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TAXATION AND CUSTOMS UNION DG
ITSM

SUBJECT:

FQP - Annex 27: CSIP

FRAMEWORK CONTRACT # TAXUD/2007/CC/088

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.
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1	03	20/04/2009	Continue updating Level 3	I/R	As req.
1	04	05/05/2009	Fine-tune Level 3 with coordination with ChM	I/R	As req.
1	05	11/05/2009	After presentation to DG TAXUD (YME)	I/R	As req.
1	06	07/07/2009	After internal ITSM revisions	I/R	As req.
1	06-1	24/11/2009	Update FQP maintenance delivered for internal QC	I	All
1	06-2	08/01/2010	Delivered for Information to DG TAXUD	I/R	As req.

1	06-3	20/01/2010	Updates based on feedback from DG TAXUD	I/R	All
1	07	01/02/2010	Delivered for review to DG TAXUD after internal QC	I/R	All
1	08	05/02/2010	Re-delivered for review to DG TAXUD after internal QC	I/R	All
1	08-01	12/03/2010	SfR to DG TAXUD after APO review meeting	I/R	All
1	09	22/03/2010	Delivered for acceptance to DG TAXUD	I/R	All

(*) Action: I = Insert R = Replace

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1. Introduction

This document is an annex to 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.

This document presents the Level 1, 2 and 3 of the ITSM process FQP - Annex 27: CSIP.

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-Framework Quality Plan	Framework Quality Plan	22/03/2010	1.04
R2	ITS-IFQP-SC04-Annex 9	ITSM Glossary	22/03/2010	1.13
R3	RfC-tpl	RfC template	10/09/2009	2.2

Table 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

Table 2 – Applicable documents

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 [R2].

3.2 Interface with DG TAXUD

Where there is a non-specific reference to DG TAXUD, it means that the interface can be with any one of the following business threads of DG TAXUD:

- DG TAXUD A4/CPT;

- DG TAXUD A4/ISD;

- DG TAXUD A4/APM;

- DG TAXUD A3/TAX;

- DG TAXUD A3/EXC;

- DG TAXUD A3/CUST;

- DG TAXUD A3/LISO.

Where it is intended that a reference is to a specific business thread/DG TAXUD department, one of the above naming conventions shall be stated.

4. TSM Process model

4.1 Level 0: Process flows

Figure 4-1: ITSM Process Model

4.2   Level 1: CSIP

The Continuous Service Improvement Programme (CSIP) is an ongoing formal programme undertaken within an organisation to identify and introduce measurable improvements within a specified work area or work process. More specifically, on the ITSM Programme, the CSIP centralises and drives all process/procedure improvements initiatives with a goal to formalize the managerial change process for continuous service improvement.
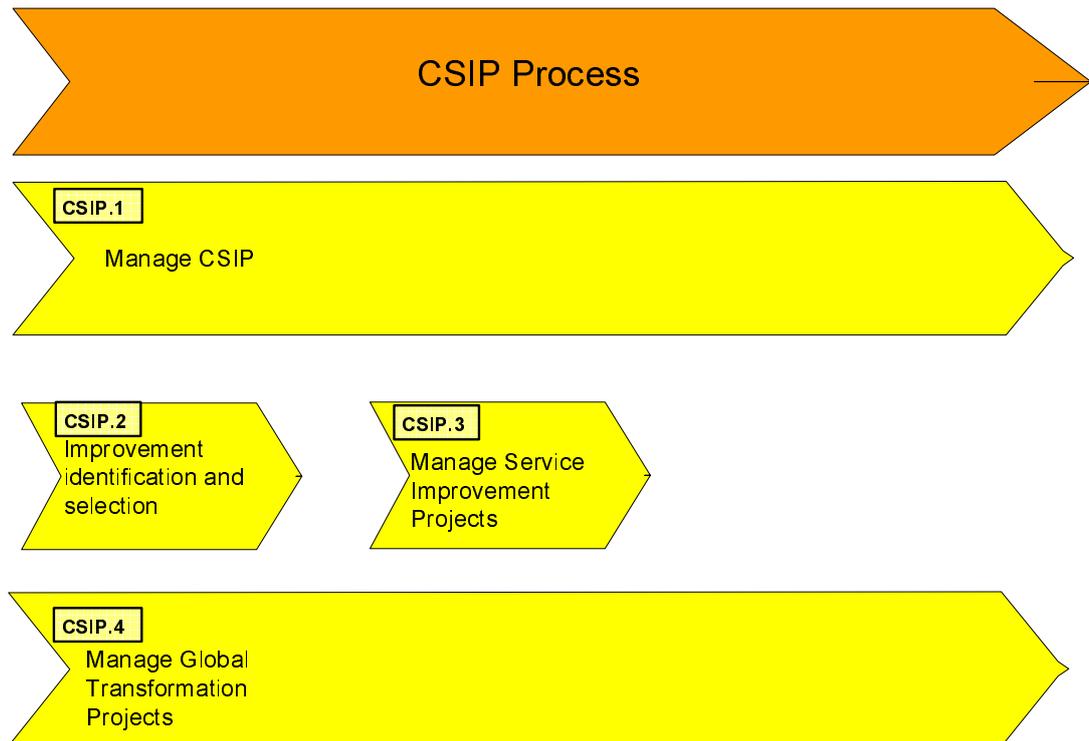
Figure 4-2: CSIP Level 1 Diagram

