/CPT, as per RfA#76 [A6] and related offer from XXX.

It has been completed thanks to technical meetings with significant team members and with personnel of Unit A3 & A4 of DG TAXUD and thanks to the input provided by the owners of ITSM processes.

The coordination between the ITSM process owners has been ensured by the Core team, which is constituted of members of each part of the Consortium dedicated to the FQP production and was lead by the ITSM Quality Manager.

The approach for building the FQP is as follows:

- The Quality Management team has confirmed the structure of the FQP based on TEMPO methodology and related templates and has validated it with DG TAXUD;
- Formalism for defining the ITSM processes in an harmonised way has been communicated to all process owners through internal meetings;
- Scope of the FQP offer has been communicated to process owners through internal meetings;
- Contributions have been requested from the owners of the Work Packages to fill in activities and procedures per Work Package. They have been validated by the Core team;
- The ITSM Quality Management team has consolidated the FQP based on the various input of the team;

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- The ITSM Quality Management team has managed the generation of internal procedures, as part of its daily tasks, ensures the review and progressive delivery to DG TAXUD A4/CPT via publication on CIRCA [R30]. The same team has coordinated the review and update of these internal procedures with DG TAXUD A4/CPT (and its QA contractor), as well as internally with the ITSM process owners;
- Most of the ITSM processes, which were part of the FQP maintenance (all except AM and CAP) have been delivered for information to DG TAXUD A4/CPT. APOs have been provided to DG TAXUD A4/CPT and related agreed comments have been integrated;
- The FQP has been reviewed internally;
- The FQP is submitted for review to DG TAXUD and the official review starts, and will follow a 15-20-5 review cycle;

Note:

1. Processes as described in this FQP reflect the way ITSM is performing the activities at the moment of FQP delivery (at least for what concerns processes that were part of the FQP maintenance offer).
2. The review and update of the internal working procedures is not bundled with the FQP acceptance. Also the review of the ITSM Service Support procedures has been completed before the delivery of this FQP. As a consequence these procedures will not be subject to further review.

5.3 Approval

The ITSM Quality team prepares the FQP, based on input received from all the ITSM Process owners, in collaboration with the Core team. This consolidated document is harmonised, reviewed and verified by the ITSM Quality Control, approved internally by the Project Director, and sent electronically to DG TAXUD A4/CPT for review; for more information on the verification of the FQP performed by the ITSM contractor, please refer to the “verification” part of section 7.1.1 Work Package 0.1: Production and Maintenance of the FQP.

The FQP follows a review cycle where the time periods T1, T2, and T3, are set to be 15/20/5.

Comments received from DG TAXUD are taken into account, Author’s position is provided and comments discussed in a formal Review Meeting⁶ (when necessary) and an updated version of the FQP is prepared by the ITSM Quality team and verified and

⁶ It is to be noted that comments received from DG TAXUD are (as agreed with DG TAXUD A4/CPT) classified in 2 categories:

- Comments that correct errors in the FQP towards current reality, and which will be implemented in the SFA version, if valid (from technical point of view and if done as part of the FQP maintenance);
- Comments that are proposal for improvement, and which will be treated via the CSIP and will not impact the review of the present version of the FQP

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approved internally by the Project Director. This version is submitted to DG TAXUD A4/CPT for acceptance.

The final decision to approve this document, or any changes to it, is the responsibility of DG TAXUD A4/CPT. The acceptance of the Framework Quality Plan implies that its provisions become binding to all members of the XXX team and DG TAXUD.

5.4 Maintenance of the FQP

After acceptance, the FQP becomes the property of DG TAXUD. Its creation and maintenance are under the responsibility of XXX according to the following procedure: any modification proposed to the present document (once agreed upon by DG TAXUD A4/CPT and XXX) will be subject to the change management procedure defined in Section 9.6 Change Management of this document⁷.

Moreover, there is a provision in the Framework Contract for further revision/maintenance of the FQP in order to reflect evolution of the quality procedures, CQPs and OLAs.

5.5 Follow-up activities

Once the FQP is accepted, it will be communicated to the whole team through presentation sessions ensured by the Core team.

The ITSM Quality Team will perform spot checks (as part of internal QC missions and internal audit) to verify that individual team members master the part of the FQP dealing with their activities; the spot checks will be documented in an e-mail (in case of QC mission) or in a report (in case of internal audit) and reported to DG TAXUD A4/CPT for information through the Monthly Progress Report.

The communication and controlling of the acknowledgment of the FQP by the team will be repeated for each new team member joining the ITSM team, as part of the induction programme.

⁷ Please note that this statement is not valid for the annexes of FQP that can be changed outside of the Change Management and approved by DG TAXUD instead of accepted.

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5.6 Lack of adherence to the FQP

In case a non-adherence to the FQP is detected (through internal QA/QC, via the Quality contractor or DG TAXUD), the following actions will be taken:

- The team leader in charge of the related activity will make sure that the FQP and internal procedures are made available and are understood;
- Repetitive non compliances may reveal that there is a misalignment between the FQP and the internal procedure, and therefore imply that one or both of the documents are not aligned, or are not reflecting the actual way of working. In that case, there will be a need to review the documents (FQP and/or internal procedure) vs. the way of working; this evaluation will be done in agreement between the team leader and the ITSM Quality Manager, escalating to the Programme Director if no agreement is reached. This process will be performed in adherence with Section 5.4 Maintenance of the FQP and will end with the formal approval of DG TAXUD A4/CPT;
- Repetitive non adherence to procedures that are evaluated as adapted to the work may trigger explanations from a higher level of management. The handling of the corrections if any will depend on the identification source (internal audit or QA Contractor audit, via the action list). For internal QA/QC, it will be reported to XXX management (through the CEO reporting) and followed up via action list of the executive committee. For DG TAXUD A4/CPT, via the BMM action list.

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6. ITSM Process model

6.1 Presentation of the formalism

The ITSM Process Model is documented through a 3-level process decomposition:

- Level 0: ITSM processes overview;
- Level 1: Sub-processes per ITSM process;
- Level 2: Elementary processes within the sub-processes.

In addition, a Level 3 describes the procedural level.

6.1.1 Level 0 Process Decomposition

The Level 0 diagram is a Scope Diagram representing the ITSM processes contained within the ITSM Process Model under the categories:

- Service Support processes;
- Service Delivery processes;
- Other working processes.

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6.1.2 Level 1 Process Decomposition

For each of these ITSM processes, the level 1 diagram is illustrated in an ITSM Process Map.

Within these diagrams the ITSM process being decomposed is represented at the top, and its sub-processes are listed beneath and attributed unique letter identification and a name.

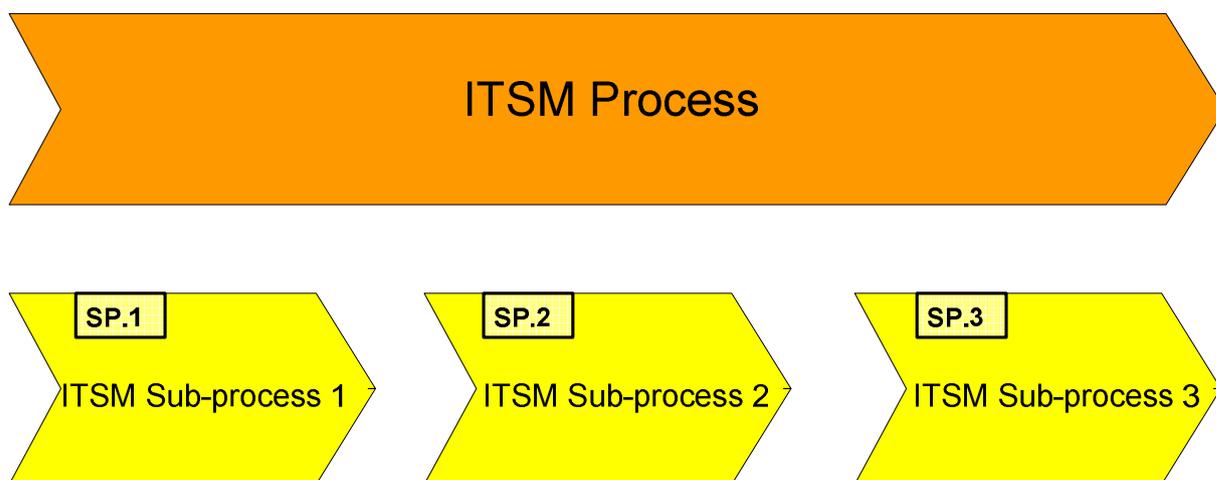


Figure 6-1: Illustration of an ITSM Process Map

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6.1.3 Level 2 Process Decomposition

ITSM Sub-processes at the lowest decomposition level are detailed in Process Dynamics Diagrams showing the sequence of the elementary ITSM processes (EPs), the role responsible for performing them, the triggering events, as well as the results.

The components of Process Dynamics Diagrams and the symbols used for representing them are illustrated in the following diagram.

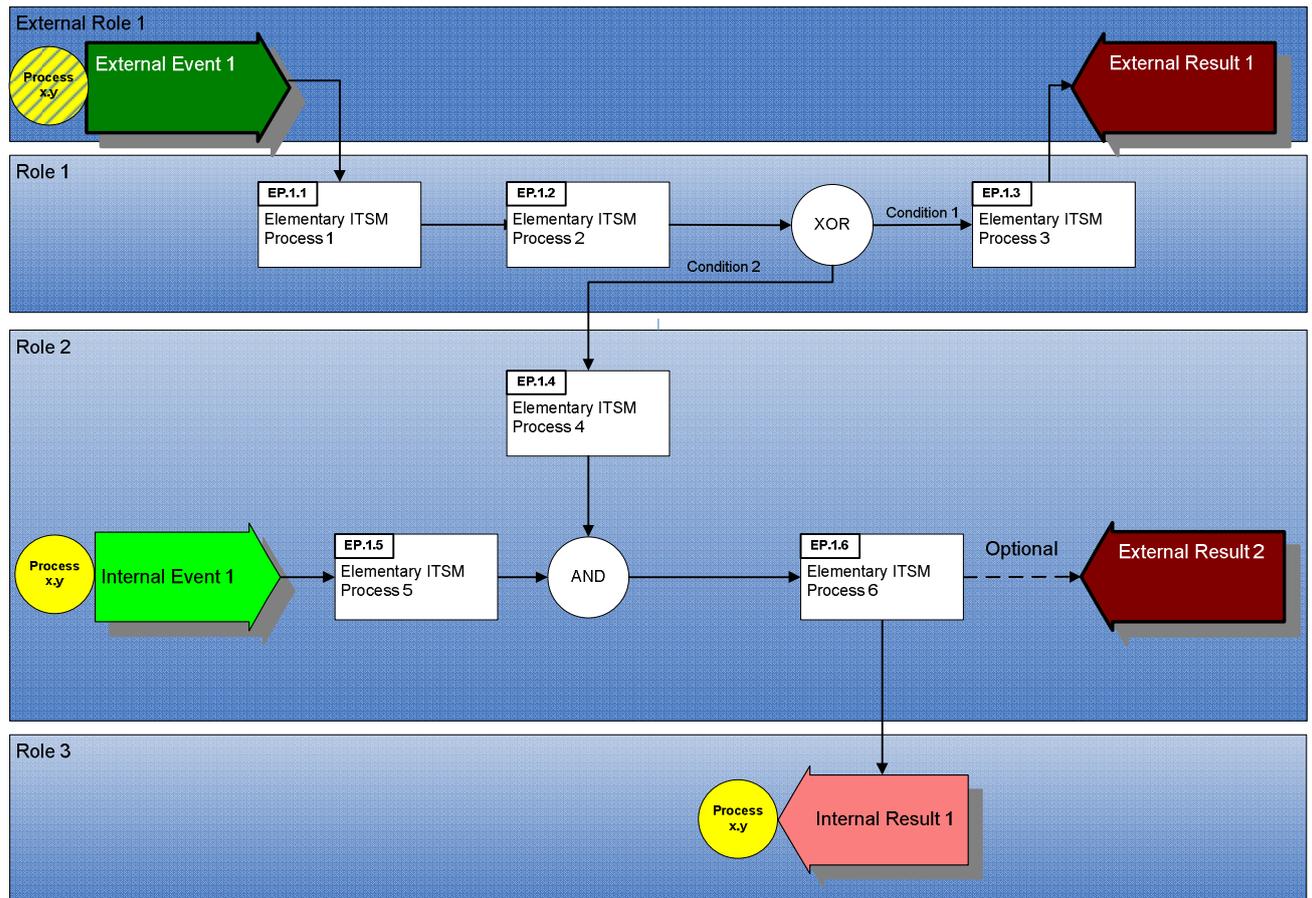


Figure 6-2: Illustration of a Process Dynamics Diagram

The use of the different components is clarified via the following definitions:

6.1.3.1 Role

A role is an actor involved in the ITSM process. Involvement can mean:

- The role is responsible for executing an EP or;
- The role issues a trigger starting the process or;
- The role receives an output of the process.

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Roles are represented in the background by a blue swim lane:

- Light-blue for roles taken on within ITSM (meaning XXX);
- Dark blue for the ITSM stakeholders outside ITSM.

An overview of all roles in the ITSM Process Model is presented in Section 4.6.2 Key Roles and Responsibilities.

6.1.3.2 External event

An external event is:

- Either a trigger originated by an ITSM stakeholder outside ITSM, which triggers the process;
- Or a timely event, which triggers the process.

An external event is represented by a dark green right-directed block arrow, drawn on the swim lane of the role where it arises or on the role executing the first EP in case of a timely event.

An external event is given a name related to the process it triggers and is mostly composed as follows: “object + action to be taken”. Examples are “Incident raised”, “Incident status to be monitored”.

6.1.3.3 External result

An external result is:

- Either a result generated outside ITSM by an ITSM process for an ITSM stakeholder;
- Or an end point requiring no further processing, e.g. "Monitoring data collected".

An external result is represented by a red left-directed block arrow, drawn on the swim lane of the role where it is destined for or on the role maintaining the final process result.

An external result is given a name related to the process delivering it and is mostly composed as follows: “object + action taken”. Examples are “Service restored”, “Incident status monitored”.

6.1.3.4 Internal result/event

An internal result or event only impacts the ITSM internal process handling. Internal results/events always come in pairs, meaning that the internal result of an EP in one Process Dynamics diagram is the internal event for starting an EP or another sub-process in another diagram. The internal result/event mechanism represents the glue in the end-to-end handling of ITSM processes as well as the relationships between these processes.

An internal result is represented by a pink left-directed block arrow and is drawn on the swim lane of the ITSM role responsible for the first EP in the follow-on sub-process handling.

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An internal event is represented by a light green right-directed block arrow and is drawn on the swim lane of the ITSM role responsible for the first EP in the follow-on sub-process handling.

The naming conventions are the same as for the external results and events.

6.1.3.5 Elementary ITSM Process (EP)

An elementary ITSM Process is a process that is not decomposed further in the process model, but further described in the relevant procedure.

EPs are represented by a white rectangle and are labelled by:

- A unique identifier composed of 2 to 3 letters (the process initials) and a sequence number;
- A name composed of a directive verb followed by the object of the EP.

Examples are “IM.2.3 Restore service and document solution” and “IM.4.1 Check incident status”

6.1.3.6 Connector

The flows between components are called connectors. They are represented using a black plain line arrow which starts from one component of the process flow and leads to another one, and a black dotted line in case of an optional connection.

6.1.3.7 Logical Connector

A logical connector is used to model a complex flow where conditions are involved. The logical connector can be of the type “OR”, “exclusive OR”, “input AND”, “output AND”. The logical connector is represented by a small circle between connectors and is given the label of the applicable logical connector: OR, XOR, AND. In case of an OR or XOR the connectors are labelled with the appropriate condition, the decision itself is described in the EP preceding the logical connector.

6.1.3.8 Origin/destination

Yellow circles are used to indicate from/to where are coming/going events and results. It gives a clear link to another process.

These yellow circles are dashed when they come/go from/to a process that is not described further in the ITSM processes; or when the process is outside ITSM or in case it is not part of the fundamentals of another ITSM process.

6.1.4 RACI

A RACI table is provided for each ITSM process; it provides for each sub-process activity information on who is Responsible, Accountable, Consulted and Informed.

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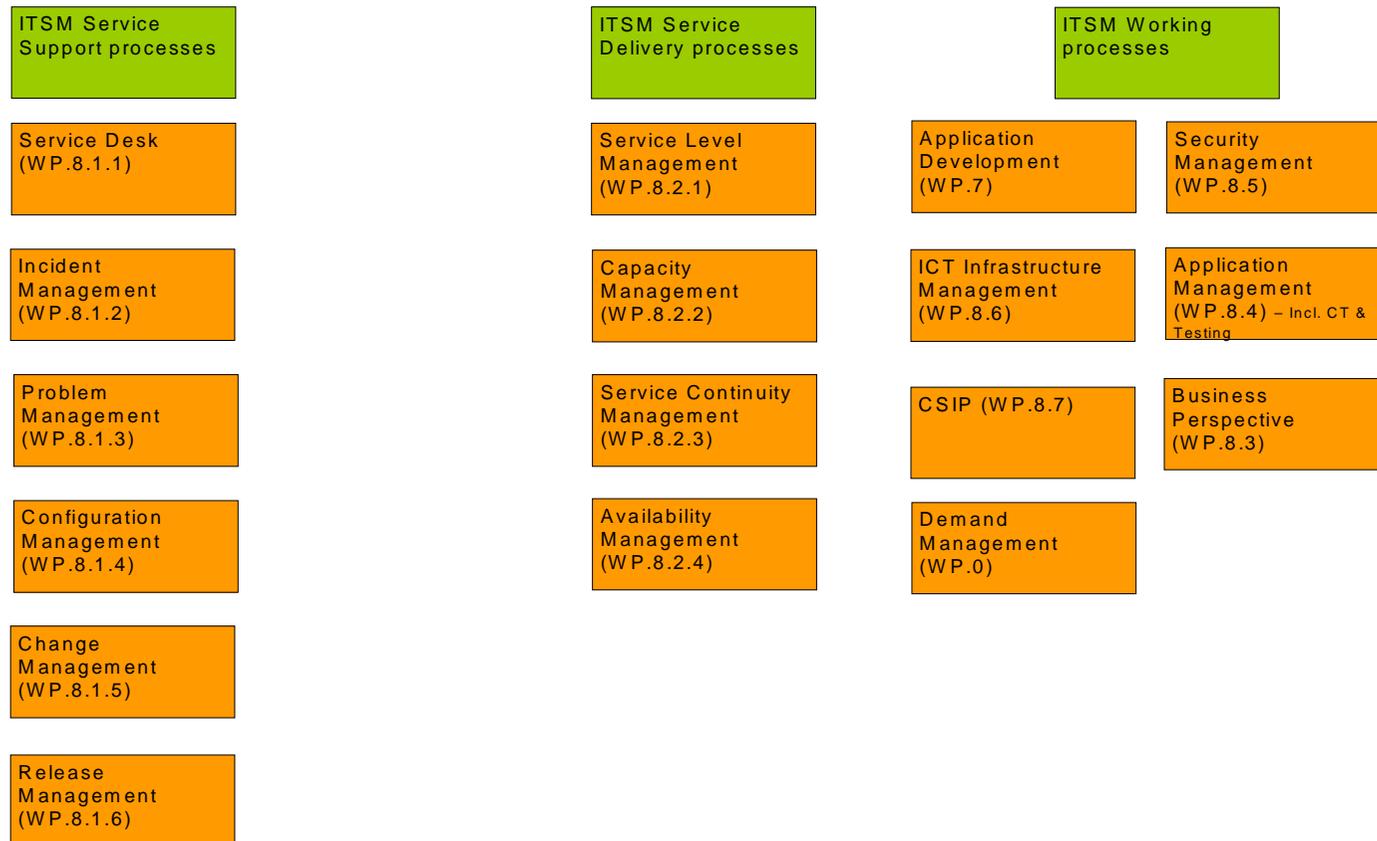
6.1.5 Communication interfaces with DG TAXUD

A table is provided for each ITSM process, which presents the Communication interfaces for each sub-process activity with the different entities of DG TAXUD.

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6.2 Level 0: Process flows

ITSM Process Model



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Figure 6-3: ITSM Process Model

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6.2.1 ITSM processes

The Level 1, 2 and 3 for each ITSM process (previously presented in the Section 6 & 7 of the FQP v1.01), as well as their related RACI (Responsible Accountable Consulted Informed) table and Communication Interfaces with DG TAXUD, have been merged into one document per process and annexed to this FQP, as follows:

- Annex 11: ITSM Service Desk[R11];
- Annex 12: ITSM Incident Management[R12];
- Annex 13: ITSM Problem Management[R13];
- Annex 14: ITSM Configuration Management[R14];
- Annex 15: ITSM Change Management[R15];
- Annex 16: ITSM Release Management[R16];
- Annex 17: ITSM Service Level Management[R17];
- Annex 18: ITSM Capacity Management[R18];
- Annex 19: ITSM IT Service Continuity Management[R19];
- Annex 20: ITSM Availability Management[R20];
- Annex 21: ITSM Security Management[R21];
- Annex 22: ITSM Application Management[R22];
- Annex 23: ITSM Conformance Testing[R23];
- Annex 24: ITSM ICT Infrastructure[R24];
- Annex 25: ITSM Business Perspective[R25];
- Annex 26: ITSM Demand Management[R26];
- Annex 27: ITSM CSIP[R27];
- Annex 28: ITSM Application Development [R28].

A process owner has been identified for each process; the list of process owners is updated when need be and delivered to DG TAXUD A4/CPT on a monthly basis together with the Monthly Progress Report.

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7. Activities and Procedures⁸

It is important to note, as a general remark for the whole Section 7, that, even if not repeated for each WP, all deliverables that are sent to DG TAXUD first pass through an internal QC before being delivered. The official deliverables will then pass through the official review cycle by DG TAXUD, as described in Section 9.5 Review and Acceptance Procedure.

7.1 Work Package 0: Contract “Operation Level Agreement” Management

This Work Package covers all activities to be performed by the contractor to manage its “Operation Level Agreement” with DG TAXUD.

⁸ Note: The text in italic is copied from the Framework Contract.

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7.1.1 Work Package 0.1: Production and Maintenance of the FQP

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|--------------------------|---|
| Id | WP.0.1 Production and maintenance of the Framework Quality Plan (FQP) |
| Activities | <p>XXX has to produce, deliver and maintain a Framework Quality Plan (FQP), ensuring that all activities currently performed on by the ITSM teams are described and documented.</p> <p>The FQP will contain, as part of the main document all the ITSM activities and processes, as well as a high level procedure. In addition, the following documents are annexed to the FQP:</p> <ul style="list-style-type: none"> • ITSM Planning; • ITSM DTM; • Structure of MPR; • Structure of MSR; • List of internal procedures; • Internal procedure for QA/QC, • Internal procedure for Internal Auditing; • Internal procedure for Escalation; • Test plan for FAT of the FQP; • Contractual OLA; • Hosted Infrastructure OLA; • Table of deliverables; • ITSM Glossary. <p>DG TAXUD A4/CPT and ITSM have however the possibility to commonly agree on a different list of annexes to attach to the CQP package.</p> |
| Results | <p>Deliverable(s)</p> <p><i>DLV.0.1.1 - Framework Quality Plan (FQP) package (containing the FQP document itself, as well as the annexes), along with an FQP test plan and its FAT report</i></p> <p><i>DLV.0.1.2 - Evolutive version of FQP</i></p> |
| Environmental Activities | None. |
| Prerequisites | Signature of the Framework Contract and first Specific Contract or RfA. |
| Hardware & | Only MS Office Tools and PC. |

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| Software | |
| Verification | The FQP will be internally reviewed before delivery to DG TAXUD and validated by the Project Director, before being delivered for review to DG TAXUD. After successful completion of the review cycle, the FQP will be accepted. |
| Procedure | <p>Building the FQP (please refer to Section 5 Control of the Framework Quality Plan).</p> <p>It is to be noted that the requirements documented here above in the “Activities” field have been amended by the RfA#76 [A6] for the present FQP maintenance; see also Section 1 Introduction for further details.</p> |

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7.1.2 WP.0.3 - Production and revision of the Contract Quality Plan (CQP)

| Id | WP.0.3 - Production and revision of the Contract Quality Plan (CQP) |
|--------------------------|---|
| Activities | <p>XXX has to produce, deliver and maintain a Contract Quality Plan (CQP) for each Specific Contract (SC) issued under the Framework Contract [A1]. The CQP highlights differences in the way activities are performed, in processes and procedures that are specific to a SC.</p> <p>In addition, the following documents are annexed to the CQP:</p> <ul style="list-style-type: none"> • ITSM Planning; • ITSM DTM; • Structure of MPR; • Structure of MSR; • List of internal procedures; • Internal procedure for QA/QC; • Internal procedure for Internal Auditing; • Internal procedure for Escalation; • Test plan for FAT of the FQP; • Contractual OLA; • Hosted Infrastructure OLA; • Table of deliverables; • ITSM Glossary. <p>DG TAXUD A4/CPT and ITSM have however the possibility to commonly agree on a different list of annexes to attach to the CQP package.</p> |
| Results | <p>Deliverable(s)</p> <p><i>DLV.0.3.1 - Contract Quality Plan (CQP), including the contractual OLA and the “hosted infrastructure” OLA.</i></p> <p><i>DLV.0.3.2 - Evolutive version of CQP.</i></p> |
| Environmental Activities | None. |
| Prerequisites | <p>Signature of the Framework Contract and of each Specific Contract, or RfA.</p> <p>FQP has been delivered for review.</p> |
| Hardware & Software | Only MS Office Tools and PC. |

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| Verification | <p>The CQP will be internally reviewed and validated by the Project Director before being delivered for review to DG TAXUD. After successful completion of the review cycle the CQP will be accepted.</p> <p>The alignment of the CQP with the actual project setting will be verified through Internal Quality Audits as described in WP.0.5.4 - Self-assessment & Internal Audit.</p> |
| Procedure | Building the CQP. |

7.1.3 WP.0.4 - Production of proposals for Specific Contracts (SC) and Request for Actions (RfA)

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|--------------------------|--|
| Id | WP.0.4 - Production of proposals for Specific Contracts (SC) and Request for Actions (RfA) |
| Activities | <p>XXX produces proposals on request from DG TAXUD:</p> <ul style="list-style-type: none"> • Request for Offer (RfO) for Specific Contract (SC); • Request for Estimate (RfE) for Request for Action (RfA); <p>To provide services and deliverables in the context of the Framework Contract [A1].</p> |
| Results | <p>Deliverable(s)</p> <p><i>DLV.0.4.1 - SC Proposal</i></p> <p><i>DLV.0.4.2 - RfA Proposal</i></p> |
| Environmental Activities | None. |
| Prerequisites | For RfE, SC must exist; for RfO, FC must exist. |
| Hardware & Software | Only MS Office Tools and PC. |
| Verification | The SC and RfA proposals will be internally reviewed before delivery to DG TAXUD. |
| Procedure | <p>The process for SC and RfA is initiated by DG TAXUD introducing a Request for Offer or a Request for Estimation to the XXX Programme Director. The Consortium will address the RfE and prepare the estimation requested. The Consortium will return this information to DG TAXUD in the form of a proposal for RfA. This proposal will be reviewed by DG TAXUD and if needed the proposal will be re-submitted for review. The RfA will be executed within the timeframe agreed. The RfA will be closed with the formal acceptance of its deliverables.</p> |

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7.1.4 WP.0.5 - Internal Quality Assurance

The Work Package WP.0.5 includes Quality Assurance (QA), internal Quality Control (QC), Risk Management, Internal Auditing and Self-assessment (SA).