4.3 Level 2: CSIP

CSIP.1 – Manage CSIP
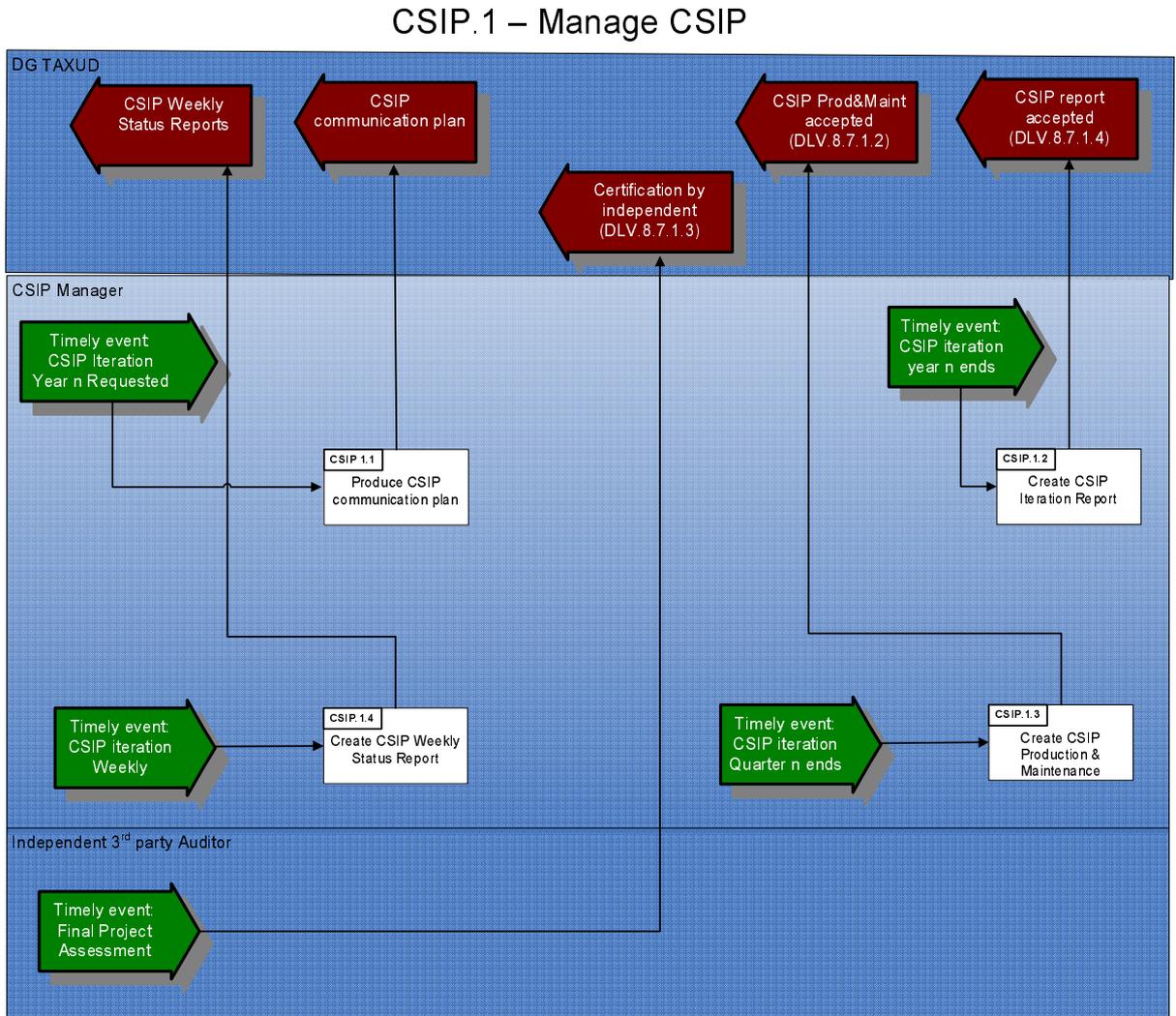
CSIP.1 – Manage CSIP