7.1.4.1 WP.0.5.1 - Internal QA

| Id | WP.0.5.1 - Internal QA |
|--------------------------|---|
| Activities | <p>Internal QA provides Quality Assurance on all ITSM activities by ensuring:</p> <ul style="list-style-type: none"> • Compliance with the Technical Annex of the Framework Contract, ISO 20.000:2005, ISO 17799:2005, ISO 27.001:2005, ITIL and TEMPO; • That FQP, CQP and Contractual OLA (Annex 6 Contractual OLA [R6]) are adhered to; • That any necessary corrective measure is taken in case of deviation; • Integrity via Internal Quality Audit and Self-assessment, as well as their related follow-up. |
| Results | <p>Deliverable(s)</p> <p><i>DLV.0.5.1.1 - Quality records, filed in contractor's premises, on request from DG TAXUD.</i></p> <p><i>Internal Quality Audit reports.</i></p> <p><i>Internal Quality Assurance meeting minutes.</i></p> |
| Environmental Activities | None. |
| Prerequisites | Project Quality Plan exists. |
| Hardware & Software | Only MS Office Tools and PC. |
| Verification | <ul style="list-style-type: none"> • Follow-up of the action list of QA meetings; • Internal Quality Audit; • External Quality Audit; • Peer review of quality records; • Feedback from all stakeholders. |
| Procedure | <p>Quality Assurance activities are further discussed in section 8.3 Quality Assurance.</p> <p>For the detailed procedure, see the related ITSM internal procedures [R30].</p> |

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7.1.4.2 WP.0.5.2 - Internal QC

| Id | WP.0.5.2 - Internal QC |
|--------------------------|--|
| Activities | Internal QC ensures that all services and deliverables are reviewed prior to delivery, and that related quality logs are being kept available. |
| Results | Deliverable(s) <i>DLV.0.5.1.1 - Quality records, filed in contractor's premises, on request from DG TAXUD.</i> |
| Environmental Activities | None. |
| Prerequisites | PQP exists, and activity to control has started. |
| Hardware & Software | MS Office Tools and PC, access to all internal project mailboxes, access to the ITSM Webportal and the Service Desk incidents list displayed on the Webportal. |
| Verification | <ul style="list-style-type: none"> • Peer review of quality records; • Internal QC missions; • Internal Quality Audit; • External Audit. |
| Procedure | <p>Quality control activities are further discussed in section 8.4 Quality Control.</p> <p>For the detailed procedure, see the related ITSM internal procedures [R30].</p> |

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7.1.4.3 WP.0.5.3 - Risk Management

| Id | WP.0.5.3 – Risk Management |
|--------------------------|---|
| Activities | XXX performs Risk Management for the Contractual OLA (Annex 6 Contractual OLA [R6]), and report it via the Monthly Progress Report (MPR). |
| Results | Deliverable(s) <i>DLV. 7.0 - Monthly service report (consolidating the DLV.0.5.3.1 Internal Risk Analysis record in the form of a risk register).</i> |
| Environmental Activities | None. |
| Prerequisites | Internal risk register exists and is available. |
| Hardware & Software | MS Office Tools and PC. |
| Verification | The MPR will be used to report officially risks to DG TAXUD. The MPR will be reviewed internally, before being delivered for review to DG TAXUD A4/CPT and the content of it will be discussed during BMM, which acts as a review meeting for the MPR review. |
| Procedure | <ul style="list-style-type: none"> • Risk Identification; • Risk Assessment; • Risk Filtering; • Planning of actions for: <ul style="list-style-type: none"> ○ Risk Avoidance: Avoid taking risks where possible and economically feasible; ○ Risk Mitigation: reduce probability and impact of risks; ○ Contingency: Plan for actions to be taken in case the risk materialises. Define start and stop triggers; • Establish Risk Management organisation, roles and responsibilities; • Define risk reporting and status tracking requirements; • Support the implementation of avoidance and mitigation plans; • Review the effectiveness of the actions taken at regular intervals; • Plan for contingency funds as necessary. |

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7.1.4.4 WP.0.5.4 - Self-assessment & Internal Audit

| Id | WP.0.5.4 – Self-assessment & Internal Audit |
|--------------------------|--|
| Activities | XXX has to perform Self-assessment and Internal Quality Audit, at least twice a year, covering so all the Service processes in order to ensure that ITSM processes and procedures are adhered to. The activity and related reporting is communicated to DG TAXUD, and the corrective actions generated are followed-up via the CSIP process. |
| Results | Deliverable(s) |
| | <i>DLV.0.5.4.1- Self-assessments reports</i> <i>DLV.0.5.4.2- Internal Audit reports</i> |
| Environmental Activities | None. |
| Prerequisites | Self-assessment and Internal Quality Audit procedures exist. Process owners have been informed and trained on the self-assessment they would need to perform, as well as on their frequency and related output. |
| Hardware & Software | MS Office Tools and PC. |
| Verification | Self-assessment and Internal Quality Audit report will be delivered to the XXX CEO Board members and to DG TAXUD. A follow-up action list will be used to follow the implementation of observations and non-conformities identified via the CSIP. A status on the progress will be made in the MPR and discussed in BMM. |
| Procedure | For the detailed procedure on Internal QA audit and Self-assessment, see the related ITSM internal procedures [R30]. |

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7.1.5 WP.0.6 – Coordination with the Commission

| Id | WP.0.6 – Coordination with the Commission |
|--------------------------|--|
| Activities | <p>XXX has to co-ordinate efforts with DG TAXUD on a monthly and ad hoc basis.</p> <p>The availability of XXX for this coordination must be as follows:</p> <ul style="list-style-type: none"> • Bilateral Monthly Meetings (BMM) are planned in advance; • Steering Committee meetings chaired by 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; • Ad hoc coordination meetings, called on request, at a mutually agreed date and time. <p>XXX is responsible to produce the agenda and minutes of the meetings, if not otherwise specified.</p> |
| Results | <p>Deliverable(s)</p> <p><i>DLV.0.6.3 Agenda of the Bilateral Monthly Meetings</i></p> <p><i>DLV.0.6.4 Minutes of the Bilateral Monthly Meetings bundled with DLV.0.7;</i></p> <p><i>DLV.0.6.5 Minutes of Steering Committee and ad hoc meetings.</i></p> |
| Environmental Activities | Office at DG TAXUD or at XXX premises. |
| Prerequisites | Meeting request has been sent by one of the involved parties. |
| Hardware & Software | MS Office Tools and PC. |
| Verification | Internal QC on deliverables. |
| Procedure | <p>The objective of this activity is to effectively monitor the progress of the project and have a clear understanding of the needs of DG TAXUD; the coordination of XXX with DG TAXUD is performed through Bilateral Monthly Meetings (BMM) and Ad hoc Meetings.</p> <p>The BMM focuses on reviewing the progress of XXX achieved during the previous month, discussing any problems and issues met during the reporting month and set targets for the next month. These meetings are attended by the XXX's Project Director and/or Team Leaders requested for the items to be discussed during the meeting. The participation to the BMM includes the following tasks:</p> <ul style="list-style-type: none"> • Preparation of BMM Agenda; to be delivered 1 w-day in advance of the BMM; |

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| | <ul style="list-style-type: none"> • BMM Preparation. This activity entails all the preparatory actions (a.o.: list of recent issues or items to be discussed and Author's position to comments raised on the related MPR/MSR delivery; • BMM Participation: • Discussion of progress achieved in the previous month. • Take a decision on all comments issued by DG TAXUD on the MPR/MSR submitted for review. • Discussion of deliverables submitted during the previous month. • Discussion of issues requiring clarification or further elaboration. Any other Business in accordance to Meeting Agenda. • Decision on further actions. This will include the planning for the next month with priority to problems met during the previous month and problems arising during the forthcoming one. • Compilation of BMM Minutes. This activity concerns the production of minutes summarising all discussions, findings, decisions, and actions decided during the BMM. <p>Beyond the BMM ad hoc meetings can be organised if need be. For ad hoc meetings, XXX also need to prepare the meeting, participate to the meeting and produce minutes of the meeting, as described above for the BMM.</p> <p>Steering Committees are organised (on demand from XXX or DG TAXUD) between DG TAXUD Head of Unit and XXX top management (the XXX representatives at director level). Progress at a higher level is presented and discussed. XXX produces the minutes of the meeting.</p> |
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7.1.6 WP.0.7 – Monthly Progress & Service Reporting

| Id | WP.0.7 – Monthly Progress & Service Reporting |
|--------------------------|---|
| Activities | <p>On a monthly basis, XXX provides DG TAXUD with a report on the contractual situation during month “m-1”. This document, the Monthly Progress Report (MPR), covers:</p> <ul style="list-style-type: none"> • Status of RfAs; • Consumption of quantities status; • Progress realised for each Work Package (WP); • Any possible issue, problem and/or risk; • A summary of plans for the next month. <p>In addition, a Monthly Service Report (MSR) is provided in annex of the MPR. It gives a picture of service reports for all services provided during the reporting month.</p> |
| Results | <p>Deliverable(s)</p> <p><i>DLV.07 - Monthly Progress Reports, bundled with all Monthly Service Reports.</i></p> |
| Environmental Activities | <p>ITSM Publishing Platform to share documents is available and related access provided and/or e-mail used to exchange documents and information.</p> |
| Prerequisites | <ul style="list-style-type: none"> • Template for MPR and MSR is available and distributed to the different stakeholders that need to provide input; • All necessary scripts to extract statistical information exist, have been tested and are running properly; • Access to all necessary systems is granted. |
| Hardware & Software | <p>MS Office Tools and PC.</p> |
| Verification | <p>QC on MPR and MSR, as well as all annexes is performed internally. The MPR package is reviewed by DG TAXUD and/or its Quality contractor (for non-contractual information).</p> |
| Procedure | <p>The MPR package - including in addition to the MPR itself, the MSR, the XXX planning, the DTM, the XXX resources allocation, the list of quantities and the SQI table – must be sent 10 w-days before the Bilateral Monthly Meeting. follows the following document cycle:</p> <ul style="list-style-type: none"> • SfR: 7th w-days of the month; • reception of the CCO: 5 w-days after SfR; • submission of the APO: 4 w-days after reception of the CCO; |

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| | <ul style="list-style-type: none"> • BMM and review meeting: 10w-days after SfR • SfR of the minutes of the BMM: 5w-days after BMM; • SfA (MPR/MSR + Minutes): 10w-days after BMM. <p>On the last day of each month (after business hours and the first days of the following month), all necessary scripts are run for providing the input related to the reporting period (the previous month).</p> <p>Every Service Manager is responsible for providing his/her input for the MPR and the MSR.</p> <p>The Project Manager Assistant consolidates and validates the input and the QC team review the documents before delivery to DG TAXUD.</p> <p>Both the MPR and the MSR structure is annexed to this FQP; in Annex 3 MPR Structure [R3] and Annex 4 MSR Structure [R4].</p> |
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7.1.7 WP.0.8 - Maintenance of the planning of the contractor's activities

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|--------------------------|---|
| Id | WP.0.8 - Maintenance of the planning of the contractor's activities |
| Activities | XXX maintains its own planning including related information on all XXX activities. |
| Results | Deliverable(s) <i>DLV.0.8.1 Monthly Planning with updated activities, services and deliverables</i> |
| Environmental Activities | ITSM Publishing Platform to exchange and share information between the XXX stakeholders. |
| Prerequisites | Structure of the planning has been produced and uploaded on the ITSM Publishing Platform. Access to ITSM Publishing Platform is provided. |
| Hardware & Software | MS Office Tools (including MS Project) and PC. |
| Verification | The planning is accessible by DG TAXUD on the ITSM Publishing Platform. |
| Procedure | The structure of the ITSM planning is produced by the ITSM Planning and Coordination Manager and maintained based on input received from ITSM stakeholders (PMO and the ITSM Service Managers). It is uploaded on the ITSM Publishing Platform on a weekly basis, and delivered to DG TAXUD monthly with the MPR. |

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7.1.8 WP.0.9 - Co-operation with the Commission during Quality, Process and Security Audits

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| Id | WP.0.9 – Co-operation with the Commission during Quality, Process and Security Audits |
| Activities | <p>DG TAXUD reserves its right to conduct Quality Audits (generally once a year) in order to audit the adherence of ITSM processes and procedures towards Technical Annex of the Framework Contract, ISO 20.000:2005, ISO 17799:2005, ISO 27.001:2005, ITIL and TEMPO.</p> <p>The ITSM Quality Manager has to facilitate this exercise by providing the auditor with all necessary elements (interview with ITSM personnel, documents, logs ...).</p> |
| Results | <p>Deliverable(s)</p> <p><i>DLV.0.9.2 - Positions of the contractor on the Audit report</i></p> |
| Environmental Activities | As agreed in the Audit Plan. |
| Prerequisites | The Audit Plan and time schedule is available. |
| Hardware & Software | As agreed in the Audit Plan. |
| Verification | <ul style="list-style-type: none"> • Minutes of internal Quality meeting organised to prepare the audit. • Audit Report issued by the auditor. |
| Procedure | <p>The ITSM Quality Manager (in case of quality audit) or the ITSM Security Manager (in case of security audit) briefs the whole team on the audit scope and purpose after having received a notification that an external audit is being organised and the related Audit Plan. He/she coordinates with the auditor for making the interviews and visits possible and cooperates when specific documents and/or accesses are requested by the auditor.</p> <p>When the Audit report is received, XXX has the possibility to issue its position on it, and a meeting with the auditor may be organised. All non-conformities identified by the external auditor are addressed as improvements by the CSIP. A follow-up sheet is built, by listing the non-conformities identified and the external auditor proposed solutions. XXX assigns its proposed solutions, as well as an implementation date and contact person.</p> <p>The follow-up of the implementation is assured by the CSIP team together with the ITSM Quality Manager or Security Manager, who also takes care of organising verification meetings with the auditor, if need be. Feedback on the implementation of preventive and corrective actions is provided</p> |

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| | to DG TAXUD A4/CPT via the MPR and is discussed in BMM. |
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7.1.9 WP.0.10 - Quarterly batch re-delivery of all deliverables

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| Id | WP.0.10 - Quarterly batch re-delivery of all deliverables |
| Activities | XXX produces and provides to DG TAXUD on a quarterly basis a CD-ROM/DVD-ROM containing all deliverables produced during the past quarter. |
| Results | Deliverable(s) <i>DLV.0.10.1 - Quarterly DVD-ROM with all deliverables from the past quarter in the context of each SC.</i> |
| Environmental Activities | None. |
| Prerequisites | A deliverable repository exists and is populated with documents sent for review and for acceptance, and the access to this repository is granted. |
| Hardware & Software | <ul style="list-style-type: none"> • Access to the PMA mailbox and deliverable repository; • A PC with a CD/DVD writer. |
| Verification | Check of the burned CD/DVD with the DTM. |
| Procedure | <p>At the end of each quarter, the ITSM Project Manager Assistant burns a CD/DVD with all deliverables from the past quarter.</p> <p>He/she checks with the DTM and PMA functional mailbox which deliverables have been sent during the quarter and finds them back on the repository (dedicated folder on a hard drive in XXX premises in XXX).</p> <p>The CD/DVD is delivered to DG TAXUD during the first BMM of the next quarter.</p> |

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7.2 Work Package 2: Take-Over and Hand-Over

7.2.1 WP.2.1 - Take-Over

| Id | WP.2.1 Take-Over |
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| Activities | <p>XXX needs to take-over from DG TAXUD (and 3rd parties nominated by it) for the Customs, NCTS/ECS and Excise systems.</p> <p>The Take-Over from SUPCO for Customs, NCTS Lot 2 for NCTS/ECS and from FITS-TC for Excise needs to be completed in a first wave 3 months after the start of the XXX contract. The last thread related to Taxation will be taken-over from FITS-TC in a second wave early 2008. The necessary measures will be taken in order to allow that this 2 stages procedure happens in inconspicuous fashion.</p> <p>The Take-Over will be planned and performed per Business Thread and the procedure used for it will allow a proper start of the operations on the imposed date and avoid any quality disruption. In addition, the initial infrastructure, organisation and processes of XXX will be setup taking in account the estimated IT services volumetric.</p> <p>In view of ensuring the service continuity, the absolute priority will be given to starting providing the taken-over services on the imposed date, maintaining at least the same quality level as the previous contractor (“As-Is”). This takes prevalence over any convergence/consolidations of processes or implementation of new ITSM Tools.</p> |
| Results | <p>Deliverable(s)</p> <ul style="list-style-type: none"> ○ <i>DLV.2.1.2.1 Take-Over Plan for the “Customs Information systems” thread;</i> ○ <i>DLV.2.1.2.2 Take-Over FAT report for the “Customs Information systems” thread. The report must confirm that the contractor is fit to start providing the service with no regression of quality and no interruption;</i> ○ <i>DLV.2.1.3.1 Take-Over Plan for the “NCTS & eCustoms” thread;</i> ○ <i>DLV.2.1.3.2 Take-Over FAT report for the “NCTS & eCustoms” thread. The report must confirm that the contractor is fit to start providing the service with no regression of quality and no interruption;</i> ○ <i>DLV.2.1.4.1 Take-Over Plan for the “Excise” thread;</i> ○ <i>DLV.2.1.4.2 Take-Over FAT report for the “Excise” thread. The report must confirm that the contractor is fit to start providing the service with no regression of quality</i> |

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| | <p><i>and no interruption;</i></p> <ul style="list-style-type: none"> ○ <i>DLV.2.1.5.1 Take-Over Plan for the “Taxation Systems” thread;</i> ○ <i>DLV.2.1.5.2 Take-Over FAT report for the “Taxation systems” thread. The report must confirm that the contractor is fit to start providing the service with no regression of quality and no interruption.</i> |
| Environmental Activities | Set up of office, IT and Telecom infrastructure has been completed. |
| Prerequisites | <ul style="list-style-type: none"> • Signature of the SC; • Request for Take-Over received from DG TAXUD. |
| Hardware & Software | All necessary hardware and software, documentation and data, as identified in the contract, per Business Thread. |
| Verification | <ul style="list-style-type: none"> • Internal QC on Take-Over DLVs; • Accepted Take-Over Report. |
| Procedure | <p>XXX splits the Take-Over activities into five main parts of activities. Namely the project management, the knowledge transfer and acquisition, the infrastructure, the definition of processes and the Factory Acceptance Tests.</p> <p>Following activities are performed taking into account the specificities of each Business Thread</p> <div style="text-align: center;"> <pre> graph TD TOA[Take over activities] --> PM[Project Management] TOA --> KTA[Knowledge Transfer and Acquisition] TOA --> ISU[Infrastructure Set-Up] TOA --> DP[Definition of processes] TOA --> FAT[Factory Acceptance Test] PM --> PS[Project set-up] PM --> CR[Coordination and reporting] PS --> P[Planning] CR --> QA[Quality Assurance] KTA --> SS[Self-Study] KTA --> SH[Shadowing sessions] SS --> T[Training] ISU --> Pn[Plan] Pn --> S[Setup] DP --> Dp[Define processes] Dp --> V[Validate with DG TAXUD] FAT --> Dtp[Define test plans] FAT --> R[Report on tests] Dtp --> PT[Perform tests] </pre> </div> <p>Figure 7-1: Take-Over organisation</p> <p>Project management</p> <ul style="list-style-type: none"> • Team set-up; • Roles definition; • Establish communication channels between the ITSM contractor and DG TAXUD: <ul style="list-style-type: none"> ○ E-mail; |

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| | <p>○ Meetings.</p> <p><u>E-mail</u></p> <p>E-mails are exchanged with different team members of DG TAXUD/A3, with copies to functional mailboxes.</p> <p><u>Meetings</u></p> <p>Steering Committees may be organised on request of DG TAXUD.</p> <p>Weekly Progress Meetings are held at project management level with DG TAXUD. During these meetings, XXX communicates to DG TAXUD their requests for additional information if what is handed over by the current service providers is considered as incomplete or incorrect.</p> <p>Fortnightly meetings are held between parties handing over, DG TAXUD and XXX for following up the progress of the Hand-Over/Take-Over process.</p> <p>Technical and informal meetings may be organised for coordination and exchange of information between DG TAXUD and the ITSM contractor.</p> <p>Minutes are provided for review and for acceptance as agreed at the start of each meeting.</p> <p><u>Collaborative Space</u></p> <p>The ITSM contractor puts in place a Collaborative Space allowing the sharing of information with DG TAXUD; called the ITSM Publishing Platform:</p> <ul style="list-style-type: none"> • Secured office space in each location; • Infrastructure hosted in XXX, XXX and XXX. • Connections between the sites and EC Data Centre; • Project mailboxes ; • Collaborative Space (the central document repository, accessible to all teams); • Internal coordination meetings; • Internal procedures and templates; • Set up and test the project working environments. |
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7.2.1.1 WP.2.1.1 - Take-Over method

WP.2.1.1.1 - Definition of the Take-Over plan

| Id | WP.2.1.1.1 - Definition of the Take-Over plan |
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| Activities | <p>For each Business Thread, XXX produces and delivers the detailed Take-Over plan in line with the situation in which the system(s) will be at the time. The plan includes:</p> <ul style="list-style-type: none"> • Detailed planning; • Acceptance criteria and the FAT cycle of the Take-Over; • Actions to take towards the NAs and the other partners of the projects; • Risk analysis with mitigation and fallback plan; • A "shadowing" period of the activities of the existing contractor(s) during the final part of the Take-Over period; • The deployment plan of the ICT Infrastructure, of the ITSM Tools and processes required at service start-up. |
| Results | <p>Deliverable(s)</p> <p><i>See WP2.1</i></p> |
| Prerequisites | Signature of the respective SC triggering Take-Over activities. |
| Hardware & Software | MS Office Tools (including MS Project) and PC. |
| Verification | <p>The produced Detailed Take-Over Plan is internally reviewed (technical review by the Team Leader(s) concerned and quality review by the Quality Control) in order to ensure its completeness, accuracy, and clarity, adherence to the project standards, and conformance to document presentation standards and linguistic norms.</p> |