Figure 4-3: CSIP.1 Manage CSIP

CSIP.2 – Improvement identification and selection

Figure 4-4: CSIP.2 Improvement identification and selection

CSIP.3 – Manage Service Improvement Projects
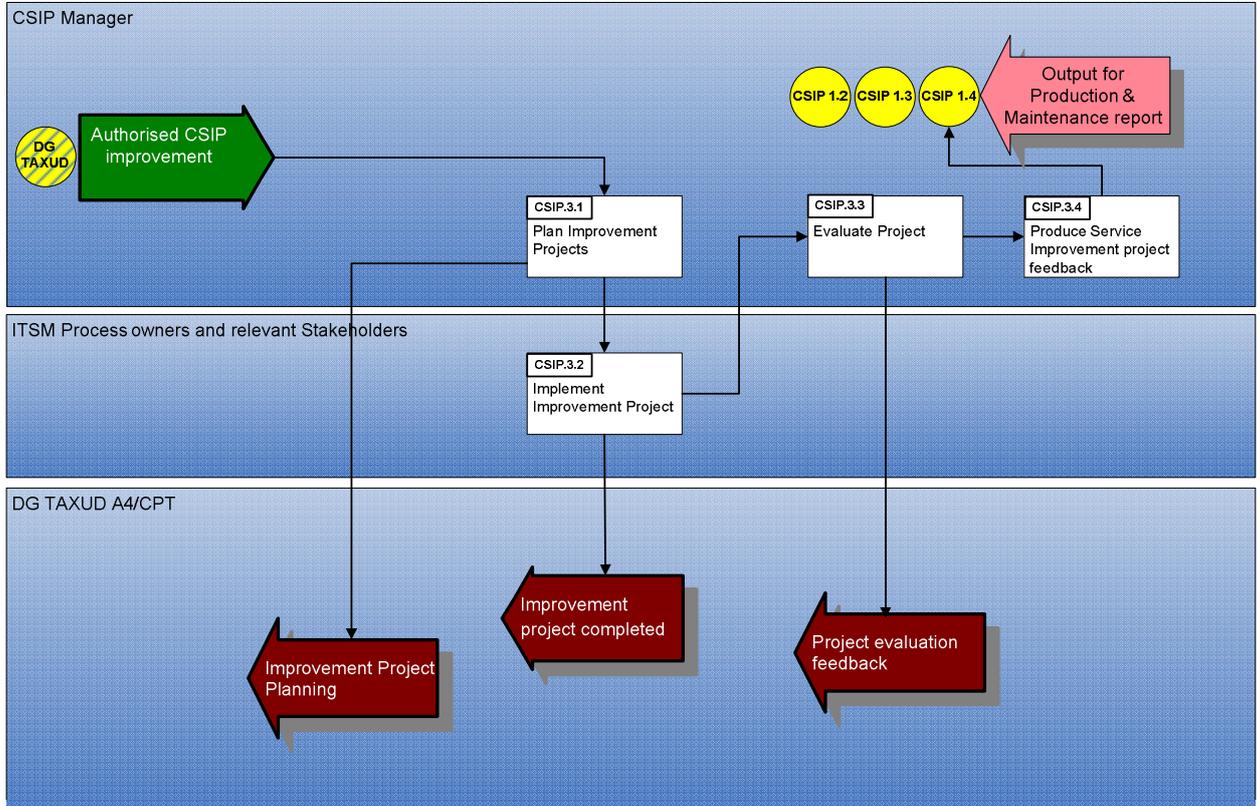
Figure 4-5: CSIP.3 Manage Service Improvement Projects