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| Procedure | <p>The definition of the detailed Take-Over plan will start as soon as the Specific Contract is signed between DG TAXUD and XXX. This definition concerns the performance of the following activities:</p> <ul style="list-style-type: none"> • Study & Analysis of all documentation to be provided by DG TAXUD, in order to: <ul style="list-style-type: none"> ○ Identify and analyse Take-Over specific requirements; • Identification of the Involved Actors and their Responsibilities. Based on the results of the previous activity and in close collaboration with DG TAXUD, all actors involved in Take-Over activities will be clearly identified along with their responsibilities. This concerns also the specification of contact persons for these actors, along with their contact details, for making the necessary arrangements for Take-Over; • Identification of Information Sources and Methods for Information Access. All sources of information that may be useful in the context of Take-Over activities will be identified along with the methods that should be applied for accessing information from these sources.; • Definition of Take-Over activities to be performed. This definition includes: <ul style="list-style-type: none"> • Activities for setting-up the XXX project team that will undertake the provision of the requested services and for inducing new members of these teams in the project; • Activities for transferring all project related material, documentation and data to the XXX project team; • Activities for setting-up the infrastructure necessary for the provision of the requested services; • Activities for transferring the business/legal, technical (applications) knowledge, including best practises and techniques, concerned with the specifications, designs, of applications concerned and with support services offered; • Activities for the migration of all project related material into the environment used in the XXX project; • Organisation of the Take-Over Team and assignment of roles and responsibilities to members of this team. The structure of the Take-Over team will be fully defined along with roles and responsibilities for the members of this team; • Definition of interfaces and communication channels with all actors concerned. The interfaces between XXX project team and all actors involved in Take-Over will be fully defined in close collaboration with these actors. The means for communicating and exchanging information in the context of Take-Over activities will be also defined; |
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| | <ul style="list-style-type: none"> • Arrangement of Meetings/Training sessions with/to is performed by actors external to the Project Team involved in Take-Over. Meetings with actors involved in Take-Over will be planned. This includes also clarification meetings with DG TAXUD, Working Committee meetings, technical meetings with other contractors, etc. Similarly, training courses to be conducted by project actors to members of XXX team will be also arranged; • Scheduling of all Activities to be performed. A detailed schedule will be proposed for all activities, meetings, and training courses identified above. Milestones will be defined and delivery dates for specific Take-Over deliverables (both internal to the project team and official ones) will be specified; • Compilation of a Detailed Take-Over Plan. The outcomes of the previous activities will be compiled into a Detailed Take-Over Plan that will be implemented in the context of WP.2.1.1. <p>Delivery of Detailed Take-Over Plan to DG TAXUD for Review and Acceptance. The produced plan will be delivered to DG TAXUD for review and acceptance (Individual Acceptance) in accordance to the T1/T2/T3 formal review cycle defined by DG TAXUD.</p> |
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WP.2.1.1.2 - Taking-over of activities

| Id | WP.2.1.1.2 - Taking-over of activities |
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| Activities | <p>For each Business Thread, ITSM will:</p> <ul style="list-style-type: none"> • Set up the initial organisation, processes and supporting tools; • Build up the knowledge required to provide the services, and in particular the technical support, the business perspective, the application management; • Establish an interface with DG TAXUD A4/CPT, and ensure that adequate coordination and collaboration is put in place with the other project stakeholders (i.e. other contractors, DIGIT/DC); • Take-Over the infrastructure from NCTS Lot 2 (in wave 1) and FITS-TC (wave 2): move the existing infrastructure from the premises of NCTS Lot 2 and FITS-TC into ITSM Data Centre premises, taking full responsibility for the move; • Take-Over the ITSM Tools owned by DG TAXUD, from the current contractors, including the content of their databases and put them in operation. ITSM must ensure that all handed-over data and information are accessible by the tools in order to avoid any loss of historical information; • Transfer all the operational data and historical information (e.g. content of the web site managed by the previous contractors, historical statistical information, call and incident history, document and software libraries...); • Build up the necessary files to be used by XXX in the ITSM Tools as baseline for the Service Support processes (e.g. maintain a detailed record of all the taken-over hardware, software, application, services and documentation configuration items); • Proceeding to the Take-Over phase according to the agreed plan; • Switching over the four IT service management threads according to plan, taking over the full responsibility for the maintenance of all the accepted deliverables and for the performance of the services. <p>At the end of the Take-Over, ITSM will endorse the full responsibility for the taken-over Business Threads. The Take-Over will end once formally accepted by DG TAXUD. This acceptance will entail a bundle acceptance of the following deliverables:</p> <ul style="list-style-type: none"> • Take-Over deliverables; |

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| | <ul style="list-style-type: none"> • Test plan for the Take-Over FAT; • Take-Over FAT report. |
| Results | Deliverable(s) <i>See WP2.1</i> |
| Environmental Activities | Development environment has been set up and operates successfully. |
| Prerequisites | Take-Over plan approved by DG TAXUD. |
| Hardware & Software | MS Office Tools, MS Project, ITSM SMT, ITSM Publishing Platform, ITSM Webportal and applicable (existing) monitoring tools, as well as PC. |
| Verification | <ul style="list-style-type: none"> • Internal Review of the Produced FAT Report. The produced FAT report for the Take-Over will be internally reviewed in terms of its completeness, accuracy, and clarity, adherence to the project standards, and its conformance to document presentation standards and linguistic norms; • Continuous monitoring of the adherence to processes; • Monitoring the completion of the tasks against the plan. |
| Procedure | The procedure is described in WP2.1.1.2 Taking-over of activities and is applicable to WP2.1.2, WP2.1.3, WP2.1.4 and WP2.1.5. |

7.2.2 WP.2.2 - Hand-Over

| Id | WP.2.2 Hand-Over |
|--------------------------|--|
| Activities | The contractor will take all steps required to Hand-Over part or all of its activities to DG TAXUD or to a 3 rd party at the end of the contractor's framework contract, or earlier on request from DG TAXUD. |
| Results | Deliverable(s) <i>DLV2.2.1 Hand-Over plan;</i> <i>DLV2.2.2 Hand-Over FAT;</i> <i>DLV2.2.2.1 Hand-Over FAT;</i> <i>DLV.2.2.2.2 Hand-Over SAT;</i> <i>DLV 2.2.5 Hand-Over report.</i> |
| Environmental Activities | None. |
| Prerequisites | <ul style="list-style-type: none"> • Signature of Specific Contract; • Request for Hand-Over of part or whole of the ITSM activities to DG TAXUD or to a 3rd party. |
| Hardware & Software | All necessary hardware and software needed in relation to the ITSM contract, per Business Thread. |
| Verification | Internal QA and accepted Take-Over Report by DG TAXUD. |

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| Procedure | ITSM will take all steps required to hand-over part or all of its activities to DG TAXUD or to a 3 rd party at the end of the contractor's Framework Contract or earlier upon request from DG TAXUD by executing the agreed Hand-Over Plan. |
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7.2.2.1 WP.2.2.1 – Production of the detailed Hand-Over plan

| Id | WP.2.2.1 – Production of the detailed Hand-Over plan |
|--------------------------|---|
| Activities | ITSM provides a Hand-Over Report to DG TAXUD for review and acceptance at the end of the Hand-Over period. |
| Results | Deliverable(s) |
| | See WP2.2 |
| Environmental Activities | None. |
| Prerequisites | <ul style="list-style-type: none"> • Signature of Specific Contract; • Request for Hand-Over of part or whole of the ITSM activities to DG TAXUD or to a 3rd party. |
| Hardware & Software | MS Office Tools (including MS Project) and PC. |
| Verification | Internal QA and acceptance of the Hand-Over plan by DG TAXUD. |
| Procedure | <p>ITSM will prepare and deliver to DG TAXUD for review and acceptance the detailed Hand-Over plan according to which the Hand-Over activity will be concluded. The plan has to include a detailed break-down of the Hand-Over activities and a detailed time-schedule, as well as the Hand-Over FAT & SAT test plans. The FAT is performed in the ITSM premises before the transfer of assets, and the SAT must take place in the premises of the 3rd parties (nominated by DG TAXUD to Take-Over from the contractor) after assets are fully deployed and knowledge is transferred.</p> <p>The Hand-Over must be managed to allow the taking over party (ies) to take-over the services at no cost and without Quality of Service decrease. ITSM will provide a support service of 3 months to the taking over party as from the successful Hand-Over/Take-Over.</p> |

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7.2.2.2 WP.2.2.2 – Hand-Over of the ICT Infrastructure processes and documentation

| Id | WP.2.2.2 – Hand-Over of the ICT Infrastructure processes and documentation |
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| Activities | ITSM will hand-over to DG TAXUD, or any 3 rd parties on its behalf, the whole of the ITSM services, the whole of the infrastructure owned by DG TAXUD hosted in their premises, the whole of the live and historical data and information supporting the services provided (and in particular the ITSM Tools), the up-to-date version of the ITSM process model in full (including procedures, scripts) the whole of the ITSM Tools and the whole of any other artefact produced by ITSM for the purpose of delivering its services under the terms of the contract, free of any right. The deployment must be planned to avoid regression of services. |
| Results | Deliverable(s) |
| | See WP2.2 |
| Environmental Activities | Training facilities in place including a beamer. |
| Prerequisites | <ul style="list-style-type: none"> • Hand-Over Plan approved by DG TAXUD; • Necessary facilities provided by DG TAXUD, or any 3rd parties on its behalf. |
| Hardware & Software | All necessary hardware and software needed in relation to the ITSM contract, per Business Thread. |
| Verification | Internal QA and performance reports from the trainees. |
| Procedure | <p>ITSM will hand-over to DG TAXUD, or any 3rd parties on its behalf:</p> <ul style="list-style-type: none"> • The whole of the ITSM services; • The whole of the infrastructure owned by DG TAXUD hosted in their premises; • The whole of the live and historical data and information supporting the services provided (and in particular the ITSM Tools); • The up-to-date version of the ITSM process model in full (including procedures, scripts); • The whole of the ITSM Tools; and • The whole of any other artefact produced by ITSM for the purpose of delivering its services under the terms of the contract, free of any right. <p>ITSM is responsible for:</p> <ul style="list-style-type: none"> • The safe moving of DG TAXUD’s infrastructure and applications to places in the EU designated by DG |

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| | <p>TAXUD. The costs of moving safely DG TAXUD hosted assets to these locations are included in the Hand-Over price quoted by ITSM;</p> <ul style="list-style-type: none"> • And to fully deploy it at these locations in order for DG TAXUD, or any 3rd parties nominated by it, to be able to take-over the service provision at no cost. |
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7.2.2.3 WP.2.2.3 – Provision of training and support to a 3rd party

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| Id | WP.2.2.3 – Provision of training and support to a 3rd party |
| Activities | ITSM will provide, on request by DG TAXUD, training, remote/on-site support to DG TAXUD and/or 3 rd parties on its behalf. |
| Results | Deliverable(s) <i>None.</i> |
| Environmental Activities | All necessary environments in place e.g. Data Centre, Service Desk, Training facilities etc. |
| Prerequisites | All relevant staff of the new contractor is appointed and available for training. If remote support is expected necessary (and secured) connections must be in place. |
| Hardware & Software | All necessary hardware and software needed in relation to the ITSM contract. |
| Verification | Internal QA and performance reports from attendees will be used. The level of quality control on this activity will be agreed with DG TAXUD when defining in detail the Hand-Over activities. |
| Procedure | ITSM will provide, on request by DG TAXUD, training, remote/on-site support to DG TAXUD and/or 3 rd parties on its behalf. This activity will also activate services provided under WP.8.3.2. |

7.2.2.4 WP.2.2.4 – “After Hand-Over” support

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| Id | WP.2.2.4 – “After Hand-Over” support |
| Activities | ITSM will provide a support service of 3 months to the taking over party as from the successful Hand-Over/Take-Over. |
| Results | Deliverable(s) <i>None.</i> |
| Environmental Activities | <i>None.</i> |
| Prerequisites | Hand-Over has taken place and all deliverables have been |

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| | handed over and Hand-Over support activities have been approved by DG TAXUD. |
| Hardware & Software | Necessary tools depending on the support requested. |
| Verification | Internal QA and approved Hand-Over by DG TAXUD. |
| Procedure | ITSM will, in agreement with DG TAXUD, provide a planning on the activities taking into account the dependencies and milestones of planning of the next contract. The activities will consist in providing extra days training, shadowing sessions. No procedure exists by now. |

7.2.2.5 WP.2.2.5 – Production of the Hand-Over report

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| Id | WP.2.2.5 – Production of the Hand-Over report |
| Activities | ITSM provides a Hand-Over Report to DG TAXUD for review and acceptance at the end of the Hand-Over period. |
| Results | Deliverable(s) |
| | See WP2.2 |
| Environmental Activities | None. |
| Prerequisites | Hand-Over has been successfully conducted. |
| Hardware & Software | MS Office Tools and PC. |
| Verification | Internal QA and approved Hand-Over Report by DG TAXUD. |
| Procedure | ITSM will provide a Hand-Over report to DG TAXUD for review and acceptance at the end of the Hand-Over activity. No procedure exists by now. |

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7.3 Work Package 7: Application Development

| Id | WP.7 – Application Development |
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| Activities | <p>This Work Package delivers the application components required for the provision of the automated part of the ITSM services to the DG TAXUD and its customers and users. They constitute the applications of the ITSM thread; operation and functional management of the ITSM Tools is within the scope of another Work Package (WP 8.4).</p> <p>The purpose of Application Development is to create, maintain, support and document an ITSM Tools suite that complies with the approved DG TAXUD requirements and specifications and serves the needs of the ITSM Processes.</p> <p>The objectives of Application Development are the following:</p> <ul style="list-style-type: none"> • Be compliant in realisation with all delivered specifications; • Deliver as scheduled; • Deliver high quality products; • Deliver cost effective products; • Be designed to take advantage of COTS packages; • Be able to support the ITSM services for all Business Threads, specifically the ITSM thread; • Comply with the application, infrastructure architectures and frameworks maintained by the Application Management and ICT IM processes, as well as with the DIGIT/DC SMT architecture. <p>This Work Package is dedicated to the delivery of the “tooling” of the ITSM activities by the development of ITSM Tools.</p> |
| Results | <p>Deliverable(s)</p> <ul style="list-style-type: none"> • <i>DLV.7.0 Monthly service report regarding the Application Development activities;</i> • <i>DLV.7.1 Specification deliverables, depending upon the specific RfA:</i> <ul style="list-style-type: none"> ○ <i>Feasibility Studies;</i> ○ <i>SRD;</i> ○ <i>FS;</i> ○ <i>TS;</i> ○ <i>ATS.</i> ○ <i>Business processes models, to be implemented in a future release of this Work Package using the CSIP programme;</i> • <i>DLV.7.2 Deliverables related to Design, Build & Deployment</i> |

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| | <p><i>support and depending upon the specific RfA:</i></p> <ul style="list-style-type: none"> ○ <i>Design documentation, including the System Requirement Overview;</i> ○ <i>Detailed design, including the interface specification with other applications, or references to COTS documentation holding such,</i> ○ <i>Test plan, test cases, test data, test configuration specification, or a test approach in case of the deployment of COTS ITSM Tools,</i> ○ <i>Infrastructure requirements;</i> ○ <i>Documented source code and associated documentation and quality metrics, in case of non-COTS tool deployment;</i> ○ <i>Support documentation and training material addressing infrastructure requirements, installation procedures, user and service provision manual, in case of non-COTS tool deployment;</i> ○ <i>The FAT report and FAT'ed version, submitted for pre-SAT;</i> ○ <i>Training deployment, operation and technical support on the application to be deployed;</i> ○ <i>Problem fixes during pre-SAT;</i> ○ <i>Application & documentation submitted for SAT.</i> |
| Environmental Activities | Deliverables are produced in segregated rooms dedicated to the ITSM Programme. |
| Prerequisites | <ul style="list-style-type: none"> ● DG TAXUD needs are specified: <ul style="list-style-type: none"> ○ Functionalities; ○ Business model; ● Templates for documents to be produced are defined and agreed upon with DG TAXUD during the RfE/RfA cycles; ● A connection to the DG TAXUD ITSM network must be available; ● An account to ITSM Publishing Platform; ● Development and Test environments for ITSM Tools must be available, including working test interfaces/stubs where needed; ● FAT infrastructure hosted at ITSM contractor's data centre; ● Technical support environment must be available; ● Access to the Service Management Tool; ● Access to the Knowledge Management Tool; ● Software licences and a representative set of infrastructure components for development, testing, maintaining and supporting the current available and future ITSM Tools; |

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| | <ul style="list-style-type: none"> • Corrective maintenance applies as from the first w-day it is in production; • A 3 months warranty after installation of the software package. After that period, it is covered by support and maintenance contract; • List of reported faults, with their priority levels. |
| Hardware & Software | <p>Hardware:</p> <p>Workstations for running MS Office Tools.</p> <p>Hardware for ITSM Tools depends.</p> <p>Software:</p> <p>MS Office Tools.</p> <p>Document Management Tool.</p> <p>Service Management tool. The actual software solution choice will depend on the results of the Functional Design study conducted under WP.7.1.</p> |
| Verification | <ul style="list-style-type: none"> • Formal acceptance by DG TAXUD at each release of the deliverables; • Conformance to SQL. |
| Procedure | <p>Procedure description as per Level 1, 2 and 3 is documented in Annex 28 ITSM Application Development [R28].</p> |

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7.4 Work Package 8: IT Service Management

7.4.1 WP.8.1 - Service Support

7.4.1.2 WP.8.1.1 Service Desk

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| Activities | <p>The Service Desk acts as the Single Point Of Contact (SPOC) between service providers and users on a day to day basis. It is also a focal point for reporting incidents, for information and Service Requests.</p> <p>The Service Desk is described in the ITIL terminology as a function rather than a process. This is the reason why, with the formalism that is being used, only the level one diagram has been developed.</p> |
| Results | <p><i>Deliverables:</i></p> <p><i>DLV.8.1.1.1 Translation from one source language to 2 other languages, amongst DE, EN and FR.</i></p> |
| Environmental Activities | The SD office space must be operational with security equipment for accessing the place. |
| Prerequisites | <p>First of all, an operational office space must exist with all needed HW, SW and connectivity (adequate PCs with e-mail and ITSM SMT configured properly). Incident Management Procedures must be defined and documented. The SDOs must be trained to the Incident Management process and certified through the security equipment for access and registration as authorised operators.</p> <p>The Incident Management Process is triggered with an incident/SR received by the SD from a registered user (SDU).</p> |
| Hardware & Software | The SDOs must have PCs connected to an e-mail server, the ITSM SMT, telephones and fax. |
| Verification | <ul style="list-style-type: none"> • QC on assignment of incidents to the correct categories, priorities, assignees, environment, requestor, status, description ...; • Conformance to SQI; • QC for acknowledgement and resolution time; • Reminder process; • QC on incident handling. |
| Procedure | Procedure description as per Level 1, 2 and 3 is documented in Annex 11 ITSM Service Desk [R11]. |

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7.4.1.3 WP.8.1.2 - Incident Management

| Id | WP.8.1.2 - Incident Management |
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| Activities | <p>The scope of the Incident Management Process is limited to the ITIL purpose of this process; however it also does the classification of incidents on behalf of the Business Thread Management Process and the Service Management Process when applicable. Service Requests (WP.8.1.2.1 – WP.8.1.2.5) are answered by the Demand Management process. Complaints are answered by the Service Level Management process.</p> <p>Therefore the here described Incident Management Process focuses on how to ensure that incidents of type Failure, Service Request and Complaint are properly detected, recorded, correctly handled and followed up.</p> <p>The main input that triggers the Incident Management Process is the reception of a request (in the form of an e-mail, fax, letter, communicator, web page, phone) coming from registered SD users. Sometimes, a request can come from an unregistered user. In that case, SD requests the user to registrate and can go on further with the handling of the incident.</p> <p>The groups of SD Users who can request to be a registered user and are therefore entitled to open such requests, are listed below:</p> <ul style="list-style-type: none"> • Member State National Administration users and IT managers; • Accessing countries users and IT managers; • DG TAXUD users; • Developer teams; • CCN/TC; • Any other 3rd party within ITSM; • QA Contractor; • Any DG TAXUD approved 3rd party. <p>Members of the different ITSM Teams (Service Desk, Application Management, Business Monitoring, ITSM testing, ITSM Infrastructure) are also entitled to open Service Requests (e.g. in case that, during the monitoring activities, the supported applications and CI's do not function as expected).</p> <p>The ITIL definition of an incident is given below:</p> <p style="text-align: center;"><i>“An incident is any event which is not part of the standard operation of a service and which causes, or may cause, an interruption to, or a reduction in, the quality of that service”.</i></p> <p>In addition, any deviation from the expected behaviour of an application, any communication, or inquiry, user request, and</p> |

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| | <p>notification of unavailability or application management report submitted to the SD is considered to be an incident.</p> <p>However, any e-mail or message received by the SD where no action is expected by the SD is archived and does not lead to the registration of an incident. This also includes e-mails where the SD is only in copy (cc).</p> <p>The primary goal of the Incident Management process is to restore normal service operation as quickly as possible and to minimise the adverse impact on business operations, thus ensuring that the agreed upon levels and service quality and availability are maintained. Normal service operation is defined as a service operation within Service Level Agreement (SLA) limits.</p> <p>The objectives of the Incident Management process are the following:</p> <ul style="list-style-type: none"> • To restore normal service as quickly as possible; • To minimise the impact of incidents on the business; • To ensure that incidents are processed consistently and that none remain unanswered; • To direct support resources where most required; • To provide information to the requester that allows support processes to be optimised the number of incidents to be reduced, and management planning to be carried out; • To supply Demand Management and Service Level Management with the proper requests and complaints. <p><u>Incident Statuses</u></p> <p>The possible statuses that an incident can have are shown in the table below:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center;">___Status</th> <th style="text-align: center;">Description</th> </tr> </thead> <tbody> <tr> <td style="vertical-align: top;"> <p>1 Open</p> </td> <td> <p>A Service Request has been created in the ITSM SMT database. An ACK e-mail has been sent to the requested user.</p> <p>The Open status is the initial status given to the incident when it is created in the ITSM SMT. The status of an incident remains "Open" from the ACK e-mail is sent until when it is assigned for resolution.</p> </td> </tr> <tr> <td style="vertical-align: top;"> <p>2 Assigned</p> </td> <td> <p>The SD has assigned this incident to an ITSM internal team for resolution or action e.g., ITSM Application Management, ITSM Business Monitoring, ITSM Testing, ITSM Infrastructure, or the ITSM SD itself. Therefore the whole incident is set to the status Assigned.</p> <p>The Assigned status indicates that the incident is under investigation by an ITSM party (ITSM Incident Resolver), or the SD itself.</p> </td> </tr> <tr> <td style="vertical-align: top;"> <p>3 Assigned to External</p> </td> <td> <p>The SD has assigned the incident's resolution to a party external to ITSM. These parties can include EMCS/DEV, CUST/DEV, FITS/DEV, CCN/TC, DIGIT, DG TAXUD or the NA, QA Contractor.</p> </td> </tr> </tbody> </table> | ___Status | Description | <p>1 Open</p> | <p>A Service Request has been created in the ITSM SMT database. An ACK e-mail has been sent to the requested user.</p> <p>The Open status is the initial status given to the incident when it is created in the ITSM SMT. The status of an incident remains "Open" from the ACK e-mail is sent until when it is assigned for resolution.</p> | <p>2 Assigned</p> | <p>The SD has assigned this incident to an ITSM internal team for resolution or action e.g., ITSM Application Management, ITSM Business Monitoring, ITSM Testing, ITSM Infrastructure, or the ITSM SD itself. Therefore the whole incident is set to the status Assigned.</p> <p>The Assigned status indicates that the incident is under investigation by an ITSM party (ITSM Incident Resolver), or the SD itself.</p> | <p>3 Assigned to External</p> | <p>The SD has assigned the incident's resolution to a party external to ITSM. These parties can include EMCS/DEV, CUST/DEV, FITS/DEV, CCN/TC, DIGIT, DG TAXUD or the NA, QA Contractor.</p> |
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| ___Status | Description | | | | | | | | |
| <p>1 Open</p> | <p>A Service Request has been created in the ITSM SMT database. An ACK e-mail has been sent to the requested user.</p> <p>The Open status is the initial status given to the incident when it is created in the ITSM SMT. The status of an incident remains "Open" from the ACK e-mail is sent until when it is assigned for resolution.</p> | | | | | | | | |
| <p>2 Assigned</p> | <p>The SD has assigned this incident to an ITSM internal team for resolution or action e.g., ITSM Application Management, ITSM Business Monitoring, ITSM Testing, ITSM Infrastructure, or the ITSM SD itself. Therefore the whole incident is set to the status Assigned.</p> <p>The Assigned status indicates that the incident is under investigation by an ITSM party (ITSM Incident Resolver), or the SD itself.</p> | | | | | | | | |
| <p>3 Assigned to External</p> | <p>The SD has assigned the incident's resolution to a party external to ITSM. These parties can include EMCS/DEV, CUST/DEV, FITS/DEV, CCN/TC, DIGIT, DG TAXUD or the NA, QA Contractor.</p> | | | | | | | | |

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| | <p>4 Wait for Info The SD suspends solution and requests additional information for the continuation of the resolution of the incident. While waiting for the requested info, the incident is set to the “Wait for info” status.</p> <p>5 Wait for SOL The solution is promised to be delivered by a 3rd party in next Release or Change. In this status are all incidents awaiting KEL production and solution from external developers. Reminders are sent to external developers either after planned delivery date has passed, or if no delivery has been advised - once a month.</p> <p>6 Solved The resolution has been sent to the issuer and the SD is waiting for confirmation to proceed with the closure of the incident ("Owned" for XXX," Pending" for non-XXX).</p> <p>7 Closed The SD has received a confirmation from the issuer who is satisfied with the solution and the SD closes the incident. Or the SD closes the Incident without the user’s confirmation following the automatic closure procedure which is invoked through the IM 4.2 Closure Reminder procedure.</p> <p style="text-align: center;">Table 7-1: Incident Statuses</p> <p>The resolution time of the incident is the sum of the time intervals the incident remains in the states “<i>Open</i>” and “<i>Assigned</i>”. The time the incident stays in the “<i>Assigned to External</i>”, “<i>Wait for Info</i>”, “<i>Wait for Solution</i>” status does not count in the resolution time. In other words from the elapsed time interval between opening and the time instant where the incident is set in the solved state, the time intervals where the incident stays in the “<i>Wait for Info</i>”, “<i>Assigned to External</i>”, “<i>Wait for Sol</i>” states must be subtracted in order to compute the solution time.</p> |
| Results | Deliverable(s) <i>None.</i> |
| Environmental Activities | The SD office space must be operational with security equipment for accessing the place. |
| Prerequisites | <p>First of all, an operational office space must exist with all needed HW, SW and connectivity (adequate PCs with e-mail and ITSM SMT configured properly). Incident Management procedures must be defined and documented. The SDOs must have been trained to the Incident Management process and certified through the security equipment for access and registration as authorised operators.</p> <p>The Incident Management process is triggered with a request received by the SD from a <i>registered user</i> (the SD Users).</p> |
| Hardware & Software | The SDOs must have PCs connected to an e-mail server, the ITSM SMT, telephones and fax. |
| Verification | <ul style="list-style-type: none"> • QC on assignment of incidents to the correct categories, |

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| | <p>priorities, assignees, environment, requestor;</p> <ul style="list-style-type: none"> • Conformance to SQI; • QC for acknowledgement and resolution time; • Reminder process; • QC on incident handling. |
| Procedure | Procedure description as per Level 1, 2 and 3 is documented in Annex 12 ITSM Incident Management [R12]. |

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WP.8.1.2.1 - Service Request (RfS)

The Service Requests are registered in the ITSM SMT by the SD, using the same procedure than for ITSM Incident Management described here above. Nevertheless, ITSM Demand Management (Annex 26 ITSM Demand Management [R26]) is the process that handles Service Requests.

WP.8.1.2.2 - Conference call/virtual meetings

| Id | WP.8.1.2.2 - Conference call/virtual meetings |
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| Activities | XXX is responsible for organising the event (including agenda as needed), facilitating it and producing minutes within 1 w-day after the end of the event. |
| Results | Deliverable(s) <i>None.</i> |
| Environmental Activities | Office equipment, PC and network connection, proper and working virtual meeting infrastructure (server), connection to the administration module of the infrastructure so that the conference call can be initiated, performed and closed. |
| Prerequisites | Receive a request for a conference call/virtual meeting |
| Hardware & Software | The Service Desk Operators must have PCs connected to an e-mail server the ITSM SMT, telephone and fax for opening and handling the Service Request and a suitable virtual meeting infrastructure to serve the conference call. |
| Verification | <ul style="list-style-type: none"> • QC on Timely opening of the request; • QC on Timely notification of the participants; • Verification that the virtual meeting infrastructure has been configured properly; • Verification that the participants are dialled in; • QC on proper registration of incident. |

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| Procedure | <p>The SD opens an incident of category Service Request for Conference Call/virtual meeting upon the reception of an e-mail or a fax or from a telephone communication where time and the place and the exact number of attendees are specified by the requester.</p> <p>The SD registers and handles the incident as described in Section 7.4.1.3 WP.8.1.2 - Incident Management.</p> <p>The necessary arrangements are made with ITSM Infrastructure to organise the Conference call.</p> <p>As soon as the SD receives confirmation from ITSM Infrastructure that the Conference call has been organised the SD sends the dialling number and the conference code to the participants.</p> <p>The incident is set to status “Wait.Confcall”, until the conference call passes. Then the SD proceeds to automatic closure of the incident unless the requester or ITSM Infrastructure informs the SD that the Conference call will be delayed or postponed.</p> |
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WP.8.1.2.3 - Remote technical support

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| Id | WP.8.1.2.3 - Remote technical support |
| Activities | <p>Remote technical support aims at providing remote support to National Administrations and other remote registered users for:</p> <ul style="list-style-type: none"> • Fixing problems with their infrastructure and applications in place; • Setting up and operating their applications in accordance to DG TAXUD guidelines and specifications. |
| Results | <p>Deliverable(s)</p> <p><i>None.</i></p> |
| Environmental Activities | Office equipment, PC and network connection, access to remote technical software, network connectivity and access to the requester’s infrastructure. |
| Prerequisites | Receive request for remote technical support. |
| Hardware & Software | The Service Desk Operators must have PCs connected to an e-mail server the ITSM SMT, telephone and fax for opening and handling the Service Request and suitable software to serve the support request. |
| Verification | <ul style="list-style-type: none"> • QC on timely opening and registration of the incident; • QC on proper registration of the request. |

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| Procedure | <p>The SD assigns the request to the ITSM Business Thread Manager who is responsible for authorising the request. From that point the incident is under the responsibility of the ITSM Business Thread Manager who will inform the SD of all next planned actions. These actions will be logged in the Service Request and visible on the portal.</p> <p>The approach for the remote support requires of the following activities:</p> <ul style="list-style-type: none"> • Analysis of Request for Support: Upon the receipt of the assignment of the support action, the technical support consultant makes an analysis of the request. In the context of this analysis, clarifications may be requested from the issuer of the request; • Support Preparation (if necessary): Following the analysis of the request, the technical support consultant may need to be trained for the support provision. This activity may involve documentation study, communication with other technical/support staff, and compilation of all the information that will be communicated to the issuer of the request for support; • Support Provision: The technical support consultant provides the requested remote support to the issuer of this request; • Evaluation of Requester's Satisfaction: This activity concerns the verification that the issuer has been satisfied with the support provided. This verification may indicate that additional support has to be provided. The outcome of this evaluation will be used by the CSIP for improvement purposes; • Logging Information: All actions performed for the remote support mission are recorded to the incident following the Incident Management procedure (Section 7.4.1.3WP.8.1.2 - Incident Management). |
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WP.8.1.2.4 - On-site technical support

| Id | WP.8.1.2.4 - On-site technical support |
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| Activities | <p>XXX provides on-site technical support to the NAs or any 3rd party designated by DG TAXUD. The on-site technical support covers, but is not limited to:</p> <ul style="list-style-type: none"> • Set up test and operation environment; • Integrate applications developed by DG TAXUD in the environment of the NA or the 3rd party; • Provide assistance to the NAs in getting their local applications connected on CCN and with other IT services available in the trans-European systems; • Deliver ad hoc training; • Deliver technical advice; • Diagnose and address technical issues; <p>This activity must be closely co-ordinated with the Technical Support process under Application management and ICT IM as it will call for the same expertise and knowledge.</p> <p>For each on-site technical support mission, XXX has to:</p> <ul style="list-style-type: none"> • Provide the agenda⁹; • Prepare the mission material; • Perform during the mission; • Provide the mission report. |
| Results | <p>Deliverable(s)</p> <p><i>None.</i></p> |
| Environmental Activities | Office equipment, PC and network connection for incident registration |
| Prerequisites | Access to support team, receive a request for on site support |
| Hardware & Software | The Service Desk Operators must have PCs connected to an e-mail server the ITSM SMT, telephone and fax for opening and handling the Service. |
| Verification | <ul style="list-style-type: none"> • QC on timely opening and registration of the incident; • QC on proper registration of the request; • QC on agenda, support material and mission report. |

⁹ Please note that no DLV id exist for the agenda, mission material and mission report related to this W.P.

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| Procedure | <p>The SD opens an incident of category “Service Request On-Site Technical Support” upon the reception of an e-mail or a fax or from a telephone communication by an SDU.</p> <p>The SD assigns the request to the related ITSM Business Thread Manager who is responsible for authorising the request.</p> <p>From that point the incident is under the responsibility of the ITSM Business Thread Manager who will inform the SD for all next planned actions. The SD is responsible for logging all the information provided by the involved ITSM teams to the ITSM SMT; management of the request is handled by ITSM Business Thread Management (see Section 7.4.4.1 Business Thread Management).</p> |
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WP.8.1.2.5 - Ad hoc support

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| Id | WP.8.1.2.5 - Ad hoc support |
| Activities | <p>The technical support under Application management and ICT IM processes must provide the necessary delivery/service, only on request of DG TAXUD or after the approval of DG TAXUD.</p> <p>This activity aims at organising, planning and performing on-site or ad hoc support to NAs in accordance with DG TAXUD and/or NAs request. Technical support and ad hoc requests (or missions) can include the following:</p> <ul style="list-style-type: none"> • Set up test and operation environment of an NA; • Integrate applications developed by DG TAXUD in the environment of the NA or a 3rd party; • Provide assistance to the NAs in getting their local applications connected on CCN and with other IT services available in the trans-European systems; • Delivery of ad hoc training; • Delivery of technical advice; • Diagnosis and resolution technical issues; • Extraction of data from NAs application. |
| Results | <p>Deliverable(s)</p> <p><i>None.</i></p> |
| Environmental Activities | Office equipment, PC and network connection for incident registration. |
| Prerequisites | Access to support team, receive a request for on site support. |
| Hardware & | The Service Desk Operators must have PCs connected to an e- |

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| Software | mail server the ITSM SMT, telephone and fax for opening and handling the Service. |
| Verification | <ul style="list-style-type: none"> • QC on timely opening and registration of the incident; • QC on proper performance of the request; • QC on proper registration of the request. |
| Procedure | <p>The following activities are performed for the organisation and performance of missions:</p> <ul style="list-style-type: none"> • Preparation of Mission Agenda: Based on the requests objectives, a mission agenda will be produced. This agenda will describe the on-site technical support mission goals, the activities to be performed, and the name of staff that will carry out the mission along with their roles and responsibilities, and a time-schedule. • Internal Review of Mission Agenda: The produced agenda will be internally reviewed in order to assure its completeness and clarity, adherence to the project standards, and conformance to linguistic norms. • Delivery of Mission Agenda to DG TAXUD and/or NAs: When necessary, the mission agenda will be delivered to DG TAXUD and/or the requesting NAs. Any comments issued on this agenda will be taken into account. • Mission and Mission Material Preparation: This activity concerns all the preparatory activities in order for the mission to be carried out such as, travel arrangements, preparation of presentations, preparations of questionnaires to be used for collecting information related to the national projects, etc. • Internal Review of Material to be used in the Mission: All material that will be produced in the context of the previous activity will be internally reviewed in order to assure its quality. • Delivery of Mission Material to DG TAXUD and/or NAs for Review and Acceptance: When necessary, the produced material that will be used in the context of the mission will be delivered to DG TAXUD and/or the NAs. Any comments issued will be taken into account and any SQI associated with the activity will be calculated and reported under Service Level Management. • Mission Execution: This activity concerns the execution of all activities described in mission agenda. Please note that this part of the activity will be co-ordinated according to the Technical Support process under Application management and ICT IM. |

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| | <ul style="list-style-type: none"> • Mission Evaluation. Following the mission conclusion, the mission results will be evaluated with respect to the mission goals. Additionally, a mission evaluation questionnaire will be sent to the NA that the mission performed to be filled-in. The mission evaluation report that will be produced will compile the mission objectives, agendas and minutes of meetings, the mission results, the evaluation of results, and potential recommendations to DG TAXUD. The outcome of the mission evaluation will be used by CSIP for the future improvement of the on-site support process. |
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7.4.1.4 WP.8.1.3 - Problem Management

| Id | WP.8.1.3 - Problem Management |
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| Activities | <p>Problem Management aims at identifying the root cause of errors in the CIs managed by ITSM in a proactive and reactive way, and to document it to initiate the Change Management.</p> <p>The goal of Problem Management is to minimise the adverse impact of incidents and Problems on the business that are caused by errors within the IT infrastructures, and to prevent recurrence of incidents related to these errors. In order to achieve this goal, Problem management seeks to get to the root cause of Incidents and then initiate actions to improve or correct the situation.</p> <p>The Problem Management process has both reactive and proactive aspects. The reactive aspect is concerned with solving Problems in response to one or more incidents. Proactive Problem Management is concerned with identifying and solving Problems and Known errors before Incidents occurs in the first place.</p> <p>The first activity of Problem Management is Problem Control which deals with the detection, classification and diagnosis of the problems. The goals of this activity are:</p> <ul style="list-style-type: none"> • Find a workaround to enable users to continue working and to ease the job of the Service Desk; • Find the root cause of the problem so that it can be fixed. <p>The second activity of Problem Management is Error Control. Error Control aims at resolving the Problems after their root-cause has been determined. This is done through the creation of RfCs that will aim at fixing the faulty CIs in the infrastructure.</p> <p>The third activity is the proactive detection of problems. This is done through continual trends analysis and periodic consultation of the other process owners and stakeholders.</p> <p>The fourth activity is the monitoring of the resolution of the problems and errors. This activity aims at making sure that</p> |

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| | resources are assigned to investigate problems and resolve errors and that resolution is progressing at the requested speed. |
| Results | <p>Deliverable(s)</p> <p><i>2-Weekly Problem Status Overview</i></p> <p><i>Problem Report after RCA and Solutions Proposal.</i></p> |
| Environmental Activities | The office space where ITSM Problem Management is taking place must be operational with security equipment for accessing the place. |
| Prerequisites | An office space must exist with all needed HW, SW and connectivity (adequate PCs with e-mail and office software configured properly). The Problem Management roles must be familiar with the incident, Change and Configuration management processes. |
| Hardware & Software | The Problem Management roles must have PCs connected to an e-mail server and a telephone, ITSM SMT and ITSM Webportal. Role of Problem Manager must be appointed along with the corresponding team. HW, SW & connectivity (both with DG TAXUD & ITSM) must be in place |
| Verification | <p>The following points can be verified:</p> <ul style="list-style-type: none"> • The logging of problems in the ITSM SMT; • The documentation of known errors in KEL in ITSM Publishing Platform; • The links between incidents and problems in the ITSM SMT; • The links between Errors and RfCs in the ITSM SMT; • The backlog of problems and errors; • The minutes of the problems and errors review. <p>As the process for encoding problem tickets is fully documented in the relevant WP, basic QC on this process can be installed.</p> |
| Procedure | Procedure description as per Level 1, 2 and 3 is documented in Annex 13 ITSM Problem Management [R13]. |

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7.4.1.5 WP.8.1.4 - Configuration Management

| Id | WP.8.1.4 - Configuration Management |
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| Activities | <p>The scope of Configuration Management is to keep track of all CIs under contractual XXX responsibility as defined in the terms of reference and Technical Annex.</p> <p>Configuration Management involves the following activities :</p> <ul style="list-style-type: none"> • CI identification; • CI data maintenance; • CI data control; • CI data report; • CI audit. <p>All CIs data are stored in a CMDB, which hosted in an application called OneCMDB. All the interactions with the CMDB and external processes (e.g. AM, RM, ChM, SEC or Inf) are managed by the ITSM Configuration Manager using scripts and Microsoft Excel spreadsheets.</p> <p>The structures of the templates are defined based on the type CI and/or the type of CI relationships contained within the templates.</p> <p>The types of CIs are the following:</p> <ul style="list-style-type: none"> • Business Thread; • Application; • Hardware; • Software; • User; • Database; • Server; • Document. |
| Results | <p><i>Deliverables:</i></p> <p><i>None.</i></p> |
| Environmental Activities | CoM has an impact on all the business units that use the CMDB data: Inf, AM, RM, ChM, SEC. |
| Prerequisites | The CMDB data model should be defined. |
| Hardware & Software | CMDB is a OneCMDB application. |
| Verification | The verification of the CMDB data is handled through the process CoM 5 – Internal Quality Audit. |
| Procedure | Procedure description as per Level 1, 2 and 3 is documented in Annex 14 ITSM Configuration Management [R14]. |

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7.4.1.6 WP 8.1.5: Change Management

| Id | WP.8.1.5 - Change Management |
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| Activities | <p>The goal of Change Management is “<i>to ensure that standardised methods and procedures are used for efficient and prompt handling of all changes, in order to minimise the impact of Change-related incidents upon service quality, and consequently to improve the day-to-day operations of the organisation</i>”¹⁰.</p> <p>The main activities of the ITSM Change Manager are</p> <ul style="list-style-type: none"> • Filtering changes; • Managing changes and the change process; • Chairing the CAB and CAB/EC; • Reviewing and closing RfCs; • Management reports. |
| Results | <p>RfC Sheet; change lists; FSC; CAB minutes; updated CMDB</p> <p><i>DLV.8.1.5.2.1 - Briefing</i> <i>DLV.8.1.5.2.2 - Agenda</i> <i>DLV.8.1.5.2.3 – Minutes</i> <i>DLV.10.29.x – Excise Release Scope Documents</i> <i>DLV.10.30.x – Excise Change Lists</i> <i>DLV.10.31.x – Excise release Scope Document for Legislative Changes</i></p> |
| Environmental Activities | <p>The office space where ITSM Change Management takes place must be operational with security equipment for accessing the place.</p> |
| Prerequisites | <p>The Prerequisites of change management are:</p> <ul style="list-style-type: none"> • The change management role has to be appointed; • The scope has to be set; • Available e-mail connectivity to receive Change Requests; • Effective communications channels to all RfC stakeholders; • Access to a tool to register and maintain the change request. <p>The required inputs are RfCs, CMDB and forward Schedule of Changes (FSC).</p> |

¹⁰ See book Service Support, OGC, 2000, p.165.

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| | <ul style="list-style-type: none"> • The Request for Change (RfC) describes the reason, solution and impact of a change; • The Configuration Management Database (CMDB) holds a description and the dependencies of all managed Configuration Items; • The Forward Schedule of Change (FSC) is a list of all approved open RfCs specifying the build delivery and implementation date of the changes. |
| Hardware & Software | <p>The ITSM Change Manager must have PCs connected to an e-mail server and a telephone. The tools used are:</p> <ul style="list-style-type: none"> • Excel (RfC Template; Change list); • Access (RfC Database); • Word (minutes, change list, reports); • JIRA, the ITSM action tracking tool. • ITSM SMT. |
| Verification | <p>The CAB minutes can be used to verify the change lists if all CAB comments and decisions have been implemented. The outputs of the change management process that can be verified are:</p> <ul style="list-style-type: none"> • The change lists, revealing the classification and evaluation results; • The actions lists tracking the tasks related to the RfCs; • The minutes of the CAB. |
| Procedure | <p>Procedure description as per Level 1, 2 and 3 is documented in Annex 15 ITSM Change Management [R15].</p> |

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7.4.1.7 WP.8.1.6 - Release Management

| Id | WP.8.1.6 - Release Management |
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| Activities | <p>Release Management activities aim at controlling the way changes are put in production. The process makes sure that:</p> <ul style="list-style-type: none"> • Only approved, tested and documented Configuration Items are deployed in production; • Users are properly informed and trained. <p>This involves the following activities:</p> <ul style="list-style-type: none"> • Plan Release: The ITSM Release Manager groups authorised changes into releases and plan their deployment into production by coordinating the work of ITSM Infrastructure Management, ITSM Application Management and DG TAXUD parties (DIGIT, CCN/TC, Dev-teams ...). <p>He/she nominates the person who will play the role of ITSM Release Project Manager for the Release.</p> • Receive Release: The ITSM Release Project Manager checks if the release delivery is documented, consistent and complete. He makes sure that the DSL and the CMDB are updated. • Perform Kick-off meeting: The ITSM Release Project Manager discusses all deployment tasks and responsibilities with all actors during the Kick-off meeting. Please note that this is only applicable to major releases or new applications. • Accept Release: The ITSM Release Project Manager verifies the test reports if all test have been run successfully. (Qualification, preSAT, SAT). • Authorise Installation: The ITSM Release Project Manager gets the authorisation from DG TAXUD to deploy the release in production. • Install Release: The ITSM Release Project Manager prepares the notification, initiates the installation, assesses the installation report and publishes the successful installation or initiates the roll-back plan. |
| Results | Deliverables |

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| | <i>None.</i> |
| Environmental Activities | The office space where ITSM Release Management is taking place must be operational with security equipment for accessing the place. |
| Prerequisites | <p>An office space must exist with all needed HW, SW and connectivity (adequate PCs with e-mail and office software configured properly). The ITSM Release Management roles must be familiar with the Change and Application Management processes.</p> <p>The ITSM Release Manager must have access to the Definitive Software Library (DSL). The DSL is a secure location on the ITSM file server, in which the authorised versions of all software CIs are stored. It contains the master copies of all controlled software. The DSL is maintained by ITSM Infrastructure. The ITSM Release Manager must also have access to the Operational Document Library (ODL) which are documents housed in CIRCA and ITSM Publishing Platform.</p> |
| Hardware & Software | The ISTM Release Management roles must have PCs connected to an e-mail server and a telephone. |
| Verification | <p>The following points can be verified the:</p> <ul style="list-style-type: none"> • Deployment Documents on CIRCA; • Release Plan on CIRCA; • Test reports (DQR, preSAT, SAT on CIRCA); • Content of the DSL server. <p>These items are under the control of the ITSM Release Manager who is responsible to check their quality before releasing them. The Deployment Documents and the Test reports are project deliverables and subject to the document review cycle. Thus the documents are checked by all stakeholders of the release process. The Release Manager can check the completeness of the DSL/ODL by means of the Release Note.</p> |
| Procedure | Procedure description as per Level 1, 2 and 3 is documented in Annex 16 ITSM Release Management [R16]. |

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7.4.2 WP.8.2 - Service Delivery

7.4.2.1 WP.8.2.1 - Service Level Management (SLM)

| Id | WP.8.2.1 – Service Level Management |
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| Activities | <p>The Service Level Management process ensures that Service related agreements are properly negotiated, communicated and followed up upon.</p> <p>The SLM Service Requests are requested and recorded via the following channels:</p> <ul style="list-style-type: none"> • The Service Catalogue website on the ITSM Webportal; • The ITSM Service Level Manager; • The ITSM Service Desk (SD); and • The ITSM Business Thread Manager(s). <p>The purpose of recording requests is to ensure that traceability, responsibility and reporting can be provided. It also enables quantity tracking and most importantly follow-up of the requests.</p> <p>The goal of Service Level Management is to agree, continuously monitor and report upon IT service achievements, and to instigate actions to improve service, in line with business or cost justification. Through these methods, an effective relationship between DG TAXUD and National Administrations (NAs) can be developed, leading to improved IT service quality.</p> <p>This framework process covers activities related to Service Level Management including the monthly MPR/MSR. Management of the “Terms of Collaboration” (ToC) is managed by the Business Perspective process, however in very close relationship with Service Level Management. The following Service Level Management activities are defined:</p> <ul style="list-style-type: none"> • SLM Maintenance; • Create and maintain agreements; • SLA Monitoring & Escalation; • MPR/MSR; • SLM Service Reviews. <p>Service Level Management is the drafting, agreeing, monitoring and reporting on Service Level Agreements (SLAs) and Operational Level Agreements (OLAs), and the ongoing reviewing of service achievements to obtain a gradual improvement in IT service quality. SLAs provide the basis for managing the relationship between DG TAXUD and National Administrations (NAs).</p> |

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| | <p>SLM has to systematically monitor and report the quality of the services:</p> <ul style="list-style-type: none"> • Delivered by XXX to DG TAXUD and its users and monitor their compliance with the contractual OLA and applicable SLA; • Supplied by the other suppliers of DG TAXUD (other contractors, DG TAXUD itself, 3rd parties, NAs) to XXX, and monitor their compliance with the applicable OLAs and Terms of Collaboration when available; • Exchanged amongst the NAs and DG TAXUD, under the monitoring of the ITSM contractor, and monitor their compliance with the applicable Terms of Collaborations (or equivalent) when available. <p>In case of exceptions, XXX has to notify DG TAXUD. When the responsibility of XXX is engaged, XXX must initiate the necessary corrective and preventive actions in order to restore quality back to the agreed and acceptable levels.</p> <p>The contractor has to deliver integrated service reports (integrating the contribution of all other processes involved in ITSM) along with relevant statistics and exception reports:</p> <ul style="list-style-type: none"> • On a monthly basis, through the Monthly Service Report (MSR) attached to the MPR; • On a multi-month basis, on request from DG TAXUD (3 to 5 requests per year); • On an annual basis. <p>SLM will also be responsible to produce and maintain:</p> <ul style="list-style-type: none"> • The Service Catalogues on which SLAs and ToCs are built; • The contractual OLA between DG TAXUD and XXX • The “hosted infrastructure” OLA; • The SLAs between DG TAXUD and its customers/users. |
| Results | <p>Deliverable(s)</p> <ul style="list-style-type: none"> • <i>DLV.8.2.1.2 Service Report, including exceptions:</i> <ul style="list-style-type: none"> ○ <i>Service from DG TAXUD per customer/user community within each Business Thread and ITSM thread against SLAs (WP.8.2.1.2);</i> ○ <i>Service provided by 3rd parties, per Business Thread and ITSM thread as appropriate, against OLAs (WP.8.2.1.3);</i> ○ <i>Service provided by XXX, per Business Thread and ITSM thread as applicable against contractual OLA (WP.8.2.1.1);</i> ○ <i>Service exchanged amongst NAs and Commission across the Common Domain, per Business Thread and</i> |