CSIP.4 – Manage Global Transformation Projects
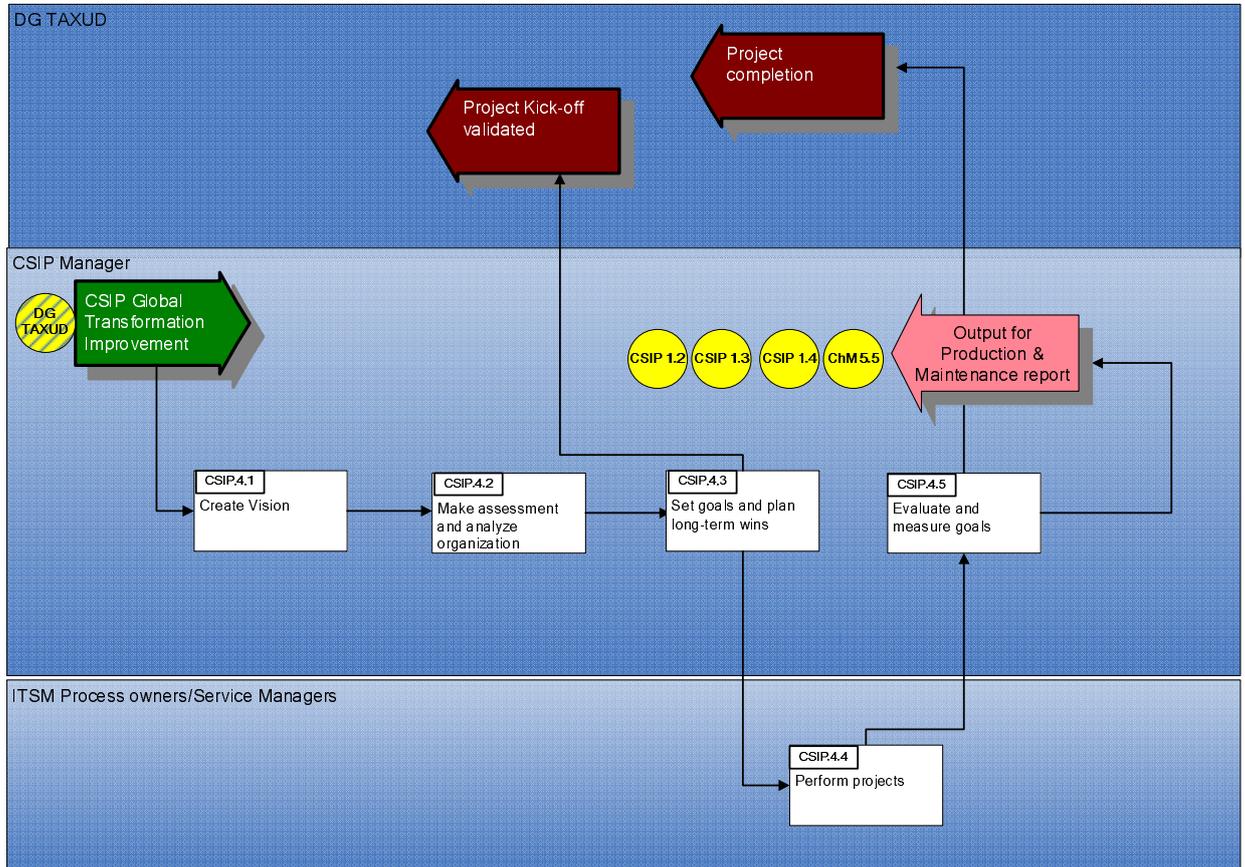
Figure 4-6: CSIP.4 Manage Global Transformation Projects

RACI Table for CSIP

Activity	ITSM CSIP Manager	ITSM Process Owner /Service Manager	ITSM Management	ITSM Change Manager	DG TAXUD A4/CPT
CSIP 1.1 Produce CSIP communication Plan	AR	I	I		I
CSIP 1.2 Create CSIP Iteration Report	AR	I	I		I
CSIP 1.3 Create CSIP Production & Maintenance	AR	I	I		I
CSIP 1.4 Creatre CSIP Weekly Status Report	AR		I	I	I
CSIP 2.1 Analyse CSIP input and pre-select CSIP improvement	AR				AR
CSIP 2.2 Approve CSIP input	AR	C	I		AR
CSIP 2.3 Create RfC	AR	C	I	I	I
CSIP 3.1 Plan improvement projects	AR	R	I	I	IC
CSIP 3.2 Implement improvement projects	AR	R	I	I	I
CSIP 3.3 Evaluate project	AR	C	I		C
CSIP 3.4 Produce Service Improvement project feedback	AR	I	I		I
CSIP 4.1 Create Vision	AR	C	IC	I	AR
CSIP 4.2 Make assessment and analyze organization	AR	IC	I		I
CSIP 4.3 Set goals and plan long-term wins	AR	C	IC		C
CSIP 4.4 Perform projects	AR	R	IC		I
CSIP 4.5 Evaluate and measure goals	AR	C	I		IC