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| | <p><i>ITSM thread, against Terms of Collaboration (WP.8.2.1.4);</i></p> <ul style="list-style-type: none"> • <i>DLV.8.2.1.1.1 Contractual OLA, including also the “hosted infrastructure” OLA, addressing all taken over Business Threads and the ITSM thread, as a part of CQP;</i> • <i>DLV.8.2.1.1.2 Evolutive maintenance of the Contractual OLA, including also the “hosted infrastructure” OLA, with evolution of content under the management of the CSIP;</i> • <i>DLV.8.2.1.2.1 Harmonised & converged Service Catalogues & SLAs, per customer/user community across all taken over Business Threads and ITSM thread;</i> • <i>Split delivery according to the taken over threads;</i> • <i>DLV.8.2.1.2.2 Evolutive maintenance of the Service Catalogues & SLAs, per customer/user community across all Business Threads and ITSM thread, with evolution of content under the management of the CSIP.</i> |
| Environmental Activities | The office space where ITSM/Service Level Management is taking place must be operational with security equipment for accessing the place. |
| Prerequisites | Service Level Management procedures must be defined and documented. The ITSM Service Level Manager and MPR/MSR roles must have been trained to the Service Level Management (and to some extent Business Perspective for ToC) processes. |
| Hardware & Software | The Service Level Management roles must have PCs connected to an e-mail server as well as having a telephone and fax. |
| Verification | <ul style="list-style-type: none"> • QC on SLA, OLA, Service Catalogue and ToC by ensuring correct templates are used, documents are consistent and SLA and OLA correspond with each other to described services and expectations; • Conformance to SQI QC for MPR/MSR. |
| Procedure | Procedure description as per Level 1, 2 and 3 is documented in Annex 17 ITSM Service Level Management [R17]. |

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7.4.3 WP.8.2 - Service Delivery

7.4.3.1 WP.8.2.2 - Capacity Management

| Id | WP.8.2.2 - Capacity Management |
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| Activities | <p>CAP is the process responsible for ensuring that the capacity of IT services and the IT infrastructure is able to deliver agreed service level targets in a cost effective and timely manner. CAP considers all resources required to deliver the IT service, and plans for short, medium and long-term business requirements.</p> <p>A key success factor in managing capacity is ensuring that it is considered during the application and infrastructure design, as well as in the development stage. CAP therefore offers direct support to the development of new and changed services by providing sizing and modelling of services.</p> <p>CAP initiates ongoing improvements to IT service capacity and performance by:</p> <ul style="list-style-type: none"> • Delivering recommendations and management information plans and reports; • Monitoring and controlling IT services. <p>The CDB (Capacity Management Database) stores and maintains the capacity data. The capacity activities use the CDB to create and maintain relevant capacity data such as collected performance and capacity data of IT services and IT resources. Currently the CDB is an Excel sheet gradually being filled in, where the number of CCN messages can be found about the business flows and IT resources utilisation. Forecast will be calculated on this information and stored into this sheet. CAP uses a wide range of information to determine capacity requirements such as:</p> <ul style="list-style-type: none"> • Business events calendar (key dates for critical capacity and performance) as mentioned in the ITOP and the MCP; • FSCs including maintenance plans for planned outages (and the release calendar); • Performance and capacity related incidents and problems, based on services and resources reviews received from support, monitoring and SLM; • Resolved problems related to performance and capacity; • Implemented and closed changes and releases reported by Change Management via the post-implementation (e.g. new systems, upgrades, ...); • Service level requirements related to continuity, performance and capacity SQL. <p>The following information are recommended for future Capacity Management also, but are not yet available:</p> |

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| | <ul style="list-style-type: none"> • Business demand forecasts (volumes; number of locations, users, transactions, anticipated workloads ...) and business plans (currently on best effort basis, formalised procedure with BP still to be put in place). <p>The current and expected business requirements for services have to be understood in terms of what the business will need to enable it to deliver to its customers. Business predictions and workload estimates are documented and translated into specific capacity requirements.</p> <p>However, as the translation from business events to business transactions and from business transactions to IT transactions is not fully understood yet, the capacity data cannot be accurately interpreted to result in a final overall capacity requirement recommendation.</p> <p>CAP produces a number of “deliverables” and information needed for other processes such as:</p> <ul style="list-style-type: none"> • Capacity and performance data (collected by monitoring activities and progressively registered in the CDB); • Capacity data and forecasts stored in the Capacity Database; • Capacity Plans; • Capacity reports (service and resource based reports enclosed in the MSRs); • Events (capacity and performance related events such as threshold exceptions) based upon monitoring which may result into an incident to be logged; • Documented performance and capacity requirements and objectives (related to Service Level Management, according to the SQI definition); • Recommended changes (for performance tuning activities; capacity improvements, e.g. leading to installation of additional resources) under control of ChM (Change Management); • Identified capacity and performance related problems reported in MSRs (e.g. bottlenecks) which will be handled by PM (Problem Management). <p>The following deliverables are recommended for future Capacity Management also, but are not yet available:</p> <ul style="list-style-type: none"> • Capacity review reports (periodic review and comparison of the actual usage of IT resources against the forecast and current Capacity Plan). • The Capacity Plan documents the actual performance of the infrastructure, expected requirements and recommendations. It must be reviewed periodically, taking into account the rate of change in services and service volumes, information in the ChM reports, capacity incidents and customer business. |
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| | <p>The goal of the CAP process is to ensure that cost justifiable IT capacity always exists and that it matches the current and future identified needs of the business. The objective therefore is to ensure that the service provider has, at all times, sufficient capacity to meet the current and future agreed demands of customer business needs.</p> <p>The purpose of CAP is to:</p> <ul style="list-style-type: none"> • Provide a point of focus and management for all capacity and performance related issues, both for services and resources; • Match the capacity of IT to the agreed business demands; • Ensure that the sufficient capacity exists to support new services and solutions considering the advance in new technology (for example to introduce new technologies improving capacity and performance of IT services). Employing a CAP process helps to ensure adequate funding so that new capacity can be implemented when needed. <p>The objectives of CAP are to:</p> <ul style="list-style-type: none"> • Produce and maintain an appropriate and up-to-date Capacity Plan, which reflects the current and future needs of the business; • Provide advice and guidance to all other areas of the business and IT on capacity and performance related issues; • Ensure that service performance achievements meet or exceed all of their agreed performance targets, by managing the performance and capacity of both resources and services; • Assist in the identification, diagnosis and resolution of performance and capacity related incidents and problems (described in the “IM2.1 Investigate and Diagnose, see Annex 12: ITSM Incident Management [R12]; and “PM1.4 Investigate & Diagnose Problem” procedures, see Annex 13: ITSM Problem Management [R13]); • Assess the impact of all changes on the Capacity Plan, and the impact of changes on the performance and capacity utilisation of IT services and resources (described in the ChM process); • Ensure that proactive measures are identified to improve the performance of services (and underlying resources); • Ensure that senior IT management is correctly advised on how to match capacity and demand; • Ensure that the existing capacity is used optimally; • Produce regular management reports that include information on the current usage of resources, trends and forecasts. <p>This capacity process encompasses all areas of technology, hardware and software, all IT technology components and environments (e.g. production, development, and test) under control of XXX. CAP also considers the required facilities and space (space planning) for the physical location of IT resources. However, planning of human</p> |
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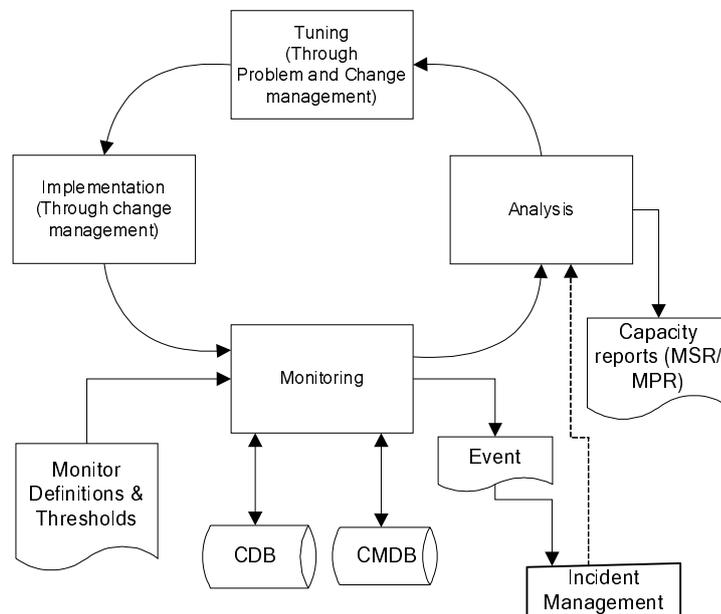
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resource capacity is not part of the scope of this process.

Concerning the NAs, ITSM CAP only has an advisory role and the forecast is created on a best effort basis.

Concerning DIGIT, it must be noted that ITSM (AM, Infra and Monitor) defines monitoring requirements and ITSM Monitoring team asks DIGIT to implement the configuration (process monitoring, log files monitoring, reporting...).

It is important for the CAP to work with other management teams and disciplines. The following diagram illustrates how the continuous capacity monitoring, analysis, tuning and implementation cycle is directly linked into IM, PM and ChM:



These activities are similar for both Service Capacity Management and Resource Capacity Management:

- Monitoring the infrastructure components (resources) is a way to measure and assure that the agreed-upon service levels are achieved;
- Analysis is performed to understand the utilisation and performance of IT resources (CPU, disk spaces, memory utilisation) and to identify trends and bottlenecks;
- Tuning aims at a better use of system resources or performance improvement of a particular resource by identifying steps to be taken that will optimise the system for the current or anticipated workload. CAP initiates optimisation (tuning) activities that are executed under control of ChM;
- Implementing the changed or new capacity requirements that were

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| | <p>identified during the monitoring, analysis, and optimisation activities. Implementation is executed under control of ChM. This means that the actual optimisation and implementation activities are not executed and described within the CAP process, but are controlled by the ChM process.</p> <p>Upon request (Artefacts review), ITSM also participates in review tasks of X-Dev deliverables. All information regarding capacity should be retrieved by ITSM across these documents and commented upon.</p> <p>CAP operates in close collaboration with a large amount of processes such as Business Perspective, Change Management, Availability Management, Service Level Management, Application Management and ICT Infrastructure Management.</p> <p>This involvement of CAP roles is not directly shown in the CAP process itself but is described as part of the activities and procedures defined for these related processes.</p> <p>Examples of the involvement of CAP in other processes are:</p> <ul style="list-style-type: none"> • For ICT Infrastructure Management: CAP is involved in the assessment of new technologies and their relevance to the organisation in terms of performance and cost; • For ChM: CAP is represented on the CAB, assessing and authorising changes; • For IM and PM: CAP is informed about capacity related incidents and problems; • For IT Service Continuity Management: CAP is involved in the formalisation of the Continuity Plan to ensure available capacity; • For Availability Management: CAP is involved in availability planning to analyse the impact on the capacity of IT resources. |
| Results | <p>Deliverable(s)</p> <ul style="list-style-type: none"> • <i>DLV.8.2.2.2 Monthly Service Report – Capacity statistics;</i> • <i>DLV.8.2.2.1.1 Capacity Plan for Commission IT services, addressing all taken over business threads and the ITSM thread;</i> • <i>DLV.8.2.2.1.2 Evolutive version of the Capacity Plan for Commission IT services under the management of the CSIP;</i> • <i>DLV.8.2.2.2.1 Capacity Plan for the trans-European IT services, addressing all the taken over business threads and ITSM thread, including review cycle with the NAs;</i> • <i>DLV.8.2.2.2.2 Evolutive maintenance of the Capacity Plan for the trans-European IT services, under management of the CSIP, including review cycle with the NAs.</i> |
| Location - Conectivity - | <p>Deliverables are produced in segregated rooms dedicated to the ITSM project.</p> |

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| Requirements | <p>A connection to DG TAXUD ITSM network must be available.</p> <p>Connection to systems to monitor must be available for monitoring software.</p> |
| Prerequisites | <p>Network access to the monitored systems.</p> <p>Access on computers, network addresses plan.</p> <p>Template defined for the Capacity Plan.</p> |
| Hardware & Software | <p>Hardware:</p> <ul style="list-style-type: none"> • Workstation for writing the MSR and the Capacity Plan. <p>Software:</p> <ul style="list-style-type: none"> • MS Office Tools for writing the MSR and the Capacity Plan; • CCN Queue Browser. <p>Monitoring software:</p> <ul style="list-style-type: none"> • SCOM (“System Centre Operations Manager”) from Microsoft, at ITSM contractor premises; • Nagios; • “BMC Patrol” (from DIGIT). |
| Verification | <ul style="list-style-type: none"> • Check that there are events arriving at the supervision consoles within ITSM, or e-mails are arriving in the Functional Mailbox for monitoring; • Internal QC and review cycle with DG TAXUD for the formal deliverables (MSR and Capacity Plans); • Conformance to SQL. |
| Procedure | <p>Procedure description as per Level 1, 2 and 3 is documented in Annex 18 ITSM Capacity Management [R18].</p> |

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WP.8.2.3 - IT Service Continuity Management (ITSCM)

| Id | WP.8.2.3 – Service Continuity Management |
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| Activities | <p>This process addresses the preparation, implementation, invocation and maintenance of disaster recovery measures for IT services and their supporting components. It takes care of planning and coordinating the technical, financial and management resources, needed to ensure continuity of service after a disaster.</p> <p>The primary goal of ITSCM is to support the overall Business Continuity Management (BCM) process in case of disaster. This is done by ensuring the necessary ongoing recovery capability for the IT services, as contracted by the DG TAXUD.</p> <p>As technology is a core component of most business processes, continued or high availability of IT is critical to the functioning of the business as a whole. This is achieved by the introduction of a DRP per taken over business thread. Preparation, creation and implementation of a DRP are tasks with operational, financial, procedural and technical implications. This involves the commitment of senior management and support of all ITSM stakeholders.</p> <p>Ongoing maintenance and regular testing of the recovery capability is essential for keeping it effective. The purpose of ITSCM is to maintain the necessary ongoing recovery capability within the IT services and their supporting components.</p> <p>To that purpose, ITSM aims to pursue the following objectives:</p> <ul style="list-style-type: none"> • Maintain a set of IT DRPs that support the overall BCP of DG TAXUD; • Define specific ICT Infrastructure design requirements for technical implementation of the specific recovery measures required; • Define and implement procedures and related organisational measures to maintain the defined service recoverability and to initiate and execute the related DRPs when specific conditions are met; • Conduct regular tests of the recovery plans and procedures, in conjunction with Availability Management and Security Management; • Assess the impact of all changes on the IT Service Continuity Plans and IT recovery plans; • Negotiate and agree the necessary contracts with maintenance, location, facilities and support suppliers for the provision of the necessary recovery capability to support all DRPs; • Report on all ITSM related issues on a regular basis. |

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| | <p>ITSCM focuses on those events that are considered significant enough to be a disaster. Less significant events will be dealt with as part of the Incident Management and Availability Management processes.</p> <p>ITSCM does not cover minor technical faults nor longer-term risks such as those from changes in business direction, diversification, restructuring, major competitor failure, ...</p> <p>Since the ITSCM process is in the phase of first being defined, discussions have taken place with DG TAXUD to agree upon scope reduction. The result is that information in this document covers the ongoing definition of a Disaster Recovery Plan (DRP) and the sub-processes that will follow for implementation, invocation and operation of the DRP. The definition phase includes a deployment planning in line with the CSIP.</p> <p>When the words “per business thread” appears in the procedures text (as well as in the diagrams of Section 6), it is meant that it concerns the CIs (or group of CIs) supporting a business thread.</p> |
| <ul style="list-style-type: none"> • <i>Results</i> | <ul style="list-style-type: none"> • <i>Deliverable(s)</i> • <i>DLV.8.2.3.2 - Reporting on IT Service Continuity Management;</i> • <i>DLV.8.2.3.1.1 - IT Service Continuity Plan for the Commission IT services, Disaster Recovery Plan (DRP), addressing all the taken over business threads and the ITSM thread, including a deployment planning in line with the CSIP;</i> • <i>DLV.8.2.3.1.2 - Evolutive maintenance of the IT Service Continuity Plan for the Commission IT services, under management of the CSIP;</i> • <i>DLV.8.2.3.1.4.x - Testing of the IT Service Continuity Plan for the Commission IT services:</i> • <i>Plan, test plan (x=1);</i> • <i>Prepare;</i> • <i>Manage and co-ordinate;</i> • <i>Test report (x=2).</i> • <i>DLV.8.2.3.2.1 - IT Service Continuity Plan for the trans-European IT services, Disaster Recovery Plan (DRP), addressing all the taken over business threads and ITSM thread, including a deployment planning in line with the CSIP, including review cycle with the NAs;</i> • <i>DLV.8.2.3.2.2 - Evolutive maintenance of the IT Service Continuity Plan for the trans-European IT services, under management of the CSIP, including review cycle with the NAs;</i> |

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| | <ul style="list-style-type: none"> • <i>DLV.8.2.3.2.4.x - Testing of the IT Service Continuity Plan for the trans-European IT services:</i> • <i>Plan, test plan (x=1);</i> • <i>Prepare;</i> • <i>Manage and co-ordinate;</i> • <i>Test report (x=2).</i> |
| Environmental Activities | Deliverables are produced in segregated rooms dedicated to the ITSM project. |
| Prerequisites | <ul style="list-style-type: none"> • Business Continuity Plan received from DG TAXUD; • Template defined for the DRP. |
| Hardware & Software | Workstations with Office software. |
| Verification | <ul style="list-style-type: none"> • Internal QC and review cycle with DG TAXUD for the formal deliverables (MSR and Availability Plans); • Conformance to SQL. |
| Procedures | Procedure description as per Level 1, 2 and 3 is documented in Annex 19 ITSM IT Service Continuity Management [R19]. |

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7.4.3.2 WP.8.2.4 - Availability Management

| Id | WP.8.2.4 - Availability Management |
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| Activities | <p>Availability Management is the process responsible for defining, analysing, planning, measuring and improving all aspects of the availability of IT services. Availability Management is responsible for ensuring that all IT Infrastructure, processes, tools and roles are appropriate for the agreed service level targets for availability.</p> <p>Availability is determined by reliability, maintainability and serviceability. Availability is usually calculated as a percentage of downtime versus the Agreed Service Time.</p> <div data-bbox="539 831 1302 1106" data-label="Diagram"> <p>The diagram illustrates the components of Availability. At the top is a box for 'Availability: Ability of a Configuration Item or IT Service to perform its agreed Function when required (often defined as a percentage of the agreed service hours for which component or service has been available)'. Below this are three boxes: 'Reliability: The capability of an IT component to perform a required function under stated condition for a stated period of time.', 'Maintainability: Ability to restore services or components back to normal operation.', and 'Serviceability: Availability of IT components provided by external organisation supplying and maintaining this components as agreed.'. At the bottom are three boxes: 'IT Infrastructure architectural design concepts, (resilience (redundancy) etc)', 'Support Organisation capability and maturity', and 'Underpinning contracts (service level management)'. Arrows point from the bottom boxes up to the middle boxes, and from the middle boxes up to the top Availability box.</p> </div> <p style="text-align: center;">Figure 7-2: Availability specification factors</p> <p>The goal of the Availability Management process is to optimise the capability of the IT infrastructure and services and to support DG TAXUD and the NAs in delivering a cost effective and sustained level of availability.</p> <p>This is achieved by determining the availability requirements (cfr.SQIs) and comparing these with the capability of the IT infrastructure and supporting organisation. When there is a disparity between the requirements and the infrastructure capability, Availability Management ensures that the appropriate alternatives are provided to DG TAXUD and the NAs.</p> <p>The objectives of the Availability Management process are to:</p> <ul style="list-style-type: none"> • Ensure IT services are designed to deliver the levels of availability required by the business; • Provide a range of IT availability reporting to ensure that the agreed levels of availability are measured and monitored on a permanent basis; • Optimise the availability of the IT infrastructure; • Deliver cost effective improvements that deliver tangible benefits |

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| | <p>to DG TAXUD and the NAs;</p> <ul style="list-style-type: none"> • Achieve a reduction in the frequency and duration of incidents that impact IT infrastructure and service availability (actions from 3rd Parties can be required in some cases); • Ensure that shortcomings in IT availability are recognised and that appropriate corrective actions are identified and followed-up; • Create and maintain forward-looking Availability Plans. <p>Availability Management considers all aspects of the IT infrastructure and supporting organisation that may affect availability. This includes training, skills, policy, process effectiveness, procedures and tools.</p> <p>Currently, the list of monitored CIs is based upon a pragmatic approach, where the list of relevant CIs to be monitored is synchronised (manually) with the list of CIs present in the ITSM SMT-tool and direct input from DG TAXUD A4/CPT and DG TAXUD A4/ISD.</p> <p>When new IT services are being developed, it is essential that Availability Management take an early participating role in determining the availability requirements.</p> <p>A large amount of Availability Management related activities are covered in other processes such as:</p> <ul style="list-style-type: none"> • Capturing availability requirements of the business for a new or enhanced IT service: through the Business Thread Manager and, Service Level Manager primarily. Input from Application Management, ICT Infrastructure Management, Availability Management, Capacity Management and Change Management may be required; • Defining the targets for availability, reliability and maintainability for the Commission IT Services (and infrastructure components) through Service Level Management, Availability Management and ICT Infrastructure Management; • Investigating the underlying reasons and causes of unacceptable availability through Problem Management¹¹; • Detecting unavailability incidents through Availability Management; • Resolving unavailability incidents: Incident Management, Application Management and/or ICT Infrastructure Management; • Planning and publishing scheduled unavailability through Change Management and communicated by the Central Service Desk. <p>Availability Management is not responsible for Continuity Management and the resumption of business processing after a major disaster: this is the responsibility of ITSCM (IT Service Continuity Management) - but it does provide key inputs to ITSCM.</p> |
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¹¹ The Problem Management implementation is ongoing.

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| | All unavailability occurrences (both scheduled and unscheduled) for Commission IT Services ¹² and Trans-European Systems ¹³ are reported on a monthly basis within the MSR. |
| Results | <p>Deliverable(s)</p> <ul style="list-style-type: none"> • <i>DLV.8.2.4.2 Monthly Service Report - Availability/ Reliability/ Maintainability/ Serviceability statistics;</i> • <i>DLV.8.2.4.1.1 Availability Plan for Commission IT services, addressing all taken over threads and the ITSM thread;</i> • <i>DLV.8.2.4.1.2 Evolutive version of the Availability Plan for Commission IT services;</i> • <i>DLV.8.2.4.2.1 Availability Plan for the trans-European IT services, per thread (taken over business threads and ITSM thread), including review cycle with the NAs;</i> • <i>DLV.8.2.4.2.2 Evolutive version of the Availability Plan for the trans-European IT services, including review cycle with the NAs.</i> |
| Environmental Activities | All activities are executed in a segregated and secured area dedicated to the ITSM project. |
| Prerequisites | <p>A connection to the network of ITSM and 3rd Parties (DIGIT, CCN/TC's network) must be available.</p> <p>Please note that:</p> <p>The DIGIT monitoring tool (BMC Patrol) is under DIGIT's responsibility and control; ITSM does not have access to this DIGIT monitoring tool.</p> <p>Changes to the monitoring configuration may be requested via a Request for Service (RfS) request to DIGIT (via the ITSM Service Desk).</p> <p>Information about the implemented monitored items in BMC Patrol may be requested via a Request for Information (RfI) request to DIGIT (via the ITSM Service Desk)</p> <p>No or limited reporting is provided to ITSM.</p> |
| Hardware & Software | <p>MS Office Tools:</p> <ul style="list-style-type: none"> • Ms Outlook for communication purposes; • Ms Excel for analysis and reporting purposes. <p>Monitoring hardware:</p> |

¹² See DLV 8.2.4.2 AVA/SQI24a reporting packages includes 'avdb' file with all scheduled and unscheduled unavailabilities for Commission IT Services (in the applicable month).

¹³ Implementation in progress for Trans-European Systems scheduled and unscheduled unavailabilities.