Table 4-1: CSIP RACI Table

Communication interfaces with DG TAXUD A4/CPT

Interface description communication with DG TAXUD A4/CPT	Direction	Format
CSIP 1.2 Create CSIP Report		
Create CSIP Annual Report	Outgoing	CIRCA
CSIP Annual Report Accepted	Incoming	E-mail
CSIP 1.3 Create CSIP Production & Maintenance		
Create CSIP Production & Maintenance Report	Outgoing	CIRCA
CSIP Production & Maintenance Accepted	Incoming	E-mail
CSIP 1.4 Create Weekly Status Report		
Create CAL and CSIP Dashboard	Outgoing	CIRCA / Email
CSIP 2.2 Approve CSIP input		
Get approval of CSIP input from DG TAXUD	Incoming	E-mail
CSIP 2.3 Create RfC		
Create RfC with business case and and justification	Outgoing	ITSM SMT
Create Problem Statement if necessary	Outgoing	E-mail, Circa
CSIP 3.1 Plan improvement projects		
Plan Improvement Projects (CSIP Action List)	Outgoing	E-mail
CSIP 4.1 Create Vision		
Create vision statement	Outgoing	E-mail
CSIP 4.2 Define & plan project		
Project Kick-off	Outgoing	E-mail
Project Kick-off Accepted	Incoming	E-mail, phone
CSIP 4.3 Set goals and plan long-term wins		
Create project plan	Outgoing	E-mail
Project plan accepted	Incoming	E-mail, phone
CSIP 4.5 Produce reports/evaluation		
Transformation Project Completion Reports	Outgoing	E-mail
Transformation Project Completion Accepted	Incoming	E-mail, phone

Table 4-2: CSIP Communication interfaces with DG TAXUD A4/CPT

4.4   Level 3: CSIP

Procedure	
	Introduction By the end of the Framework Contract [A1], XXX must be assessed by an independent 3rd party company and provide evidences that XXX has reached (DLV.8.7.1.3): • Minimum maturity 3 for each process and 3 to 4 for all processes (based on CMMI Services 1.2); • Compliance of the processes with ISO 20.000:2005 part 1 and part 2, ISO 17.799:2005, ISO 27.001:2005; • Compatibility of the ITSM tools with ITIL. The CSIP must put in place a process allowing driving all necessary actions to reach the requested ITSM processes and procedures improvement. In doing so, the CSIP process will encompass two categories of change requests: CSIP Global Transformation Projects and CSIP Service Improvement projects, and will deal with them in different ways. It is to be noted that, XXX and DG TAXUD have agreed to leave the CMMi level certification process outside the scope of the FQP update. Hence no references to CSIP Baseline and CSIP Roadmap are made in the FQP.
CSIP.1.1 Produce CSIP Communication Plan	**CSIP.1 Manage CSIP** **CSIP.1.1 Produce CSIP Communication Plan** The communication plan concerns the planning activity covering the CSIP process for the coming year. The CSIP Communication Plan identifies the communication activities related to the CSIP major improvement activity targeted at ITSM Programme Direction and staff. All these events are to be identified in the plan and proposed dates agreed within ITSM.

	The distribution of the communication plan is to all ITSM Managers and DG TAXUD A4/CPT for information. The target is to achieve a CSIP communication at 6 months intervals, but this may need to be increased if there are significant improvements that need to be communicated at short notice. The communication should focus on planned activity in the coming 6 months in detail with a preliminary view of events planned for the entire year ahead, even into the next iteration. Therefore, the ITSM CSIP Manager has to: • Plan the distribution of XXX internal and external communication updates and results; • Obtain the ITSM Programme Direction approval (in liaison with DG TAXUD A4/CPT); • Plan the XXX internal and external awareness activities for all major activities within the Iteration.

CSIP.1.2
 	
Create CSIP
Iteration Report
	## CSIP.1.2 Create CSIP Iteration Report
	
	The CSIP annual report details the results of all activities that have been undertaken throughout the year in connection with CSIP.
	
	Therefore, the ITSM CSIP Manager has to:
	• Gather all data required to produce the annual report:
	    o CSIP MSR/MPR Reports;
	    o CSIP Action List (CAL);
	    o All Improvement and Global Transformation Projects;
	    o CSIP Quarterly Reports;
	    o CSIP Management Dashboard.
	• Assemble the data into the CSIP report template;
	• Summarise the information;
	• Submit to SfR/SfA process.

CSIP.1.3 Cretae CSIP Production & Maintenance	## CSIP.1.3 Create CSIP Production & Maintenance This quarterly report is produced from the identified input detailing all Improvements started or needing to be started, progress reports of ongoing improvement and global transformation projects and issues to be raised for management information/action.

Therefore, the ITSM CSIP Manager has to:

- Obtain the previous Quarterly CSIP Production & Maintenance and note all items to be carried forward;

- Obtain the updated CAL activity report;

- Obtain CSIP RfC status;

- Gather all possible risk, delay, …related to open CSIP actions;

- Prepare the CSIP Quarterly Report using the above as input;

- Have it passed through a formal SfR/SfA cycle.

CSIP.1.4

Create CSIP Weekly Status Report

CSIP.1.4 Create CSIP Weekly Status Report

The CSIP weekly reporting consists of the CSIP Action List (CAL), CSIP Change List, CSIP Management Dashboard and end-of-week status reporting carried out by QA Contractor.

The weekly reporting is basically to check up on on all the ongoing Service Improvement RfCs and evaluate the progress made on the actions associated with the RfCs.

The ITSM CSIP Manager thus has to ensure:

- The CAL and Change List are uploaded on Circa;

- A weekly conference call is organized each Thursday to discuss the status of the actions in the CAL (participants ITSM CSIP Mnager, DG TAXUD CSIP Manager, QA Contractor);

- The Management Dashboard is delivered to DG TAXUD A4/CPT every Thursday noon.

CSIP.2 Improvement identification and selection

XXX considers that there is a first distinction between "managerial" changes and "technical" changesm and that the CSIP process is involved in "managerial" changes only.

"Managerial" changes include all those changes related to ITSM processes and procedures modification. For example, a change in the ITSM document review cycle or a change in the conformance test procedure.

"Technical" changes correspond to all those changes related to any technical specifications or functionality of the ITSM tools, infrastructure or applications. These changes are fully managed, controlled and followed-up by the ITSM Change Management process.

"Managerial" (or Procedural) changes are handled as part of the CSIP process with an administrative follow-up from the ITSM Change Management for what concerns change registration and follow-up in the ITSM SMT.

The identification and selection of service impromenets is only applicable for CSIP Service Improvement Projects and not for CSIP Global Transformation Projects.

CSIP.2.1 Analyse CSIP input and pre-select CSIP service improvement

All ITSM CSIP Managers (ITSM, DG TAXUD & QAC) continuously check for items of interest among the various interal and external sources.

The non-exhaustive identified sources are listed hereafter:

- ITSM:

  o Recommendations of all applicable methodologies: ISO, ITIL, TEMPO and COBIT;

  o Internal audits;

  o Improvement opportunities from Internal QC;

  o OLAs and SLAs assessment reports;

  o Incident and Problem Management reports;

  o Service Level Management trend analysis reports;

  o User satisfaction reported by the Service Desk coordinators (a.o complaint calls);

  o XXX Management meetings;

  o Lessons learned;

  o MPR/MSR.

- Commission feedback:

  o Terms of Collaborations and Technical Annex (requirements);

  o CAB meetings;

  o Internal and external meetings (Technical, ad-hoc, BMM, TMM, …);

  o External audit;

CSIP.2.1

Analyse CSIP input and prepare pre-select CSIP service improvement

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o QA missions;

o Feedback from DG TAXUD wiki;

o Feedback from stakeholders on RfC;

o Specific improvement requests raised by e-mail;

- National Administrations feedback:

  o User satisfaction surveys and periodic voice surveys;

  o Workshop/Training reports and evaluation forms;

  o SLA/ToC reviews;

  o Discussion forum.

The activitiy of managing the CSIP improvement identification and pre-selection process is led by the ITSM CSIP manager and supported by the DG TAXUD and QAC CSIP managers.