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| | <ul style="list-style-type: none"> • Windows 2003 Server VM for SCOM 2007; • Windows 2003 Server VM for ‘Host Monitor 2’ and ‘PRTG Traffic Grapher’; • Windows 2003 Server VM ‘srvccn’ for Tivoli Monitoring; • Physical desktop PC for ‘Host Monitor 1’ with VPN connection to DIGIT’s network. <p>Monitoring software:</p> <ul style="list-style-type: none"> • Advanced KS-Host Monitor (two instances at ITSM Monitor premises) for monitoring of publicly accessible, ITSM hosted and DIGIT hosted web applications; • BMC Patrol and BMC TMART (at DIGIT premises) for monitoring of DIGIT hosted systems and web applications hosted at DIGIT; • Microsoft SCOM (at ITSM Monitor premises) for infrastructure and “Microsoft” monitoring (Windows Server, Ms Exchange); • PRTG Traffic Grapher (at ITSM Monitor premises) for network availability and capacity monitoring; • Tivoli Monitoring (at ITSM Monitor premises) for CCN/TC dead letter queue monitoring; • VIES Monitoring (at ITSM Monitor premises) for MSA VIES service monitoring; • VIES on Web Monitoring (at DIGIT premises) (equivalent for VIES/Web); • Monitoring SEEDv1 (two instances at DIGIT premises; Production and Conformance); • BEA WebLogic Server Console(s) (multiple instances at DIGIT premises) to monitor the JVM memory usage of WebLogic Managed Servers. |
| Verification | <ul style="list-style-type: none"> • Internal QC and review cycle with DG TAXUD for the formal deliverable MSR and DG TAXUD A4/CPT and A4/ISD for the formal deliverable Availability Plans; • Respect of the SLAs, as reported in the MPR document; • Conformance to SQI; • Unavailability incidents; • Events from monitoring; • Application related data; • Information from 3rd Parties. |
| Procedure | Procedure description as per Level 1, 2 and 3 is documented in Annex 20 ITSM Availability Management [R20]. |

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7.4.4 WP.8.3 - The Business Perspective

| Id | WP.8.3 – Business Perspective |
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| Activities | <p>The Business Perspective (BP) process ensures that requests for services are properly executed once recorded via Business Thread Management.</p> <p>The BP Service Requests are requested and recorded via the following channels:</p> <ul style="list-style-type: none"> • Service Catalogue website on the ITSM Webportal; • ITSM Service Level Manager; • ITSM Service Desk (SD); • ITSM Business Thread Manager(s). <p>This framework process covers activities related to Business Perspective including Business Thread Management. Due to its importance and size, the Business Thread Management process is described in the FQP under the process Business Thread Management. Business Perspective executes many of the Service Requests initiated via Business Thread Management. Typical Business Perspective activities would include:</p> <ul style="list-style-type: none"> • Business Monitoring & Reporting; • Periodic Surveys NAs; • Business Liaison; • System & Application Planning; • Management of Terms Of Collaboration (ToC); • (Business Thread Management). <p>The purpose of recording BP Service Requests is to ensure that traceability, responsibility, and reporting can be provided. It also enables quantity tracking and most importantly follow-up of the requests. The BP Service Requests are dispatched and followed up by the ITSM Business Thread Manager(s). It is the responsibility of the ITSM Business Thread Manager(s) to track, forecast, communicate and coordinate all BP activities with the relevant ITSM service providers.</p> <p>Business Perspective (BP) is comprised of a group of people that serve as liaisons between DG TAXUD and ITSM. Its processes and disciplines dictate interaction methods and contact points between the two groups. The people on the BP team understand the business, know their goals and future direction, and work to further build up business knowledge to assist in future decisions and roadmaps for the various Business Threads.</p> <p>The implementation of Business Perspective within DG TAXUD is slightly different from the standard process described in the ITIL Framework.</p> |

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| | <p>The Business Perspective process will be restricted to:</p> <ul style="list-style-type: none"> • Business relationship management; • Liaison with all relevant stakeholders; • Planning; • Management of the Terms of Collaboration in the common domain and recommendations to the NAs. <p>The Business relationship management is hereafter restricted to business oriented reporting and periodic survey. Activities will be reported in the MPR and relevant statistics and exceptions in the MSR (via Service Level Management).</p> |
| Results | <p>Deliverable(s)</p> <ul style="list-style-type: none"> • <i>DLV.8.3.2.3.- SMM agenda;</i> • <i>DLV.8.3.2.4.1-Coordination Mission – Preparation of material;</i> • <i>DLV.8.3.2.4.2-Coordination Mission – Agenda;</i> • <i>DLV.8.3.2.4.3-Mission- Briefing;</i> • <i>DLV.8.3.2.4.4-Mission – Report and evaluation;</i> • <i>DLV.8.3.2.5.1- Training/workshop - Preparation material;</i> • <i>DLV.8.3.2.5.2-Training/workshop – Agenda;</i> • <i>DLV.8.3.2.5.3-Training/workshop – Briefing;</i> • <i>DLV.8.3.2.5.4-Training/workshop - Evaluation and report;</i> • <i>DLV.8.3.3.1-Demonstration – Agenda;</i> • <i>DLV.8.3.3.2-Demonstration – Briefing;</i> • <i>DLV.8.3.3.3-Demonstration - Evaluation and Report;</i> • <i>DLV.8.3.4.1.2-Monthly Consolidated Master Plan</i> • <i>DLV.8.3.4.1.3-“roll out” operational planning (alias Start Up Guide(SUG)), including review cycle with the NAs;</i> • <i>DLV.8.3.4.2.1-Progress and Status Reporting;</i> • <i>DLV.8.3.5.1.1-Terms of Collaboration, per trans-European system, addressing all taken over Business Threads and ITSM Thread, including review cycle with the NAs.</i> • <i>Split delivery according to the taken over Business Threads.</i> • <i>DLV.8.3.5.1.2-Evolutive version of the Terms of Collaboration,</i> |

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| | <ul style="list-style-type: none"> • <i>including review cycle with the NAs;</i> • <i>DLV.8.3.5.2.1-Recommendations to the NAs, addressing all taken over Business Threads and ITSM Thread, including review cycle with the NAs.</i> • <i>DLV.8.3.5.2.2-Evolutive version of the recommendations, including review cycle with the NAs.</i> |
| Environmental Activities | The office space where ITSM/Business Perspective is taking place must be operational with security equipment for accessing the place. |
| Prerequisites | First of all, an operational office space must exist with all needed HW, SW and connectivity (adequate PCs with e-mail and office software configured properly). Before any requests can be processed they must first have been properly registered in the ITSM SMT and JIRA tool. |
| Hardware & Software | The Business Perspective roles must have PCs connected to an e-mail server, telephone and fax. Additionally they need to have JIRA installed and appropriate user account set up. |
| Verification | <ul style="list-style-type: none"> • ITSM SMT Service Request exists; • Appropriate plans exist; • JIRA Service Request exists. |
| Procedure | Procedure description as per Level 1, 2 and 3 is documented in Annex 25 ITSM Business Perspective Management [R25]. |

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7.4.4.1 Business Thread Management

| Id | WP.8.3 – Business Perspective/Business Thread Management |
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| Activities | <p>The Primary role of Business Thread Management is to liaise with the TAXUD Business Threads for the capture of requests for services and the communication of their implementation status.</p> <p>The ITSM Business Thread Manager(s) are the demand management agents that facilitate and ensure the formal capture of the request for services in the form required by the Demand Management process. The purpose of recording requests for services and/or deliverables is to ensure that traceability, responsibility, and reporting can be provided. It also enables quantity tracking and most importantly follow-up of the requests.</p> <p>The activities of the ITSM Business Thread Managers in the context of Demand Management are described in the Demand Management section.</p> <p>The ITSM Business Thread Manager(s) is the main representative of ITSM in the planning and operation status meetings gathering TAXUD, the ITSM service delivery representatives and 3rd party representatives (developers). The ITSM Business Thread Manager(s) organises the delivery of ITSM planning and operational status information by the ITSM service delivery teams and the distribution of resulting meeting actions within ITSM.</p> <p>The ITSM Business Thread Manager(s) have the overall view of all Service Requests and their statuses. The Business Thread Management has the global view of which services can be requested and to whom they need to be dispatched. The Business Thread Management is able to notify the necessary ITSM service providers (Application Management, Testing, Business Monitoring, Business Perspective, etc.) of impending workloads (based on Service Requests, Deliverable Tracking Matrix and Global Planning etc.). It is the responsibility of the Business Thread Management to track, forecast, communicate and coordinate all request activities (but not to execute or</p> |

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| | <p>manage the project management activities) with the relevant ITSM service providers. Business Thread Management “manages” the demands from the customer’s perspective – much like “<i>I requested this service ... where are we at?</i>” Hence it is different from incident management which is handled by Service Desk.</p> <p>The Business Thread Management also ensures the optimal execution of Service Requests managed by Business Perspective.</p> <p>The ITSM Business Thread Manager(s) establishes himself/herself as the key person for explaining, communicating and coordinating ITSM Request for Services with the officials of DG TAXUD. He/she is an exceptional communicator and attains a thorough in-depth knowledge of DG TAXUD business objectives, organisational structure, key stakeholders, an understanding of stakeholders’ needs, and above all an understanding of the ITSM Terms of Reference of the ITSM Framework contract [A1]). It is essential that the ITSM Business Thread Manager(s) are aware at all times of the status of a Service Request and that they can provide immediate and timely information to DG TAXUD.</p> <p>The ITSM Business Thread Manager(s) is aware of TAXUD’s business objectives and challenges and ensures that the business priorities are taken into account at the level of the ITSM service delivery teams. For this purpose the Business Thread Manager attends important meetings with the Member States to stay informed of the TAXUD business thread commitments to the trans-European system user communities.</p> <p>Note: ALL Service Requests MUST be routed via the relevant Business Thread Manager. If unclear, the request gets routed to the ITSM Business Perspective Manager. This to ensure that the Business Thread Manager have full control of requests affecting his/her Business Thread.</p> |
| Results | <p>Deliverable(s)</p> <p>See FQP Business Perspective process. All necessary deliverables are described in that overall process (Section 7.4.4</p> <p>WP.8.3 - The Business Perspective</p> <p>WP.8.3 - The Business Perspective).</p> |
| Environmental Activities | <p>The office space where ITSM/Business Thread Management is taking place must be operational with security equipment for accessing the place.</p> |
| Prerequisites | <p>First of all, an operational office space must exist with all needed HW, SW and connectivity (adequate PCs with e-mail</p> |

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| | and office software configured properly). |
| Hardware & Software | The Business Thread Management roles must have PCs connected to an e-mail server, telephone and fax. Additionally they need to have JIRA collaboration tool installed as well as ITSM SMT in order to check consistency and appropriate user account set up as well as ITSM SMT Tool in order to check consistency. |
| Verification | <ul style="list-style-type: none"> ITSM SMT Service Request exists; JIRA Service Request exists. |
| Procedure | The procedures for BTM are further documented in Annex 25 ITSM Business Perspective Management [R25] and Annex 26 ITSM Demand Management [R26]. |

7.4.5 WP.8.4 - Application Management (extended to include trans-European systems)

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| Id | WP.8.4 - Application Management |
| Activities | <p>The Application Management overall process is traditionally represented as follows:</p> <pre> graph TD subgraph "Application Management" R[Requirements] --> D[Design] D --> B[Build] B --> De[Deploy] De --> O[Operate] O --> Opt[Optimise] Opt --> R end </pre> <p>Figure 7-3: AM overall process</p> <p>The present Work Package covers the Service Management Phases of the figure above; the Application Development phases are handled by DG TAXUD and/or ITSM Application Development (under WP.7 Application Development).</p> <p>The activities linked to the Deploy box in the figure above are</p> |

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| | <p>the following:</p> <ul style="list-style-type: none"> • Perform the Technical Reviews of the artefacts (AM.1); • Prepare and coordinate the planning of the various deployment operations (AM.2); • Conduct the deployments of new software, new versions and patches (AM.3); • Run the Conformance Testing for software that involves the National Administrations (CT). <p>Note: The on-demand technical support activities are not covered here. They are handled as L2 incidents.</p> <p>The Operate activity covers the day to day operation of the applications managed by ITSM (AM.5).</p> <p>The Optimise activity consists of providing advice and suggestions through the MSR on optimisations that could be implemented on the application frameworks (AM.4).</p> <p>The scope of Application Management is all the applications to be managed by ITSM to deliver the required services; it also includes all trans-European systems that ITSM is responsible to service.</p> <p>Application Management processes need to ensure that:</p> <ul style="list-style-type: none"> • The quality expectations are met during Deployment operations. That includes the starting date of the IT service to be supported by the application/system being deployed. (see AM.1, AM.2, AM.3, CT) • Day to day operation of applications is effective (see AM.5 Operation). • Suggestions for optimisation of applications are made so that current or future developments generate optimal value for the customer (see AM.4). |
| Results | <p>Deliverable(s)</p> <p><i>DLV.8.4.1 MSR regarding AM</i></p> <p><i>DLV.8.4.1.1.1 Application Trans-European system architecture</i></p> <p><i>DLV.8.4.1.1.2 Application Trans-European system architecture(evolution)</i></p> <p><i>DLV.8.4.2.2.1 Technical review reports of artefacts submitted for review, containing the list of review comments</i></p> <p><i>DLV.8.4.3.1.1.3.x Pre-SAT</i></p> |

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| | <ul style="list-style-type: none"> • <i>Environment acceptance report (x=1)</i> • <i>Daily preSAT report to DG TAXUD (x=2)</i> • <i>preSAT report (x=3)</i> <p><i>DLV.8.4.3.1.1.4.x SAT</i></p> <ul style="list-style-type: none"> • <i>Environment acceptance report (x=1)</i> • <i>Daily SAT report (x=2)</i> • <i>SAT report /Minutes of the end of SAT meeting (x=3)</i> <p><i>DLV.8.4.3.1.1.5 Qualification Report</i> <i>DLV.8.4.3.1.2.2.x Conformance Test</i></p> <ul style="list-style-type: none"> • <i>Pre-Conformance test report per NA pre-CT (x=1)</i> • <i>Conformance test report per NA CT (x=2)</i> • <i>Conformance test campaign report (x=3)</i> • <i>Conformance Test organisation (x=4)</i> • <i>Conformant Test Time Table (x=5)</i> <p><i>DLV.8.4.3.1.1.6 Addendum to Test plan and test specification</i> <i>DLV.8.4.3.4.2 Proposal for Applications & systems improvements via the MPR/MSR.</i> <i>DLV.10.4 Factsheets for reviews</i> <i>DLV.10.5.1 Installation Plans</i> <i>DLV.10.5.2 Installation Reports</i></p> |
| Environmental Activities | The office space where ITSM Application Management is taking place must be operational with security equipment for accessing the place. |
| Prerequisites | An office space must exist with all needed HW, SW and connectivity (adequate PCs with e-mail and office software configured properly). Procedures must be defined and documented (working procedures are on the ITSM Publishing Platform and in a common repository on ITSM network). The Application Management roles must be familiar with all ITSM processes. |
| Hardware & Software | The Application Management roles must have PCs connected to an e-mail server and a telephone. |
| Verification | <p>The Detailed Operational Planning is monitored on a weekly basis by the ITSM AM Manager.</p> <p>The document deliverables (preSAT, SAT, DQR reports, environment acceptance and installation reports) are reviewed internally by the ITSM AM Staff & Quality insurance engineer before their distribution outside the AM perimeter.</p> |
| Procedure | Procedure description as per Level 1, 2 and 3 is documented in Annex 22 ITSM Application Management [R22]. |

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7.4.6 WP.8.4.3.1.2b Conformance Testing (CT)

| Id | WP.8.4.3.1.2 – Conformance Testing |
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| Activities | <p>Conformance Testing is a sub-process within the Application Management process. The Conformance Testing sub-process ensures that CT Campaigns are properly recorded, communicated, analysed, executed, reported and followed up.</p> <p>The CT Service Requests are requested and recorded via the following channels:</p> <ul style="list-style-type: none"> • Service Catalogue website on the ITSM DG TAXUD Portal, • ITSM Business Perspective Manager, • ITSM Service Desk (SD) and • ITSM Business Thread Manager(s). <p>The purpose of recording CT Campaign Service Requests is to ensure that traceability, responsibility and reporting can be provided. It also enables quantity tracking and most importantly follow-up of the requests.</p> <p>The primary goal of Conformance Testing is to obtain a technical assurance that the NA is ready to enter the trans-European System without risk of disturbing the parties already in operation on the system. The life cycle in which the conformance fits, is of three successive steps;</p> <ul style="list-style-type: none"> • Local Conformance Test (mode 1): the NA tests its compliance against itself, without implication of the ITSM organisation; • Conformance Test (mode 2): the NA tests its compliance against the Conformance Testing environment of DG TAXUD, under the management of the ITSM organisation; • International Conformance Test (mode 3): the NA tests its conformance against other voluntary NAs, with the support of the ITSM organisation if required. This 3rd test is optional. <p>Note: There are some slight differences between the different Business Threads when it comes to carrying out the actual testing e.g. it is not all Business Threads that are conducting pre-Conformance Test (mode 2).</p> <p>This framework process covers activities related to Conformance Testing only, other types of testing are not part of this scope. Typical Conformance Testing activities would include:</p> <ul style="list-style-type: none"> • Plan & close CT Campaign; |

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| | <ul style="list-style-type: none"> • Conduct Local CT (mode 1); • Conduct CT (mode 2 pre-CT & CT); • Conduct International CT (mode 3); • Reporting & QA. <p>The overall coordination, follow-up and support for the three Testing modes are part of the deployment process to be performed by the ITSM Campaign Coordinator. For Conformance Testing, the ITSM Campaign Coordinator verifies the technical compliance of the national applications against the applicable technical system specifications, using a Conformance Testing Protocol delivered by the Application Development party responsible for specifying the system.</p> <p><u>Experience suggests that the Conformance Test is of 4 categories:</u></p> <ul style="list-style-type: none"> • Category 1: checking the connectivity to a Web application; • Category 2: checking the compliance of file format; • Category 3: checking the compliance of an application to a light request/response protocol and message structure; • Category 4: checking the compliance of an application to a complex conversational protocol and message structure. <p>Both the ITSM Business Thread Manager(s) and ITSM Campaign Coordinator will have the overall view of all CT Campaigns and their statuses. The Business Perspective will have the global view of which CT Campaign services can be requested and to whom they need to be dispatched. The ITSM Campaign Coordinator will be able to notify the necessary ITSM service providers (Application Management, Service Desk, Business Perspective etc.) of impending workloads (based on CT related Service Requests, Deliverable Tracking Matrix, Global Planning etc.). It is the responsibility of the ITSM Campaign Coordinator to track, forecast, communicate and coordinate all CT Campaign activities with the relevant ITSM service providers, DG TAXUD and NAs.</p> |
| Results | <p>Deliverable(s)</p> <ul style="list-style-type: none"> • <i>DLV.8.4.3.1.2.2.x Conformance Test;</i> <ul style="list-style-type: none"> ○ <i>Pre-Conformance test report per NA pre-CT (x=1);</i> ○ <i>Conformance test report per NA CT (x=2);</i> ○ <i>Conformance test campaign report (x=3);</i> • <i>DLV.8.4.3.1.2.2.4 & DLV.10.1 Conformance Testing Organisation document (CTO);</i> • <i>DLV.8.4.3.1.2.2.5 & DLV.10.1 Conformance Testing Time Table (CTTT).</i> |

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| Environmental Activities | The office space where Conformance Testing is taking place must be operational with security equipment for accessing the place. In some cases the testing might take place in a secured Data Centre. |
| Prerequisites | First of all, an operational office space must exist with all needed HW, SW and connectivity (adequate PCs with e-mail and office software configured properly). Conformance Testing procedures must be defined and documented. The Conformance Testing roles must also work in close collaboration with Application Management, Release Management and Change Management processes, and of course the NAs. |
| Hardware & Software | The Conformance Testing roles must have PCs connected to an e-mail server, telephone and fax. For CT Testers appropriate equipment is needed as well depending on the Conformance Testing carried out. |
| Verification | During the CT Campaign there is a QA process running in parallel carried out by the QA Contractor on behalf of DG TAXUD. This process is not described in this document. |
| Procedure | Procedure description as per Level 1, 2 and 3 is documented in Annex 23 ITSM Conformance Testing [R23]. |

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7.4.7 WP.8.5 - Security Management

| Id | WP.8.5 – Security Management |
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| Activities | <p>Security Procedures and Guidelines</p> <p>The ITSM Project Direction sets a clear direction and demonstrates their support and commitment to information security through the issue of formally agreed and documented security procedures and guidelines throughout the ITSM project. The goal of the security procedures and guidelines is to provide ITSM with management direction and support for information security. This includes:</p> <ul style="list-style-type: none"> • Establishment of security awareness among all major roles involved in the specifications, design, implementation and usage of ITSM; • Guidance on suitable conduct for the persons covering security related roles and responsibilities on ITSM; • Definition of security requirements covered by countermeasures to potentially identified threats and vulnerabilities (which trigger security risks). <p>IT systems and personnel within the XXX Consortium are expected to comply with security procedures and guidelines. The security measures shall be compliant with existing safeguards at DG TAXUD for the context being considered.</p> <p>Key Points to Successful Implementation of Information Security</p> <p>The successful implementation of information security within ITSM depends on a number of factors, including:</p> <ul style="list-style-type: none"> • Security objectives and activities being based on business objectives; • An approach to implement security that is consistent with the organisational culture; • Visible support and commitment from the ITSM Project Direction; • A good understanding of the security requirements and risks; • Effective awareness of security to all ITSM team members; • Distribution of comprehensive guidance on security to all ITSM team members; • Appropriate training and education; • The implementation of an effective Information Security Management Process. <p>Following the acceptance of the security procedures and guidelines by the ITSM Project Direction, these procedures and guidelines become applicable to the ISTM project.</p> |

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Purpose of the Security Procedures and Guidelines

The data and information systems that support DG TAXUD's mission are highly important assets that play an essential role in maintaining its operational effectiveness, legal compliance and reputation. Information Security is concerned with safeguarding these assets against unnecessary or unacceptable risk.

Information Security is far more than IT security: it aims to protect information, regardless of whether it exists in electronic or physical form via layered defences of physical, procedural, personnel and technical countermeasures. Because of this wide scope, the ISO 27002 Information Security standard partitions the topic into ten areas of concern (known as control domains).

Security procedures and guidelines (based on TEMPO – Information Security Policy [A4] in order to be compliant) are a public statement of the objectives and principles via which ITSM commits to protect information assets. They identify standards for the provision and use of ITSM information systems. These standards are drawn from applicable COM decisions and DG TAXUD specific controls: the latter having been collated into the TEMPO Security Reference Manual provides traceability to specific policies, guidelines and procedures, which together enable ITSM to meet its stated information security objectives.

Scope of the Security Procedures and Guidelines

These documents cover the security aspects applicable to all CIs managed by XXX in the frame of the ITSM contract, among others Trans-European IT systems/applications under DG TAXUD responsibility.

Risk Management

Risk Management is the engine that makes security work. It is carried out with ISO/IEC 27005 as guidance, and consists of the following activities that are carried out by ITSM Security Management in cooperation with DG TAXUD A3 LISO:

- Context establishment;
- Risk assessment;
- Risk treatment;
- Risk acceptance (responsibility of DG TAXUD business owners);
- Risk monitoring and review.

Context Establishment

ITSM Security Management shall develop risk evaluation criteria for evaluating DG TAXUD's information security risk considering the following:

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| | <ul style="list-style-type: none"> • The criticality of the information assets involved, based on DG TAXUD’s Data, Process and System Classification Policy; • Legal and regulatory requirements, and contractual obligations such as SLAs; • DG TAXUD’s expectations and negative consequences for reputation. <p>ITSM Security Management shall also propose risk acceptance criteria, which may include requirements for future additional treatment, e.g., a risk may be accepted if there is approval and commitment to take action to reduce it to an acceptable level within a defined time period.</p> <p><u>Risk Assessment</u></p> <p>Risks are identified and qualitatively described, and prioritised against risk evaluation criteria and objectives relevant to ITSM. Risk assessment consists of the following activities:</p> <ul style="list-style-type: none"> • Risk analysis, which comprises: <ul style="list-style-type: none"> ○ Risk identification; ○ Risk estimation; • Risk evaluation. <p>Risk assessment determines the value of the information assets, identifies the applicable threats and vulnerabilities that exist (or could exist), identifies the existing controls and their effect on the risk identified, determines the potential consequences and finally prioritises the derived risks and ranks them against the risk evaluation criteria set in the context establishment.</p> <p><u>Risk Analysis</u></p> <p>Risk identification – The purpose of risk identification is to determine what could happen to cause a potential loss, and to gain insight into how, where and why the loss might happen. The steps are:</p> <ul style="list-style-type: none"> • Identification of assets – An asset is anything that has value within ITSM and that, therefore, requires protection. ITSM assets are: the information ITSM manages on behalf of DG TAXUD, and the IT services/application delivered to NAs. This step provides a list of assets to be risk-managed; • Identification of threats – Provide a list of threats with the identification of threat type and source. The high level IT security risks faced by the IT services delivered by ITSM on behalf of the Commission (as specified in the technical annex of the ITT) will be used as a guide; • Identification of existing controls – Existing and planned controls are identified. This provides a list of all existing and planned controls, their implementation and usage status; • Identification of vulnerabilities – This provides a list of |
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| | <p>vulnerabilities in relation to assets, threats and controls;</p> <ul style="list-style-type: none"> • Identification of consequences – The consequences that losses of confidentiality, integrity and availability may have on the assets are identified. The output is a list of incident scenarios with their consequences related to assets and business processes. <p>Risk estimation – Qualitative estimation will be used for the ITSM Programme: it uses a scale of qualifying attributes (e.g., “low”, “medium”, “high”) to describe the magnitude of potential consequences and the likelihood that those consequences will occur. The steps are:</p> <ul style="list-style-type: none"> • Assessment of consequences – The business impact upon DG TAXUD that might result from possible or actual information security incidents will be assessed, taking into account the consequences of a breach of information security such as loss of confidentiality, integrity or availability of the assets. The output is a list of assessed consequences of an incident scenario expressed with respect to assets; • Assessment of incident likelihood – The likelihood of the incident scenarios will be assessed. The output is the likelihood of incident scenarios; • Level of risk estimation – The level of risk will be estimated for relevant incident scenarios. The output is a list of risks with value levels assigned. <p><u>Risk Evaluation</u></p> <p>Risk evaluation is based on an attack scenario causing a threat, which uses a vulnerability, which, in turn, creates an impact on one of the assets. Levels of risks are compared against risk evaluation criteria and risk acceptance criteria. This step results in a sorted list of risks.</p> <p><u>Risk Treatment</u></p> <p>The evaluation of risks leads to immediate reporting/action for very high risks, and to risk acceptance for very low risks. A risk treatment plan is defined, e.g.:</p> <ul style="list-style-type: none"> • Risk Reduction – The level of risk is reduced through the selection of controls so that the residual risk can be reassessed as being acceptable; • Risk Avoidance – The activity or condition that gives rise to the particular risk is avoided; • Risk Transfer – The risk is transferred to another party that can most effectively manage the particular risk depending on risk evaluation. <p><u>Risk Acceptance</u></p> <p>The decision to accept the risks and responsibilities for the decision shall be made by DG TAXUD business owners and</p> |
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formally recorded.