The procedural steps for the CSIP Managers are:

- Obtain all the documentation identified;

- Review each possible improvement with the ITSM Process owners/Service Managers to identify actions/activities to be taken;

- Consolidate improvement candidates sent by ITSM team members;

- Obtain a short description of the problem from the issuer;

- Discuss the potential CSIP candidates during the weekly CSIP conference call

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CSIP.2.2

Approve CSIP Input

CSIP.2.2 Approve CSIP Input

Once a CSIP candidate (service improvement opportunity) has been identified, it must be approved by DG TAXUD before it can be converted to a change request.

When the DG TAXUD A4/CPT team has agreed upon the validity of the change request proposals, an RfC is launched and the Change List is updated.

CSIP.2.3 Create RfC	**CSIP.2.3 Create RfC** After the selection of the CSIP improvement, the issuer (with the help of DG TAXUD and ITSM CSIP Manager) is requested to fill in the business case and problem summary parts of the RfC using the RfC template [R3]. The RfC template is a document that follows the change request through its life cycle and collects all the information that is retrieved throughout the change process. The RfC template and related documents are made available on the ITSM Publishing Platform. The CSIP RfC template is different from the classic RfC template (used by ChM), in the sense that there is some extra information requested regarding the change request such as business case justifications, cost/benefit analysis etc. The standard change management procedure is followed for the creation of the change request (ChM.1.1). However some deviations may be observed that are specific to CSIP, such as: for the Changes issued by ITSM, ITSM is responsible for entering all the necessary information in the business case and problem summary parts of the RfC. If other stakeholders are impacted, they have to provide their input for risk analysis, impact analysis and cost/benefit analysis. The procedural steps are: • ITSM CSIP Manager to create the RfC; • Issuer to document the business case and problem summary parts of the RfC; • ITSM Change Manager to upload the RfC on ITSM SMT following the standard RfC procedure; • ITSM CSIP Manager to update the CSIP Action List (CAL).

CSIP.3 Manage Service Improvements Projects

CSIP.3.1 Plan Improvement Projects

CSIP.3.1
Plan Improvement
Projects

Once an Improvement Project is authorised by DG TAXUD A4/CPT or CSIPSC (CSIP Steering Committee), the initial justification and methodology for the project is converted, in liaison with all necessary stakeholders, to a formal action plan.

All the associated actions linked to the RfC are entered into a consolidated "CSIP Action List" (CAL) with corresponding delivery dates and assigned persons. The consolidated CAL is managed and uploaded on Circa by ITSM CSIP Manager, the QA contractor and/or by DG TAXUD A4/CPT.

Therefore, the ITSM CSIP Manager has to:

- For each Improvement Proposal accepted, in conjunction with the necessary stakeholders, map each proposal into a project plan;

- ITSM CSIP Manager to update the consolidated CSIP Action List;

- Ensure agreement of the ownership and liaison activities with the relevant stakeholders.

CSIP.3.2 Implement Improvement Project

CSIP.3.2
Implement
Improvement Project

The Improvement Project Plan is implemented by the relevant assigned persons, and coordination is ensured by the ITSM CSIP Manager (for XXX) and DG TAXUD A4/CPT.

Limited planning and project management is expected; the follow-up on progress of these projects are done weekly, and sent to DG TAXUD A4/CPT (weekly status reporting - CSIP.1.4).

At completion, the RfC is updated for the last time, with the results of the implementation. If Post-Implementation reviews, or KPIs, have been defined for the project, a plan is designed for implementing the necessary actions, and added to the CAL.

Therefore, the ITSM CSIP Manager has to:

- Facilitate and follow-up with the ITSM Process owners/Service Managers for the implementation of the Improvement Project;

	• Monitor the progress of the project till completion, and report it to DG TAXUD A4/CPT on a weekly basis (CSIP.1.4).
CSIP.3.3 Evaluate Project	## CSIP.3.3 Evaluate Project For all CSIP Service Improvement Projects, there is a project post-implementation review planned. The post-implementation review is limited to the verification that the process and procedure have been updated accordingly and the expected improvement is achived as described in the RfC. There can be three outcomes during the post-implementation review: 1) There are new issues and problems identified during the post-implementation review. In that case a new RfC is launched as an extension to the original RfC. 2) The post-implementation review is unsuccessful. In that case, the RfC is revisitied and new actions are added to the CAL to fix the issues identified. A rollback is carried out to the previous procedure while the new procedure is being revisited. 3) The post-implementation review is successful. In that case, the RfC is considered as closed. Therefore, the ITSM CSIP Manager has to: • When informed of completion of an CSIP Service Improvement Project, obtain summary of the implemented solution from the RfC or the ITSM Process owners/Service Managers; • Verify that all actions defined in the action plan and assigned to any XXX party, have been achieved and closed. • Verify, together with the other CSIP Managers (DG TAXUD and QAC) that the service improvement actions have actually been implemented; • Verify that the ITSM process/procedure has been updated.
CSIP.3.4 Produce service improvement project feedback	## CSIP.3.4 Produce service improvement project feedback The followup and feedback for each service improvement project or RfC is given in the weekly status reporting (CSIP.1.4) and discussed during the weekly CSIP conference call among the CSIP Managers (ITSM, DG TAXUD and QAC).