Security Baseline

This section contains baseline security measures, which are the minimal set of security measures. The baseline will be extended by the controls identified and developed as a result of the Risk Management activity described above.

Security Principles

XXX develops their own security procedures and guidelines that are compliant with DG TAXUD's policy and that implements the principles outlined in the next subsections. XXX maintains their security procedures and guidelines according to the processes described in [R21].

Awareness

ITSM has identified awareness as a critical success factor in the smooth operation of security management by XXX.

All employees shall be made aware of their obligations regarding information security through awareness training. All team leaders are responsible for ensuring compliance with security procedures and guidelines within their team.

Staff in any doubt about how to comply with security procedures and guidelines shall discuss the matter with their superior or the ITSM Security Manager.

Response and Incident Handling

Incident handling refers to the response by a person or organisation to a threat. An organised and careful reaction to an incident can make the difference between complete recovery and total disaster.

Privacy

The exact scope or nature of collection, processing, etc. of personal data by ITSM shall be aligned with the DG TAXUD's declaration to the Data Protection Officer (DPO). This declaration was done in the frame of the Regulation (EC) N° 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data.

Applications

E-mail: ITSM uses Microsoft Exchange e-mail system, offering an Outlook client interface. Users shall never use private mailboxes for ITSM related activities. Consortium's e-mail architecture shall include antivirus and file extension controls. Access to Exchange is available to authorised users only from the ITSM intranet. ITSM shall block access to

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| | <p>external e-mail accounts at the SMTP and POP3 protocol level to prevent by-passing anti-spam and antivirus e-mail filters.</p> <p>Portals and Collaboration Tools: ITSM use the ITSM Webportal as the internal and external workgroup collaboration tool. External access to the portal environments is achieved via the DMZ architecture.</p> <p><u>Defence in Depth</u></p> <p>ITSM employs a system and workstation defence-in-depth security protection strategy. Elements that support this include Standards, Managed Antivirus, Managed Personal Firewall, Patch management, and hardening.</p> <p>Standards: ITSM owned Personal Computers (PCs) and multi-user Microsoft Windows and UNIX variant servers utilise Commercial of the Shelf (COTS) hardware. Installed software complies with licensing and legal requirements;</p> <p>Managed Antivirus: XXX's owned PCs and multi-user Microsoft Windows servers have active up-to-date antivirus definitions. XXX companies configure the antivirus software such that whenever the PC or multi-user Microsoft Windows servers receive or access a file, it is scanned before being used;</p> <p>Hardening: To protect information systems and the information they store and process, ITSM's IT systems are properly hardened to recognised best practices;</p> <p>To protect ITSM information, the XXX's owned multi-user Microsoft Windows servers have a non-removable property tag.</p> <p><u>Multi-User Systems</u></p> <p>ITSM defines a multi-user system as a computer with an operating system that supports two or more simultaneous users.</p> <p>Windows Servers: A Windows server is a multi-user system that utilises the Microsoft Windows operating system, which by design supports two or more simultaneous users. ITSM uses multi-processor devices that may implement multiple instances of Windows servers. The Consortium also operates virtual Windows servers on these devices;</p> <p>UNIX Variants: A UNIX variant is a multi-user system that utilises the UNIX operating system, which by design supports two or more simultaneous users. There are many variants of UNIX available from a number of companies. Some like Linux are open-standard and others are proprietary. The primary UNIX variants in use within the Consortium can be AIX, Solaris, and Linux versions.</p> |
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Network

ITSM

The ITSM infrastructure in the XXX Consortium's sites connects to the XXX Telecom centre using a VPN through Internet. To optimise the required bandwidth, all users in the ITSM sites use specific virtual workstations running in the XXX Data centre. The traffic from the virtual workstations to the servers hosted in the XXX Data centre travels on a Local Area Network – the ITSM internal network – and only the display goes through the Wide Area Network (VPN through Internet).

Security features:

- Access to IT resources is protected by a personal user login and password mechanism;
- The connection over Internet to XXX Huizingen is protected by an encrypted (IPSec) VPN tunnel via a Juniper firewall/VPN gateway;
- The dedicated ITSM infrastructures in XXX and XXX sites are connected through a dedicated leased line.

Access by National Administrations – On the Customs part of the ITSM project, an application used for Conformance Testing (called TTA) is accessed by the National Administrations.

Security features:

- The TTA application is a terminal-based application running on a Bull AIX Server; the National Administration connects to this server through a Secure Shell (SSH) connection;
- The SSH keys are generated on the ITSM site and provided to the National Administration during the Conformance Testing mission.

Access

XXX develops their own security procedures that are compliant with DG TAXUD's User Access Management policy and password policy.

Authentication: ITSM governs access to resources by user name identification and password authentication.

Administrative Accounts: A limited number of administrators have separate administrative accounts with elevated access privileges. ITSM requires that password complexity and longevity are more stringent for these accounts. Additionally, ITSM requires that these administrators use these administrative accounts only for administrative tasks.

Account Lockouts: ITSM's applications and infrastructure systems automatically lock failed user account logons that

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| | <p>exceed limits. Users unable to logon may contact the ITSM Service Desk and identify themselves to have their accounts unlocked.</p> <p>Password Resets: Users that forget their passwords can contact the ITSM Service Desk to have their passwords reset.</p> <p>Authorisation: ITSM applications shall have differing capabilities for role or username-based access restrictions, transaction and activity logging. ITSM implements access restrictions in accordance with functional owner's requirements.</p> |
| Results | <p>Deliverable(s)</p> <p><i>DLV.8.5.1 – Monthly service report regarding security management</i></p> <p><i>DLV.8.5.3 – Security plan for Commission IT services, addressing also Risk Assessment & Analysis, Security Controls, Security process</i></p> <p><i>DLV.8.5.4 – Evolutive version of the Security plan for Commission IT services</i></p> <p><i>DLV.8.5.5 – Security Plan for the trans-European IT services, per thread including also Risk Assessment & Analysis, Security Controls, Security process</i></p> <p><i>DLV.8.5.6 – Evolutive version of the Security Plan for the trans-European IT service</i></p> <p><i>(no DLV) – Security Incident Report</i></p> |
| Environmental Activities | A connection to the ITSM network must be available. |
| Prerequisites | <ul style="list-style-type: none"> • Infrastructure description; • Service Support processes; • Operations processes. |
| Hardware & Software | None. |
| Verification | <p>Internal Review: By ITSM Security Manager, CSIP Manager and QA/QC.</p> <p>External review: By DG TAXUD A3/LISO.</p> |
| Procedures | Procedure description as per Level 1, 2 and 3 is documented in Annex 21 ITSM Security Management [R21]. |

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7.4.8 WP.8.6 - ICT Infrastructure Management

| Id | WP.8.6 – ICT Infrastructure Management |
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| Activities | <p>ICT Infrastructure Management (ICT Inf) processes implement best practice for requirements analysis, planning, design, deployment and ongoing operations management and technical support of the ICT Infrastructure. The Infrastructure Management processes describes all sub-processes that directly relate to the ICT equipment and COTS software that is involved in providing ICT services:</p> <ul style="list-style-type: none"> • ICT Design and Planning (Inf 1 and Inf 2); • ICT Deployment (for both Inf 3 Infrastructure and Inf 4 application deployment); • ICT Operations (for both Inf 5 Hosted and Inf 6 DIGIT infrastructure); • ICT Technical Support (Inf 7). <p>The ICT Inf process is responsible for managing an ICT Infrastructure service through each of the stages in its lifecycle, from requirements, through design, feasibility, development, build, test, deployment, operation and optimisation to retirement. The operation and optimisation stages are the responsibility of the ICT Operations processes. They are responsible for ensuring that all operational events are appropriately managed and all operational service targets are achieved.</p> <p>ICT Design and Planning</p> <p>ICT Design and Planning provides an approach for the Technical Design and Planning of ICT Infrastructures. It includes the necessary combination of Business Perspective, with technical design and architecture. ICT Design and Planning drives the Procurement of new ICT solutions through the production of Statement Of Requirements (SOR).</p> <p>Key Outputs from Design and Planning are:</p> <ul style="list-style-type: none"> • The ICT Architecture (including IT Management Architecture) known as DLV 8.6.1.3.1 and DLV 8.6.1.3.2; • ICT Infrastructure roadmap and implementation plans; • Feasibility studies and SORs (DLV 8.6.1.4); • External processes and procedures (DLV 8.6.1.2.1 and DLV 8.6.1.2.2). <p>The Design and Planning processes are responsible for all strategic issues associated with the running of an ICT function. They liaise with the business regarding future business plans and in consultation with all other areas of the business and IT, develop the plans, architectures and strategies required for the provision of current and future ICT business solutions. Detailed infrastructure designs are</p> |

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| | <p>created by the deployment process following the standard project management approach.</p> <p>The Design sub-process focuses on the architectural design, while the Infrastructure Deployment sub-process produces the detailed ICT Infrastructure designs and support documentation.</p> <p>ICT Deployment Management</p> <p>ICT Deployment covers all the activities for the successful management of design, build, test and roll-out (deploy) projects within an overall ICT programme. It includes many project management disciplines in common with TEMPO, but has a broader focus to include the necessary integration of Release Management, Change Management, Application Management, procurement and both functional and non-functional testing.</p> <p>Deployment is split between two different processes:</p> <ul style="list-style-type: none"> • Deployment of ICT Infrastructure; • Deployment of standard software packages (COTS) from the DSL such as middleware (database, web server components) excluding the custom developed applications from development. <p>Business applications are deployed through the control of the Application Management process.</p> <p>Each deployment follows a standard project management approach through the “Initiation – Planning – Execution (Design, Build, Acceptance test, roll out, Hand-Over) – completion” cycle.</p> <p>Deployment is governed by Change Management and Release Management processes.</p> <p>Deployment is split between ICT Infrastructure Management and Application Management:</p> <ul style="list-style-type: none"> • Hardware: ICT Infrastructure Management; • Standard software (operating systems, databases, middleware): ICT Infrastructure Management; • Other software: Application Management. <p>All deployments are initiated and monitored by the ITSM Change Management.</p> <p>ICT Operations Management</p> <p>ICT Operations Management provides the day-to-day technical supervision of the ICT Infrastructure. Often confused with the role of</p> |
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| | <p>Incident Management from Service Support, Operations is not solely acting on incidents reported by users, but is primarily focused on detecting events (changes of state which has significance for the management of Configuration Item or IT Service) by monitoring the ICT Infrastructure (thus detecting potential incidents as soon as possible). The ICT Operations team often works closely alongside Incident Management and the Service Desk.</p> <p>Operations however primarily work from documented processes and procedures and are concerned with a number of specific sub-processes, such as Output Management, Job Scheduling, Backup and Restore, Network Monitoring/Management, System Monitoring/Management, Database Monitoring/Management and Storage Monitoring/Management. Operations are responsible for:</p> <ul style="list-style-type: none"> • A stable, secure ICT Infrastructure; • A current, up to date Operational Documentation Library ("ODL"); • A log of all operational Events (alerts or notification created by a Monitoring tool); • Operational scripts; • Operational procedures; • Maintain and monitor job schedules (e.g. for backup). <p>ICT Technical Support</p> <p>ICT Technical Support is the specialist technical function for the different ICT Infrastructure technologies managed by ITSM. Primarily as a support to other processes, both in Infrastructure Management and Service Management, Technical Support provides a number of specialist functions:</p> <ul style="list-style-type: none"> • Research and evaluation (e.g. identifying technology updates); • Proof of concept and pilot engineering; • Specialist technical expertise (particularly to Operations, Incident Management and Problem Management); • Creation and maintenance of operational documentation and work instructions (capturing knowledge); • Provision of technical support on request (ad hoc or planned). <p>Technical Support is concerned with the development of knowledge for the evaluation, support and proofing of all current and future ICT Infrastructure solutions.</p> <p>Technical Support ensures that the necessary support, skills and knowledge are available to underpin the overall service delivered by ICT Inf. They maintain a pool of in-depth technical expertise to provide information guidance and actual resources for the research and development of new technology solutions, and 3rd line technical support for all other areas of IT. It is therefore important that Technical Support collaborates with Application Management and</p> |
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| | <p>deployment processes in order to ensure knowledge transfer.</p> <p>A large amount of operations and technical support activities are executed under control of the following processes (and thus defined in these process documents):</p> <ul style="list-style-type: none"> • Demand Management (for handling service and support requests); • Incident Management (involvement of technical support and operations for resolving incidents); • Problem Management; • Change Management and Release Management (to deployment ICT components). |
| Results | <p><i>DLV. 8.6.1 Monthly service report regarding ICT IM service.</i></p> <p><i>DLV.8.6.1.2.1 ITSM external processes & procedures definition and description, addressing all taken-over Business Threads and ITSM Thread. Split delivery according to the taken-over Business Threads.</i></p> <p><i>DLV.8.6.1.2.2 Evolutive maintenance of the ITSM external processes & procedures definition and description.</i></p> <p><i>DLV.8.6.1.3.1 CT architecture for DG TAXUD IT services and for the trans-European systems, including ICT management infrastructure, addressing all taken over Business Threads and ITSM Thread, including review cycle with the NAs. Split delivery according to the taken-over Business Threads.</i></p> <p><i>DLV.8.6.1.3.2 Evolutive maintenance of ICT architecture, including ICT management infrastructure, as needed.</i></p> <p><i>DLV.8.6.1.4 Feasibility studies & Statements of requirements.</i></p> <p><i>DLV.8.6.1.5 Other, as needed</i></p> <p><i>DLV.8.6.2.3 Deployment SAT reports, including SAT Test cases, reference to applicable documents.</i></p> <p><i>DLV.8.6.2.1.2 COTS deployment SAT reports, including SAT Test cases, reference to applicable documents, including delivery notice.</i></p> <p><i>DLV.8.6.2.1.7 Hosted COTS ICT products provided by XXX, delivered and installed.</i></p> |
| Environmental Activities | <p>Deliverable and monitoring must be produced in segregated office rooms dedicated to DG TAXUD project.</p> <p>Available plans of ITSM computer rooms.</p> <p>Meeting rooms.</p> <p>Space and storage for documentation library items.</p> <p>Data centre for deployed CIs.</p> <p>A connection to DG TAXUD ITSM segregated network must be</p> |

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| | <p>available.</p> <p>Access rights (root or equivalent privilege) towards all ITSM hosted infrastructure systems to be managed.</p> <p>Network connectivity to all infrastructure systems to be managed (Internet, CCN, DIGIT...).</p> |
| Prerequisites | <p>Network access to the ICT Infrastructure components. Template defined for the ICT architecture description. Maintenance and support contracts for purchased hardware and software. SLAs and OLAs to respect for delivering the service. ODL documentation of infrastructures to manage. Security policies related to infrastructure management. The “Security Rules for Remote Intervention” document is validated and approved by CE- Directorate ICT Security.</p> |
| Hardware & Software | <p>Database management tools.</p> <p>E-mail server.</p> <p>Dedicated server for updates and patches management (WSUS, Anti-Virus...).</p> <p>Workstations connected to the segregated DG TAXUD network.</p> <p>Event management tool.</p> <p>ITSM SMT.</p> <p>Infrastructure management tools, such as (but not limited to):</p> <ul style="list-style-type: none"> • Monitoring tools (“SCOM” at XXX, BMC Patrol at DIGIT); • Backup & restore tools; • Job scheduling tools; • System, network and database management tools. <p>Office and Project tools.</p> |
| Verification | <p>Conformance to the SLAs, as reported in the MPR document.</p> <p>Conformance to SQL.</p> <p>Internal infrastructure and environment descriptions owned by the Infrastructure Management of XXX.</p> <p>Successful Acceptance Tests for deployed items.</p> <p>Daily and monthly reporting on:</p> <ul style="list-style-type: none"> • Incidents; • Requests. |

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| | <p>Events from monitoring.</p> <p>E-mails containing events received in the Monitor Functional mailbox.</p> <p>Maintenance contract in place.</p> |
| Procedure | <p>Procedure description as per Level 1, 2 and 3 is documented in Annex 24 ITSM ICT Infrastructure Management [R24].</p> |

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7.4.9 WP.8.7 - Planning to Implement Service Management

7.4.9.1 WP.8.7.1 - Manage the Continuous Service Improvement Programme (CSIP): plan, design, assess & optimise

The CSIP process has been defined and is operational, however no transformational project has been launched under CSIP yet. Currently, the CSIP reporting includes DLV.8.7.1.2 (CSIP Quarterly Report) and DLV.8.7.1.4 (CSIP yearly Report) in addition to the weekly delivery of the CSIP Action List (CAL), CSIP Dashboard and the monthly delivery of CSIP section of the MPR/MSR.

| Id | WP.8.7.1- Manage the CSIP |
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| Activities | <p><u>Introduction</u></p> <p>The scope of the CSIP covers all activities of ITSM in relation to continuous improvement and steering the required transformation aspects as defined in the Technical Annex (DG TAXUD /2006/AO-007 ITT _ Technical Annex) of the Framework Contract [A1].</p> <p>The process described herein covers the complete scope of the above activities.</p> <p>The CSIP will:</p> <ul style="list-style-type: none"> • Define the continuous improvement objectives, vision, strategy and associated planning of all identified improvement projects; • Contribute to the tactical planning of transformation projects; • Define the operational rolling plan defining and describing actions to be taken in accordance with specified targets; • Impact and Risk Management of the improvement and transformation projects; • Define Critical Success Factors (CSF) and Key Performance Indicators (KPI) management in relation to the Specific Quality Indicators (SQI); • Define action progress tracking. |
| Results | <p>Deliverable(s)</p> <p><i>DLV.8.7.1 MSR regarding planning to implement Service Management</i></p> <p><i>DLV.8.7.1.2 – CSIP Production and Maintenance</i></p> <p><i>DLV.8.7.1.3 – Certificates provided by independent “3rd parties providing evidence of</i></p> <ul style="list-style-type: none"> • <i>Minimum maturity level 3 for each process and 3 to 4 for all processes;</i> |

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| | <ul style="list-style-type: none"> • <i>Compliance of the processes with ISO 20.000:2005 part 1 and part 2, ISO 17.799:2005, ISO 27.001:2005;</i> • <i>Compatibility of the ITSM Tools with ITIL.</i> <p><i>DLV.8.7.1.4 – CSIP Report</i></p> |
| Environmental Activities | Standard office facilities are required. |
| Prerequisites | None. |
| Hardware & Software | Standard MS Office Tools |
| Verification | Audit and internal QC missions. |
| Procedure | Procedure description as per Level 1, 2 and 3 is documented in Annex 27 ITSM CSIP [R27]. |

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7.4.10 WP.8.8 - Extended time coverage for IT Service Management

Upon a request from the DG TAXUD A4/CPT, XXX has to be capable of extending the time coverage for the provision of selected IT management services for one or more of the Business Threads.

These Service Requests must be sent to the ITSM Service Desk minimum one month (SE.8.8.1 and WP.8.8.2) and three months (SE.8.8.2) before the requested delivery date. All requests for extended time coverage will be handled via Specific Contract or under RfA.

7.4.10.1 WP.8.8.1 - Extended time coverage for availability & security incidents

On request of DG TAXUD, XXX will provide extended time coverage to prevent, detect and address availability and security incidents:

- [SE.8.8.1] “7 days” time coverage: 07:00 to 20:00 (Brussels time), 7 days/week (365d/365);
- [SE.8.8.2] “24 hr” time coverage: 24h/day 7 days/week (365d/365).

This requires operating all the necessary sub-processes involved as well. The Service Desk will operate in EN during the extended time coverage plans.

7.4.10.2 WP.8.8.2 - Ad hoc

XXX will provide on request of DG TAXUD ad hoc services outside the working hours (7:00 to 20:00 (Brussels time), 5 days/week (Monday to Friday, except 25/12 & 01/01)): perform an activity, such as a test or deployment.

The activities are to be performed on request from DG TAXUD according to an agreed scope and time schedule.

7.5 Work Package 10: Other Deliverables and Services

This Work Package can be activated in a Specific Contract.

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8. Quality Management

8.1 Quality Objectives

The main objective from a programme point of view is to support the ITSM operations through the maintenance of the infrastructure enabling operations, monitoring, testing activities and Service Desk, as well as to assist and support DG TAXUD with the organisation of workshops, meetings and training. Starting from there, XXX plans the implementation of the Service Management, Does it and Checks it.

From a quality point of view, the compliance with the project standards (Technical Annex of the Framework Contract, FQP/CQP, contractual OLA, ISO standards, ITIL and TEMPO), as well as with the procedures and the quality requirements needs to be verified in order to ensure service effectiveness to the DG TAXUD.

In order to make sure that the service provided meets the requirements as expected and continues improving, it is important to implement an effective way of assessing the level of quality of services and deliverables. Therefore, a set of Specific Quality Indicators (SQI) has been defined between DG TAXUD A4/CPT and XXX and serves as basis for a comprehensive service quality benchmarking. More details on the Quality measurement are given under section 8.5 Quality Measurement and the Service Level Agreement is provided with the Contract Quality Plan for each Specific Contract.

In addition to this, Internal Quality Audit and QC missions are put in place in order to ensure that the quality level is evaluated, checked and improved, and that any corrective action is identified, followed-up and completed in case of deviation through the CSIP (please see Section 8.3 Quality Assurance and ITSM-IP021 Internal Procedure QA/QC [R30], as well as Section 8.3.2 Internal Quality Assurance meeting, Section 8.3.3 Internal Quality Audit and Self-assessment and ITSM-IP024 Internal Procedure Internal Quality Audit [R30]).

In more practical terms, the Quality objectives on which XXX concentrates for the Framework are as follows:

- Supervise and guide the XXX team in the implementation of the quality throughout the project via:
 - Ensuring full awareness of the XXX team members concerning all quality plans and TEMPO;
 - Ensuring identification and coordination of necessary training sessions for quality related matters;
 - Providing support to the XXX team members in delivering quality documentation via to internal reviews;
 - Providing support to the XXX team members in documenting internal procedures;
- Monitor the adherence of processes and procedures through:
 - The coordination of possible improvements (together with the ITSM CSIP Manager);

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- The organisation and performance of Internal Quality Audits and QC missions, as well as reporting (XXX CEO Board members) and follow-up of audit findings (as part of the CSIP);
- The performance of systematic review of all deliverables that are sent to DG TAXUD;
- The spot checks performed on XXX services (ITSM SD, PM, ChM, ...).
- Report deviations identified in the context of the Quality management activities to the XXX CEO Board members and follow-up on open actions.

8.2 Continuous improvement

Quality Management goes further than checking the compliance with the project standards and procedures and the quality requirements. In fact, the ongoing cycle for each of the project's activities is to look for continuously improving the quality and effectiveness of services and deliverables. To increase the Quality of Service and prevent potential risks and issues on the project, it is essential to put a process in place that identifies and implements improvement opportunities. Please see 7.4.9.1 WP.8.7.1 - Manage the Continuous Service Improvement Programme (CSIP): plan, design, assess & optimise.

The ITSM Programme incorporates a specific requirement for Continuous Quality Improvement under the auspices of the Continuous Service Improvement Programme (CSIP). This programme continuously monitors, reports and produces improvement proposals for the improvement of all aspects of the project service delivery and project management.

The CSIP monitors the services delivered, as well as the methods used for their organisation and provision, to enable the formulation of recommendations for improvement. This is done by collecting information and building a holistic view of all the components of the services. The view thus constructed permits the objective analysis of the situation and appropriate recommendations for improvement to be formulated.

These recommendations, once agreed with DG TAXUD A4/CPT (throughout the CSIP Steering Committee (CSIPSC)) are implemented by the relevant service area and monitored by the CSIP, see Annex 27: CSIP Process [R27].

8.3 Quality Assurance

The Quality Assurance of this project is governed by the observance and usage of a number of diverse best practices and standards including ISO, ITIL, CoBit CMM and TEMPO. Additionally there is the set of requirements expressed by the Terms of Reference for this project. Thus, the list of constraining requirements may be formulated as follows:

- Technical annex;
- Terms of Reference;
- ISO 20000 – 2005;
- ISO 17799 – 2005;
- ISO 27001;

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- ITIL;
- CoBIT;
- TEMPO;
- Baseline.

The Quality Assurance activity is under the responsibility of the ITSM Quality Manager, who is helped in his/her work by the ITSM Quality Controllers, and works together with the ITSM CSIP Manager towards the improvements of processes and procedures.

8.3.1 Acknowledgment of the Quality implications by the team

The ITSM Programme Director and the ITSM Quality Manager make sure that the whole team is fully aware of the quality system specifically applicable to their activities, of the quality system of the project, of the SLA, of the OLA (where applicable), of the security requirements of the project, as well as of the goal, the context, the planning and the political importance of the project.

To meet this objective, the whole team contributes to the elaboration of the internal procedures and of the quality plans. The applicable FQP and CQP are made available for each team member as soon as they are accepted by DG TAXUD A4/CPT. The knowledge acquired on those documents will then be checked in the context of the Internal Quality Audit and QC missions.

Additionally, internal training sessions presenting the terms and scope of the contractual documents between DG TAXUD and XXX, and their related quality implications, is regularly organised for the teams. The ITSM Quality Manager identifies, conducts checks and validates the efficiency of those training sessions. Training will be given to any new team member, as part of the induction, and proposed to already existent staff.

8.3.2 Internal Quality Assurance meeting

To ensure good communication and coordination for the Quality Management of the ITSM Programme, the ITSM QA team meets once every 3 to 4 weeks¹⁴ with the QC (and if necessary ITSM CSIP Manager) in order to discuss any risk, potential issue or possible improvement in the quality field.

Minutes of these internal meetings are produced and kept available on-site in case of an audit by DG TAXUD A4/CPT. The action list attached to the minutes is followed up by the ITSM Quality Manager, checked and adapted on an ongoing basis; an updated list is produced at the end of each internal QA meeting.

Major items discussed in these meetings are brought to XXX weekly coordination meeting, or directly to the XXX CEO Board members, if they need a higher level resolution.

¹⁴ Frequency may vary depending on team members' availability and necessity to meet.

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8.3.3 Internal Quality Audit and Self-assessment

XXX needs to *perform self-assessment and Internal Quality Audits periodically, minimum twice per year, for all the service processes of the contract, report outcome/findings to DG TAXUD, and introduce the necessary improvements via the CSIP and/or corrective actions.*

8.3.3.1 Internal Quality Audit

The objective of an Internal Quality Audit is to check if the programme/projects/services are being run according to standards, quality plans, procedures and contract, as well as to perform an in-depth analysis of all the project activities and results in order to provide the ITSM Programme Management with objective feedback on:

- The project/programme progress against the plan;
- The Quality of project/programme management and control;
- The main risks that the project is facing;
- The compliance of products, services and processes with standards, procedures and specifications;
- The progress on the corrective actions proposed in the previous Quality Audits.

Therefore, it focuses on the way the programme, project and services are being ran and the evaluation of all the service processes:

- Service Desk;
- Service Support;
- Service Delivery;
- ICT Infrastructure Management;
- Application Management;
- Security Management;
- Business Perspective;
- Planning to Implement Service management.

The Quality Audit thus concentrates on Quality Assurance aspects:

- Is the service conforms to the contract's requirements?
- Does a procedure exist to describe how the service is maintained?
- Is this procedure aligned with reality?
- Is the procedure followed by the team members? ...

Internal Quality Audits are organised on a regular basis, and at least twice a year for covering different aspects of the ITSM programme that need to be audited.

It is the responsibility of the Quality Manager (or any Internal Quality Auditor nominated for this mission) to organise and prepare the audit plan. The audit plan will detail:

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- The scope of the audit: it is advised that each audit assesses the general project progress, and focuses on a specific area/application/domain to perform the required in-depth analysis;
- Input material: Which documents should be prepared by the Team Members before the start of the audit;
- Approach for the Audit Execution: Activities, Meetings and Review Sessions planned;
- Organisation: Team members involved;
- Planning and Key Milestones;
- Questionnaires, Templates and Forms to be used.

The Internal Quality Audit includes the following activities:

- Review of project deliverables, project plan, progress reports and other input materials;
- Meetings with the Programme Director;
- Meetings and Review Sessions with some ITSM Team Members (ITSM Team Leaders, ...) to assess the project results and the compliance with the procedures defined for the different processes;
- Analysis of the Quality Indicators (in the monthly progress report or the service level reporting tool) to highlight trends and issues in the quality indicators;
- Analysis of DG TAXUD feedback and of the deliverables review reports of the past period;
- Review of corrective action plan created by previous audits;
- Production of the Quality Audit Report.

The Internal Quality Audit Report includes the following topics:

- Executive Summary: The executive summary should provide an overall assessment of the project progress and quality. It will specify the main findings, the shortcomings and the risks of the project and list the major recommended actions;
- Audit execution; summary of scope, organisation and activities of the audit;
- Assessment of the project management efficiency: Planning, Control, People Management ...;
- Findings: There can be 2 different types of findings:
 - Non-conformities: The audit has identified a problem/deficiency in the compliance with the quality objectives and/or the project standards and procedures. Non-conformities will be entered into a non-conformities Tracking System that will track the corrective actions associated;

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- Observations: Identification of a concern or issue that may impact the project quality on the long term. It can also be a suggestion for the improvement of the processes and standards.
- All findings will be supported by clear evidence and non-conformities will trigger corrective action by the Programme Direction. The resolution of non-conformities and observations will be coordinated by the CSIP;
- Recommendations: Proposed actions, suggestions for improvements.

The follow-up of the audit will be done through the follow-up of preventive/corrective action list, and the reporting to DG TAXUD A4/CPT will be ensured via the Monthly Progress Report.

Personnel responsible for the audited area will make timely corrective actions on variances found during the audit.

The ITSM Quality Manager supported by the ITSM Project Director will take the necessary steps in order to make sure that all open actions are closed, by checking the schedule given to implement the agreed actions and reminding the auditee in case of failure in meeting the deadlines.

When the implementation of an action is considered as done, the ITSM Quality Manager checks the implementation in the context of a verification meeting.

8.3.3.2 Self-assessment

In addition to the checks performed by QA and CSIP, individual ITSM Service Managers have to perform self-assessment checks in their area of responsibility to support continuous validation that the activities and deliverables are compliant with the Quality Objectives, Contract Standards and Procedures.

The key for successful self-assessments is the development of specific Quality Check-lists (based on CMMi methodology) associated with the major milestones or with the main processes to verify that all required actions have been performed. Developing Quality check-lists is a very powerful way to guarantee that the Standards and Procedures defined have been followed.

Quality Check-lists are also subject to Continuous Quality Improvement during the entire project duration through the CSIP process.

The role of the ITSM Quality team in order to support the ITSM Service Manager for the Self-Assessment will be to:

- Advise what self-assessments need to be performed, their frequency, and the way to execute these tasks;
- Contribute to the development of specific check-lists together with CSIP;
- Provide guidance on the output needed and methods of implementing improvement;
- Make sure that corrective actions are being logged, planned, executed and implementation is verified.

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The idea is to have a continual self-assessment over the year instead of having 2 spot checks, which will allow assessing the activities on a continuous basis and having faster corrective action. In addition it will allow the ITSM Service Managers to split the workload of these assessments throughout the year.

The ITSM Service Manager will need to keep track of all observations identified and of the immediate corrective actions put in place, and a comprehensive report will be delivered twice a year to the ITSM Quality Manager and the ITSM Programme Director.

The outcome of the ongoing self-assessment produced by the ITSM Service Managers allows the ITSM Quality Manager to fine-tune the Internal Quality Audits that will be conducted. This will allow the ITSM Quality Manager to concentrate on certain aspects more than others while assessing a particular Service process

The self-assessment, as described here above has not started yet and has been, in the meantime, compensated by internal QC missions in order to decrease the burden on ITSM operations team members. These internal QC missions are performed by ITSM IntQA and take place in between the 2 internal audit sessions that are organised each year.

The idea is to use these missions in order to:

- Ensure the follow-up of actions taken after an internal audit;
- Identify any issue or possible improvement within the analysed process;
- Fine-tune the scope of next Internal Quality Audits.

The results of the internal QC missions are provided internally via e-mail to the ITSM Programme Direction and the auditee, as well as reported to DG TAXUD A4/CPT via the Monthly Progress Report.

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8.4 Quality Control

Quality Control is the application of operational techniques and activities to evaluate processes and deliverables and to eliminate causes of unsatisfactory performance at relevant stages of deliverable and service production. It is concerned with the detection of defects. Standards and Procedures are used in the project to prevent defects from occurring in the first place (see ITSM-IP0021 QA/QC procedure [R30] for more information). Reviews, audits and tests are used to verify that requirements are being met and to validate completeness and consistency of the deliverable.

The Quality Control activities aim at ensuring and controlling that:

- The quality objectives, as previously defined, are met;
- The project team complies with the processes, procedures and standards defined on the project;
- The Quality Control ensures that non-compliances are detected and corrected and that defects in deliverables are removed as early in the development lifecycle as possible.

Internal quality control records will be produced and kept available for DG TAXUD A4/CPT.

8.4.1 Preventive Actions

Proactive activities are organised under the umbrella of the Quality Assurance while the reactive activities are covered by the Quality Control:

- QA organises and adapts the processes to improve their quality and the quality of the resulting products or services before they are created;
- QC focuses on products and services themselves with respect to their quality objectives (during and after they are created).

Therefore, and as mentioned earlier in this document, QA meetings are organised on a weekly basis together with the CSIP team, in order to discuss possible risks, issues and improvements in processes and procedures.

Also, improvements identified during internal and external audits can be addressed before issues arise.

Internal meetings are organised every week at project and team levels in order to ensure efficient and effective communication within the project team.

Training will be organised internally to ensure a high level of business and technical knowledge within the teams. Key roles within all teams are protected by nominated stand-ins.

In addition, Risk Management is done at the ITSM Programme Director level and any potential risk is reported to DG TAXUD A4/CPT through Bilateral Monthly Meetings (BMM) and Steering Committees.

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8.4.2 Internal Reviews

All document deliverables produced in the project are submitted to an internal Quality Review.

The reviewer is most of the time an ITSM Quality Controller or the ITSM Quality Manager, but reviews can also be performed by other team members having the right capacity to make judgements in terms of content, technical adequacy and consistency with other project documentation.

For complex deliverables taking several weeks to be developed, intermediate reviews may be performed in order to take corrective actions as soon as possible, avoiding unnecessary rework when the whole document is submitted for approval.

Quality control logs are kept, by using the track changes and comment functions of MS Word. A version of the document with the comments is being kept for QC tracking purposes.

8.4.3 Other Verification Activities

In addition to internal reviews and to elements put in place to prevent issues, other internal checks are being done:

- Review of publications on the ITSM portal;
- Review of Incident Management;
- Review of the Business Monitoring;
- Review process of artefacts from system and application development;
- Review of the testing process;
- Check of the Business monitoring and action performed in case of unavailability;
- Check of Testing planning's respect;
- Check of Problem Management and Change Management calls;

For a detailed procedure on these verifications, please see ITSM-IP0021 QA/QC procedure [R30].

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8.4.4 Follow-up of Corrective Actions

Corrective actions identified in the context of the QA/QC are followed up during the internal QA meetings, which takes place every 3 to 4 weeks¹⁵. Minutes of meetings are being produced by the ITSM Quality Manager and related action list updated; both documents are distributed to the internal QA/QC team and followed up on. When necessary, issues can be escalated to the project coordination meeting that takes place on a weekly basis and that gathers the responsible persons for all XXX activities. If need be the issue can then be escalated to the BMM.

Corrective actions identified via internal or external audits are followed-up through a corrective action list maintained for audit tracking purposes; modalities for the follow-up on those actions are agreed with the auditor.

8.5 Quality Measurement

The client is the final judge of the quality of the service. Requirements, expectations, fitness for purpose and needs are things which only a client can judge, however each client wants to accept a service or product based on these criteria.

Therefore those characteristics of the product/service, which can be measured, and stating what the acceptable measurements should be, has been agreed upon by DG TAXUD A4/CPT and XXX through the contractual Operational Level Agreement (Annex 6 Contractual OLA [R6]) and the Hosted Infrastructure OLA (Annex 7 H-I OLA [R7]).

8.6 Contractual OLA

The Contractual OLA is provided in Annex 6 Contractual OLA [R6], together with all SQI definitions.

¹⁵ Frequency may vary depending on team members' availability and necessity to meet.

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9. Coordination and Management

9.1 XXX internal coordination and management activities

The **Programme Management Team** is the primary interface with DG TAXUD A4/CPT. This team performs the global management and technical coordination of the various ITSM teams and its activities. It is made up of representatives from the 3 companies represented in XXX. At the time of writing the FQP, the Programme Management team was comprised of the following:

- 1 representative from Unisys (the Programme Director);
- 2 representatives from Siemens;
- 1 representative from Bull.

The Programme Management Team is supported by the **XXX Project Committee group**, consisting of the main Project Managers of the XXX organisation, responsible for management of the following areas: Quality Management, Project Management Office, Business Perspective, Service Support, Service Delivery, CSIP, Security Management, Application Management and ICT Infrastructure Management/Tools. By having the above functions represented in the Project Committee, XXX is able to have full control of ongoing activities, as well as rapidly change plans if necessary due to unforeseen circumstances. It also provides the basis for what, how and when deliverables and services are provided to DG TAXUD A3 and A4, as well as internally within XXX.

The Project Committee is chaired by the Programme Director and meets on a weekly basis, to coordinate and ensure delivery of services against a consistent and managed implementation process. It stresses on collaboration and communication within the project teams and between all parties involved in the project. Since the Programme Director is informed of all the project information, this team can act as the referential body for any advice and assistance in this area to DG TAXUD A3 or A4 and to the full project team.

The **Operational Committee** is composed by XXX Executives at Delivery Manager Level and is chaired by the Unisys Delivery Manager. It is made up of representatives from the 3 companies represented in XXX (1 per company). It meets once a month and it is the escalation point from the XXX Project Committee groups. The Programme Director is attending this meeting to provide status reporting and escalation of current issues. Other members of the XXX Project Committee group can be invited as necessary.

The **Executive Committee** is the main body of the XXX Governance. It is composed by XXX Executives at Partner Level and is chaired by the Unisys representative. It is made up of representatives from the 3 companies represented in XXX (2 per company). It meets once a quarter and is the escalation point from the XXX Project Committee groups. An exceptional meeting can be organised upon simple request of one member in case of special issue. Other XXX members (including the Programme Director) may participate by invitation only. Their role is a consultative one.

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The Executive Committee is in charge of taking all the strategic decisions to ensure the correct functioning of the consortium. In particular, the Executive Committee will:

- Receive and analyse the figures concerning the XXX's day-to-day work: Quantity consumption with respect to the baseline agreed with DG TAXUD in the relevant Specific Contracts, Invoices, Payments, Shares and Annual balance;
- Control the SLA service level and request the Programme Manager to take corrective action when necessary; in the case penalties are due, the board will decide the shares of each of the partners in these penalties;
- Approve and monitor the negotiation of all the Specific Contracts and Request for Action;
- Control the XXX's finance and take the appropriate measures in case of issue;
- Control the shares of the members within XXX and take the appropriate decisions in case of breach in the decided shares;
- Control the subcontractors and the way they follow (or not) the XXX rules and the Framework Contract obligations, and take the appropriate decisions in case of non-respect of these rules.

The **XXX CEO Group** is the final escalation body. Discussions and issues from the Executing Committee are escalated there. Additionally, the CEO Group receives monthly reporting about the programme status by the ITSM Quality Manager, thus ensuring an independent reporting and escalation path of status and issues outside the formal programme reporting lines. It meets at irregular intervals as required, triggered either in case of escalation by the Executive Committee, from the ITSM QA reporting or triggered by external events (client escalation) or by own initiative following the programme status.

Within the XXX team (level below the XXX Project Committee group) the coordination is performed through meetings.

- Sub-teams coordination meetings normally on a weekly basis (or at bigger intervals if necessary) with a minimal agenda:
 - Status of the activities;
 - Problems (Quality, escalation issues...);
 - Planning of upcoming activities;
 - Project meetings (once a week);
 - Presentation of directions (team leaders and Programme Director);
 - Presentation of activities per team member and Work Packages;
 - Presentation of issues;

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- Presentation of improvements;
- Informal meetings;
- Ad hoc Meetings: Each team member can request a meeting with any other party to solve a problem, share information...

9.2 Coordination with DG TAXUD

The coordination between DG TAXUD and XXX is performed at different levels through different meetings:

- DG TAXUD A4/CPT:
 - Bilateral Monthly Meeting;
 - Operational Monthly Meeting;
 - Steering Committee meetings, once every quarter;
 - RFE/RFA meeting every 2 weeks;
- DG TAXUD A4/ISD:
 - Infra Monthly Meeting;
- DG TAXUD A4/LISO:
 - Security Management Monthly Meeting;
- DG TAXUD A4/APM:
 - CAPS meetings;
- DG TAXUD A3/Tax:
 - Taxation Operational Meeting;
 - Taxation Monthly Coordination Meeting;
 - Meetings with MSAs (SCIT);
- DG TAXUD A3/Exc:
 - Excise Monthly Meeting;
 - SAPS: Weekly/Bi-monthly;
 - ITSM Weekly Meeting (Informal meeting);
 - Meetings with MSAs;
- DG TAXUD A3/Cust:
 - Service Monthly Meeting (TMM);
 - Meetings with MSAs (ECG);
- Other ad hoc and technical meetings at all levels upon request.

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9.3 Contacts

The global contact list for the ITSM is provided in Annex 10 Contact List [R10].

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9.4 Escalation

The complete procedure for hierarchical escalation within ITSM is provided in ITSM-IP003 Internal Procedure for escalation [R30].

Issues are escalated to DG TAXUD via the MPR and during BMM, Steering Committee and other management meetings.

9.5 Review and Acceptance Procedure

The schedule for the provision of the deliverables is tracked in the Deliverable Tracking Matrix (DTM), (Annex 2 Structure of DTM [R2]).

In addition, a complete list of ITSM deliverables together with their corresponding review cycles is provided in Annex 8 Table of DLVs [R8].

9.5.1 Review cycles of recurrent and major documents

We can distinguish 3 different review cycles:

- Normal review cycle is: 10-10-10;
- Short review cycle is: 5-5-5;
- Very short review cycle is: 3-2-5.

Notes: Other possibilities can be discussed bilaterally between ITSM and DG TAXUD A4/CPT; it would be applied only if both parties agree. A new cycle is discussed, confirmed by e-mail and/or in minutes of official meeting with DG TAXUD A4/CPT and communicated to ITSM PMA for updating the DTM.

9.5.2 Rule for calculating due dates

The rule for calculating due dates for deliverables is as follows:

When we speak about a document to be sent n w-days before or after a certain event takes place, we mean that there must be at least n entire w-days between that event and the delivery of the document.

Example:

The MPR of August 2008 needs to be sent for review on the 7th day of the month and a 5/15/5 review cycle is applied. This means that ITSM will receive comments 5 w-days after the delivery for review. ITSM will have 15 w-days to implement and deliver for acceptance the document. Finally, DG TAXUD will have 5 days to accept the document.

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In the case of the MPR of August 2008, it needs to be delivered for review on 09/09/2008. Comments are expected on 16/09/2008. The MPR must be delivered for acceptance on 07/10/2008.

Notes: When the planning mechanism mentions w-days, it concerns Commission holidays, and when the planning mechanism mentions “T0 + xMonth” (or a fixed date), then Commission holidays are excluded.

9.5.3 Rule for Review Cycle Notation

The notation for review cycles is a sequence of 3 numbers, for instance “5-3-2”. This sequence has to be interpreted as follows:

- The first number represents the number of w-days devoted to the review. The author expects to receive the review comments by the end of business day of the last day of the review; the first review day being the first w-day after the day of the delivery.
- The second number represents the number of w-days devoted to the three following activities:
 - For the author to react to the review comments (Author’s positions);
 - For both reviewer and author to discuss the author’s position on the comment and reach an agreement (the meeting decisions);
 - For the author to implement the meeting decisions and deliver the document for acceptance.
- The 3rd number is the number of w-days for DG TAXUD to accept the document. This phase implies verifying that the review meeting decisions have indeed been respected in the updated version, and sending an acknowledgement of acceptance to the author.

9.5.4 Rule for delivering official deliverables to DG TAXUD

CIRCA is used as the official repository for all official deliverables in the frame of the ITSM Framework Contract; except for SC.01 DLVs that had to be sent by e-mail. The official delivery date will be the CIRCA date/time stamp, for all SfR, SfA; APO are for still handled by e-mail.

The originator uploads the deliverable on CIRCA, as a zip file, containing:

- The deliverable itself;
- The information table, filled in with the relevant information.

The name of the zip file is the reference of the document. The reference of the file can be delivered by the DDB Encode tool, or can be created by the originator of the deliverable, as long as it is coherent with the structure delivered by the DDB Encode tool.

The upload on CIRCA triggers a notification e-mail to the author of the document and to the Quality contractor, who is then responsible to dispatch the review to necessary reviewers (list mentioned in the DDB excel sheet).

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Only deliverables sent for review and acceptance need to be uploaded on CIRCA; the documents sent for information are delivered by e-mail with copy to DG TAXUD ITSM- PO and DG TAXUD A4-PSU functional mailboxes.

When the review is done, the QA Contractor uploads the CCO on CIRCA. An e-mail is sent in parallel to the originator of the deliverable and to all reviewers with a link to the CIRCA; DG TAXUD ITSM-PO, DG TAXUD A4-PSU functional mailboxes are also copied in this communication.

Within the delay defined in the CCO e-mail, the originator enters the author's position in the CCO database by creating the APO database), and sends it by e-mail to the Quality contractor (copying preferably all reviewers). The Quality contractor checks if the recipients of the APO are identical to those of the CCO e-mail. If they are not identical, the Quality contractor notifies the DG TAXUD A4-PSU and the DG TAXUD ITSM-PO functional mailboxes.

A review meeting is planned and organised by the Quality contractor if need be.

The originator creates the new version of the deliverable. During the implementation of the meeting decisions, the author may insert additional implementation comments in the "Implementation information" field of the comments database. The originator then delivers the new version (SfA of the deliverable), with the information table and the comments database, by uploading it on CIRCA (in the same zip file that already created for the version sent for review).

CIRCA will generate an automatic notification, including the deliverable SfA as attachment, to the Quality contractor, ITSM Internal QA, DG TAXUD ITSM-PO, DG TAXUD A4-PSU functional mailboxes.

9.6 Change Management

The Change Management is described in Annex 15 ITSM Change Management [R15].

9.7 Configuration Management

The Configuration Management described in Annex 14 ITSM Configuration Management [R14] is responsible for the registration and the maintenance of all configuration items including the specific "managerial" CI's such as contractual documents (RfA, RfE, RfO, offers ...). The "managerial" CI's are included in the global CMDB. The process of including the "managerial" CI's into the global CMDB is not activated at the moment of writing this document.

9.8 Release Management

The Release Management is described in Annex 16 ITSM Release Management [R16]. The Release Manager is responsible for the repository of all "managerial items".

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9.9 Reporting

The way ITSM reports to DG TAXUD is described in:

- Section 7.1.5 WP.0.6 – Coordination with the Commission;
- Section 7.1.6 WP.0.7 – Monthly Progress & Service Reporting;

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- WP.8.3 - The Business Perspective (MCP, ITOP)

Please note that the main reporting channel from the sectors is done via the Business Thread Managers. There is one BTM per Business Thread.

9.10 Common practices

The language used for all communications is English unless otherwise specified.

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10. Risks

Risk Management is an ongoing process and any risks identified along with their mitigation actions and planning are reported in the MPRs produced for each Specific Contracts.

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11. Annexes

The FQP includes a number of annexes, as follows:

- Annex 1: Planning [R1];
- Annex 2: Structure of DTM [R2];
- Annex 3: Structure of MPR [R3];
- Annex 4: Structure of MSR [R4];
- Annex 5: List of internal procedures [R5];
- Annex 6: Contractual OLA [R6];
- Annex 7: Hosted Infrastructure OLA [R7];
- Annex 8: Table of deliverables [R8];
- Annex 9: ITSM Glossary [R9];
- Annex 10: Contact List [R10];
- Annex 11: ITSM Service Desk[R11];
- Annex 12: ITSM Incident Management[R12];
- Annex 13: ITSM Problem Management[R13];
- Annex 14: ITSM Configuration Management[R14];
- Annex 15: ITSM Change Management[R15];
- Annex 16: ITSM Release Management[R16];
- Annex 17: ITSM Service Level Management[R17];
- Annex 18: ITSM Capacity Management[R18];
- Annex 19: ITSM IT Service Continuity Management[R19];
- Annex 20: ITSM Availability Management[R20];
- Annex 21: ITSM Security Management[R21];
- Annex 22: ITSM Application Management[R22];
- Annex 23: ITSM Conformance Testing[R23];
- Annex 24: ITSM ICT Infrastructure[R24];
- Annex 25: ITSM Business Perspective[R25];
- Annex 26: ITSM Demand Management[R26];
- Annex 27: ITSM CSIP[R27];
- Annex 28: ITSM Application Development [R28];
- Annex 29: ITSM Organisation Chart [R29].

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