	CSIP.4 Manage Global Transformation Projects Global Transformation projects include all those service improvements that have a significant impact on the overall service provisioning for XXX. The management, implementation and planning of the global transformation projects will be based on the standard ITIL CSIP approach.
CSIP.4.1 Create Vision	**CSIP.4.1 Create Vision** The first step in the process is to create a vision for the project as a whole in the scope of CSIP, describing the high-level aim and purpose of the project and how it is aligned with the overall ITSM strategies of business and IT service provisioning. The vision statement, which is defined by the Continuous Service Improvement Programme Steering Comittee, is communicated to all the necessary ITSM stakeholders to create commitment and buy-in for the global transformation project.
CSIP.4.2 Make assessment and analyze organization	**CSIP.4.2 Make assessment and analyze organization** Before enmbarking on a global transformation project, it is necessary for the ITSM CSIP Manager to make an assessment of current situation by answering the question, "Where are we now?" It is also required to understand who are all the relevant stakeholders, as they may have an impact on the CSIP project. Next, it is necessary to assess the existing reporting and measurement systems in place. Finally, the last step in making the assessment is to conduct benchmark analysis for the process under review by studying the best practices for the relevant service management processes. Therefore, the ITSM CSIP Manager has to: • Determine the current position is the IT organization growth model. This model determines the maturity level of the IT organization and is based on the CMMi model; • Identify the relevant stakeholders by defining, identifying and mapping the stakeholders. • Assessing the current report and measurement system. • Perform benchmarking analysis.

CSIP.4.3 Set goals and plan quick wins	## CSIP.4.3 Set goals and plan long-term wins At this stage, the relevant WP/RfA will be activated/launched, and the project will be formally defined and a plan created for its implementation. A project manager from XXX will be assigned to perform further analysis before the implementation can begin. Hence the assigned Project Manager will need to: • Complete a business case that describes the added value and the justification of the proposed global transformation project • Perform risk analysis to identify and manage any risks associated with the proposed changes; • Perform a gap analysis, comparing the current state with the future state ("where do we want to be?") Once the gap analysis is performed (using input from the Benchmarking analysis), the problem and results have to be presented to the key stakeholders, to establish creditability for the assessment and support concerning the change. The last step is setting the goals regarding the improvement programme in relation to the earlier defined stakeholder needs. Therefore, the responsible Project Manager needs to: • Produce the project plan and have it accepted by DG TAXUD A4/CPT and XXX; • Review the Business Case and Plans with ITSM Programme Direction with particular reference to identifying contractual requirement and resource needs.
CSIP.4.4 Perform Projects	## CSIP.4.4 Perform projects Therefore, the ITSM CSIP Manager has to: • For each planned project, coordinate with the corresponding Project Manager;

	• Liaise with affected ITSM Process owners/Service Managers; • Follow-up the progress of the project with the Project Manager.
CSIP.4.5 Evaluate and measure goals	**CSIP.4.5 Evaluate and measure goals** After the completion of each improvement process a Post Implementation Review (PIR) is conducted to indicate if the objectives have been achieved. This can be done by making a comparison between the achievement of the improvement and the goals earlier set in the business case. When the results of the PIR are confirmed and validated, the global transformation project is considered as closed. A Project Completion Meeting is arranged with DG TAXUD A4/CPT to formalise the closure of the project. A few weeks after implementation of a global transformation project, a planned survey is carried out with the final users, in order to control their level of satisfaction with the implemented solution. Therefore, the ITSM CSIP Manager has to: • Carry out the post-implementation review; • In case of negative reaction from the findings during the post-implementation review, open new entries into the CAL or prepare roll-back if requested by DG TAXUD. • As part of an audit, select each completed global transformation projects and carry out a user survey.